BOARD OF VISITORS

MEETING

June 10-11, 2024

Virginia Polytechnic Institute and State University
Board of Visitors Meeting Schedule
June 10-11, 2024

**Monday, June 10:** (Business casual attire; meetings are in the New Classroom Building (NCB). Transportation will be provided between The Inn/Grove and NCB or Board members may walk.)

9:30 a.m.  Compliance, Audit, & Risk Committee meets in Closed and Open Sessions in NCB 260

11:45 a.m.  Executive Committee meets with President Sands (Closed Session) in NCB 270 (includes lunch)

11:45 a.m.  Lunch for Board members and invited administrators in NCB 220

1:00 p.m.  Information Session for the full Board in NCB 260 (Closed, then Open Session)
Agenda includes: Litigation Report, Briefing on Northern Virginia Plan, Innovation Campus Update, Research Global Overview, and Constituent Reports

3:30 p.m.  Buildings & Grounds Committee tour of North Academic District Construction Sites
All Board members are encouraged to attend.

6:00 p.m.  Dinner

**Tuesday, June 11:** (Business casual attire; all morning meetings are at the New Classroom Building, unless otherwise noted. Please check out of your room at The Inn in the morning and load your luggage onto the bus.)

Morning  Breakfast on your own.  Breakfast served 7:00-9:00 a.m. in Preston’s at The Inn.

7:30 a.m.  Committee Chairs meet with Administrators in Open Session in Old Guard at The Inn

8:30 a.m.  Bus transports BOV members from The Inn to the New Classroom Building

8:45 a.m.  Nominating Committee (Harris, Hobbs, Petersen) meets in Closed Session, NCB 270

8:45 a.m.  Finance & Resource Management Committee meets, Closed and Open Sessions, NCB 260

9:00 a.m.  Academic, Research, & Student Affairs Committee meets in Closed and Open Sessions in NCB 250

10:00 a.m.  Buildings & Grounds Committee meets in Open Session in NCB 230

10:30 a.m.  Governance & Administration Committee meets in Open Session in NCB 210

12:00 noon  Lunch for Board Members and invited administrators in NCB 220

1:00 p.m.  Bus departs promptly from the New Classroom Building for Torgersen Hall

1:15 p.m.  Full Board Meeting in Torgersen Hall Board Room (2100)

4:00 p.m.  (time approximate) Meeting adjourns. Board members depart Blacksburg.
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• Faculty Representative to the Board – Joseph Merola

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Tab S  Election of Rector and Vice Rector for 2024-25

*These items have been reviewed by the Academic, Research, and Student Affairs Committee and the Finance and Resource Management Committee of the Board of Visitors.

**These items have been reviewed by the Buildings and Grounds Committee and the Finance and Resource Management Committee of the Board of Visitors.

There is no public comment period at this meeting.
CURRENT MEMBERS OF THE BOARD OF VISITORS:

Mr. Edward H. Baine, Rector
Mr. David L. Calhoun, Vice Rector
Ms. Carrie H. Chenery
Ms. Sandy C. Davis
Dr. Nancy Dye
Ms. Greta J. Harris
Mr. Brad Hobbs
Mr. William Holtzman
Mr. Donald Horsley
Ms. Anna L. James
Ms. Letitia A. Long
Mr. John Rocovich, Jr.
Mr. L. Chris Petersen
Mr. Jeff E. Veatch

Undergraduate Student Representative: William Storey
Graduate/Professional Student Representative: Emily Tirrell
Staff Senate Representative: LaTawnya Burleson
Administrative and Professional Faculty Representative: Janice Austin
Faculty Senate Representative: Joseph Merola

ADMINISTRATIVE STAFF:

Dr. Timothy D. Sands: President
Dr. Cyril R. Clarke: Executive Vice President and Provost
Ms. Amy Sebring: Executive Vice President and Chief Operating Officer

Mr. Simon Allen: Vice President for Finance and Chief Financial Officer
Ms. Lynsay Belshe: Vice President for Auxiliary and Business Services
Mr. Bob Broyden: Interim Vice President for Campus Planning, Infrastructure, and Facilities
Dr. Lance Collins: Vice President and Executive Director for the Innovation Campus
Dr. Michael J. Friedlander: Vice President for Health Sciences and Technology
Mr. Bryan Garey: Vice President for Human Resources
Dr. Guru Ghosh: Vice President for Outreach and International Affairs
Dr. Frances B. Keene: Vice President for Student Affairs

Ms. Sharon M. Kurek: Vice President for Audit, Risk, and Compliance and Chief Risk Officer
Dr. Steven H. McKnight: Vice President for Strategic Research Alliances
Ms. Kim O'Rourke: Vice President for Policy and Governance and Secretary to the Board
Mr. Charles D. Phlegar: Senior Vice President for Advancement
Ms. Sharon Pitt: Vice President for Information Technology and Chief Information Officer
Dr. Menah Pratt: Vice President for Strategic Affairs and Diversity
Dr. Daniel Sui: Senior Vice President and Chief Research and Innovation Officer
Ms. Tracy Vosburgh: Vice President for Communications and Marketing
Dr. Lisa J. Wilkes: Vice President for Strategic Initiatives and Special Assistant to the President
Mr. Christopher Yianilos: Vice President for Government and Community Relations

Ms. Kay K. Heidbreder: University Legal Counsel
Academic, Research, and Student Affairs Committee
Carrie Chenery, Committee Chair
Brad Hobbs
Don Horsley

Buildings and Grounds Committee
Greta Harris, Committee Chair
Sandy Davis
Bill Holtzman
Tish Long

Compliance, Audit, and Risk Committee
Dave Calhoun, Vice Rector, Committee Chair (representing FRM)
Carrie Chenery (representing ARSA)
Nancy Dye
Tish Long (representing B&G)
Chris Petersen
Jeff Veatch

Finance and Resource Management Committee
Anna James, Committee Chair
Dave Calhoun
John Rocovich

Governance and Administration Committee (also serve on CAR)
Chris Petersen, Committee Chair
Nancy Dye
Jeff Veatch

Executive Committee (6 members)
Ed Baine, Rector
Carrie Chenery, Academic, Research, and Student Affairs Committee Chair
Greta Harris, Buildings & Grounds Committee Chair
Dave Calhoun, Vice Rector, Compliance, Audit, and Risk Committee Chair
Anna James, Finance and Resource Management Committee Chair
Chris Petersen, Governance and Administration Committee Chair

The Rector is an ex officio member of all standing committees.

The constituent representatives will sit in on the committee meetings of their choice:
Faculty Senate President – Joseph Merola
Administrative and Professional Faculty Senate President – Janice Austin
Staff Senate President – LaTawnya Burleson
Graduate/Professional Student Representative – Emily Tirrell
Undergraduate Student Representative – William Storey
Virginia Tech Board of Visitors Meeting

Information Session

Monday, June 10, 2024
1:00 p.m.

Room 260, New Classroom Building
Virginia Tech Campus

Closed Session

Litigation Briefing
• Kay Heidbreder: University Legal Counsel

Open Session

Briefing on Northern Virginia Plan
• Dr. Julie Ross, Dean, College of Engineering and Special Advisor to the President

Innovation Campus Update (Faculty, Research, and Programs)
• Dr. Lance Collins, Vice President and Executive Director for the Innovation Campus

Research Global Overview
• Dr. Daniel Sui, Senior Vice President and Chief Research and Innovation Officer

Constituent Reports
• Mr. William Storey, Undergraduate Student Representative to the Board
• Ms. Emily Tirrell, Graduate Student Representative to the Board
• Ms. LaTawnya Burleson, Staff Representative to the Board
• Dr. Janice Austin, Administrative and Professional Faculty Representative to the Board
• Dr. Joseph Merola, Faculty Representative to the Board
The Board of Visitors of Virginia Polytechnic Institute and State University met on Tuesday, April 9, 2024, at 1:15 p.m. in Torgersen Hall Boardroom (Room 2100), Virginia Tech Campus, 620 Drillfield Drive, Blacksburg, Virginia.

Present
Edward H. Baine (Rector)
David Calhoun (Vice Rector)
Carrie H. Chenery
Sandy C. Davis
Nancy Dye
Greta J. Harris
Brad Hobbs
William Holtzman
Donald Horsley
Anna L. James
Letitia A. Long
L. Chris Petersen
John Rocovich
Jeff Veatch

Constituent Representatives:
William Storey, Undergraduate Student Representative
Emily Tirrell, Graduate/Professional Student Representative
LaTawnya Burleson, Staff Representative
Janice Austin, Administrative and Professional Faculty Representative
Joseph Merola, Faculty Representative

Also present were the following: President Timothy Sands, Kim O'Rourke (Secretary to the Board), Mac Babb, Whit Babcock, Lynsay Belshe, Eric Brooks, Bob Broyden, Brock Burroughs, Cyril Clarke, Al Cooper, Megan Duffy, Corey Earles, Alisha Ebert, Juan Espinoza, Ron Fricker, Cliff Gaines, Ellington Graves, Tony Haga, Dee Harris, Kay Heidbreder, Tim Hodge, Elizabeth Hooper, Frances Keene, Sharon Kurek, Andrew Marinik, Elizabeth McClanahan, Nancy Meacham, Bryanna Meredith, Ken Miller, Mike Mulhare, April Myers, Rob Ogle, Mark Owczarski, Charlie Phlegar, Sharon Pitt, Jon Porter, Lori Rose, Lisa Royal, Amy Sebring, Brennan Shepard, Dee Dee Somervell, Aimée Surprenant, John Tarter, Jon Clark Teglas, Rob Viers, Tracy Vosburgh, Lisa Wilkes and other guests and students.

The meeting was livestreamed for the public via YouTube; there were 47 concurrent viewers on YouTube and a total of 39 views.

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There was no public comment period.
Rector Baine convened the meeting and welcomed everyone. He introduced Megan Duffy, the new head coach for Women’s Basketball, who was welcomed warmly.

** APPROVAL/ACCEPTANCE OF THE CONSENT AGENDA OPEN ITEMS*  
(Refer to Attachments A through Q)

[*Note: Items on the consent agenda are matters of importance that have been reviewed carefully by members of the board in preparation for the meeting but have been determined not to require discussion by the board or its committees.]

Rector Baine asked for a motion to approve/accept the consent agenda open session items as listed. The motion was made by Mr. Rocovich, seconded by Mr. Hobbs, and approved unanimously.

- Minutes from November 6, 2023, BOV Meeting
- Amendment of Minutes of June 6, 2023, BOV Meeting – Attachment A
- Minutes from November 14-15, 2023, BOV State Council of Higher Education for Virginia (SCHEV) Orientation Meeting – Attachment B
- Minutes from March 26, 2024, Public Comment Period – Attachment C
- Minutes from April 3, 2024, Student Selection Committee - Attachment D
- Report of Information Session on April 8, 2024 - Attachment E
- Minutes from April 9, 2024, Committee Chairs Meeting – Attachment F
- Academic, Research, and Student Affairs Committee General Report (4/9/24) - Attachment G
- Buildings and Grounds Committee General Report (4/9/24) - Attachment H
- Compliance, Audit, and Risk Committee General Report (4/8/24) – Attachment I

*From the Academic, Research, and Student Affairs Committee Consent Agenda:*
• Resolution to Approve Appointment of Interim Executive Director of Virginia Center for Coal and Energy Research - Attachment K

• Resolution to Approve Appointment and Reappointments to the Virginia Center for Coal and Energy Research and Development Advisory Board - Attachment L

• Resolution to Discontinue Current Bachelor of Landscape Architecture and Approve New Bachelor of Landscape Architecture in the College of Architecture, Arts, and Design – Attachment M

• Resolution to Discontinue Master of Arts in Data Analysis and Applied Statistics – Attachment N

• Resolution to Update Title of Approved M.S. in Applied Data Science to M.S. in Data Science – Attachment O

From the Buildings and Grounds Committee Consent Agenda:

• Resolution to Approve an Appointment to the Montgomery Regional Solid Waste Authority – Attachment P

Consent agenda information item; no Board of Visitors action required:

• Report of Research and Development Disclosures - Attachment Q

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Rector Baine asked for a motion to approve the resolution to amend the bylaws of the Virginia Tech Board of Visitors. The motion was made by Mr. Rocovich, seconded by Ms. James, and approved unanimously.

Resolution to Amend the Bylaws of the Virginia Tech Board of Visitors

That the resolution to amend the bylaws of the Virginia Tech Board of Visitors with respect to certain requirements for electronic meetings be approved. (Copy filed with the permanent minutes and marked Attachment R.)

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REPORT OF THE ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE

Rector Baine called on Ms. Chenery for the report of the Academic, Research, and Student Affairs Committee.

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REPORT OF THE BUILDINGS AND GROUNDS COMMITTEE

Rector Baine called on Ms. Harris for the report of the Buildings and Grounds Committee.

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REPORT OF THE COMPLIANCE, AUDIT, AND RISK COMMITTEE

Rector Baine called on Mr. Calhoun for the report of the Compliance, Audit, and Risk Committee.

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REPORT OF THE FINANCE AND RESOURCE MANAGEMENT COMMITTEE

Rector Baine called on Ms. James for the report of the Finance and Resource Management Committee.

As part of the Finance and Resource Management Committee report, approval of the following resolution was moved by Ms. James, seconded by Mr. Rocovich, and passed unanimously.

Resolution to Approve the Tuition and Fee Rates for 2024-25

That the proposed tuition, fee, room and board rates be approved, effective Fall Semester 2024. (Copy filed with the permanent minutes and marked Attachment S.)

* * * *

As part of the Finance and Resource Management Committee report, approval of the following resolution was moved by Ms. James, seconded by Mr. Rocovich, and passed unanimously.
Approval of Year-to-Date Financial Performance Report
(July 1, 2023 – December 31, 2023)

That the report of income and expenditures for the University Division and the Cooperative Extension/Agricultural Experiment Station Division for the period of July 1, 2023, through December 31, 2023, and the Capital Outlay report be approved.
(Copy filed with the permanent minutes and marked Attachment T.)

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PRESIDENT’S REPORT

As President Sands began his oral remarks, a small group of protestors who were seated in the room quietly holding signs expressing their support of Palestinians in the Israel-Hamas conflict began to chant, disrupting the meeting. President Sands addressed the protestors and asked them to cease chanting. When the protestors continued chanting and disrupting the meeting, the Virginia Tech Police were asked to escort the protestors out of the meeting. The protestors were escorted out peacefully, and after the meeting resumed, a few returned and sat silently, some with their signs.

A copy of President Sands' remarks to the Board of Visitors is filed with the permanent minutes and marked Attachment U.

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CONSTITUENT REPORTS (no action required)

The student representatives delivered their constituent reports orally at the board’s Information Session on April 8, 2024. The staff, administrative and professional faculty, and faculty representatives delivered their constituent reports orally at the full board meeting on April 9, 2024.

- Undergraduate Student Representative – William Storey
- Graduate and Professional Student Representative – Emily Tirrell
- Staff Representative – LaTawnya Burleson
- Administrative and Professional Faculty Representative – Janice Austin
- Faculty Representative – Joseph Merola

(Copies filed with the permanent minutes and marked Attachment V.)

* * * * * * * * * *
Motion to Begin Closed Session

Mr. Calhoun moved that the Board convene in a closed meeting, pursuant to § 2.2-3711, Code of Virginia, as amended, for the purposes of discussing:

1. Appointment of faculty to emeritus status, the consideration of individual salaries of faculty, consideration of endowed professors, review of departments where specific individuals' performance will be discussed, and consideration of personnel changes including appointments, resignations, tenure, and salary adjustments of specific employees and faculty leave approvals.

2. The status of current litigation and briefing on actual or probable litigation.

3. Fundraising activities.

4. Special awards.

all pursuant to the following subparts of 2.2-3711 (A), Code of Virginia, as amended, .1, .7, .9, and .11.

The motion was seconded by Mr. Rocovich and passed unanimously. The livestream was suspended during the closed session.

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CLOSED SESSION REPORTS
(No Board action required)

1. Litigation report – Ms. Kay Heidbreder
2. Fundraising report – Mr. Charlie Phlegar

Mr. Calhoun departed the meeting at 3:20 p.m.

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Closed session ended at 3:41 p.m.

Motion to Return to Open Session

Following the closed session, members of the public were invited to return to the meeting, and the livestream resumed. Rector Baine asked Ms. James to make the motion to return to open session. Ms. James made the following motion:

WHEREAS, the Board of Visitors of Virginia Polytechnic Institute and State University has convened a closed meeting on this date pursuant to an affirmative recorded vote and in accordance with the provision of The Virginia Freedom of Information Act; and
WHEREAS, Section 2.2-3712 of the Code of Virginia requires a certification by the Board of Visitors that such closed meeting was conducted in conformity with Virginia law;

NOW, THEREFORE, BE IT RESOLVED that the Board of Visitors of Virginia Polytechnic Institute and State University hereby certifies that to the best of each member's knowledge: (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed meeting to which this certification resolution applies, and (ii) only such public business matters as were identified in the motion convening the closed meeting were heard, discussed, or considered by the Board of Visitors.

The motion was seconded by Ms. Davis and passed unanimously.

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Upon motion by Mr. Rocovich and second by Ms. James, unanimous approval was given to the following group of resolutions as considered in closed session. Items marked with an asterisk were considered by the Academic, Research, and Student Affairs Committee and the Finance and Resource Management Committee.

- Resolutions to Approve Appointments to Emeritus/a Status (36) - Attachment W
- Resolutions to Approve Appointments to Endowed Chairs, Professorships, or Fellowships (11) - Attachment X
- Resolution to Approve Appointments to Alumni Distinguished Professor (3) - Attachment Y
- Resolution to Approve Appointments with Tenure (6) - Attachment Z
- Resolution to Approve Appointments with Tenure-to-Title (2) – Attachment AA
- Resolution to Approve Faculty Research Leaves (84) - Attachment BB
- Resolution to Approve Exception to the Virginia Conflict of Interests Act (1) – Attachment CC
- *Ratification of Personnel Changes Report – Attachment DD
- Resolutions to Approve Conferral of Special Awards (2) – Attachment EE
- Resolutions to Approve Facility Namings (4) – Attachment FF

(Copies are filed with the permanent minutes and marked as noted above.)

*******
Ratification of 2024-25 Student Representatives to the Board of Visitors

On behalf of the Selection Committee, which consisted of the members of the Executive Committee and the Academic, Research, and Student Affairs Committee, Rector Baine presented nominations for the 2024-25 undergraduate and graduate student representatives to the Board. Upon motion by Ms. Chenery and second by Mr. Petersen, unanimous approval was given to the Ratification of the 2024-25 Student Representatives to the Board of Visitors as considered in Closed Session. The 2024-25 representatives will be:

- Leslie Orellana (undergraduate student representative) and
- William Poland (graduate/professional student representative).

Appointment of the Nominating Committee for Officers of the Board

Rector Baine appointed the Nominating Committee that will bring nominations for Rector and Vice Rector for 2024-2025 to the June board meeting.

Chair: Greta Harris
Members: Brad Hobbs
         Chris Petersen

Appointment of the 2024 Retreat Planning Committee

Rector Baine appointed the Retreat Planning Committee that will work along with President Sands and Ms. O'Rourke to plan the annual board retreat to be held on August 26.

Members: Nancy Dye
         Tish Long

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The meeting was adjourned at 3:46 p.m.

The dates of the next regular meeting are June 10-11, 2024, in Blacksburg, VA.

Edward H. Baine, Rector

Kim O'Rourke, Secretary
The Virginia Tech Board of Visitors held an all-virtual special meeting on Wednesday, May 8, 2024, at 1:00 p.m. for the purpose of discussing current litigation and matters of campus safety. The meeting was livestreamed for the public.

Present
Edward H. Baine (Rector)
David Calhoun (Vice Rector)
Carrie H. Chenery
Sandy Davis
Nancy Dye
Greta J. Harris
Donald Horsley
Anna L. James
L. Chris Petersen
John Rocovich
Jeff Veatch

Absent
Brad Hobbs
William Holtzman
Letitia Long

Also present at the meeting were President Timothy Sands, Kim O’Rourke (Secretary to the Board), Mac Babb, Whit Babcock, Cyril Clarke, Corey Earles, Kay Heidbreder, Frances Keene, Michael Mulhare, Lisa Royal, Amy Sebring, and Tracy Vosburgh.

During the public comment session, there were 14 concurrent viewers on YouTube and a total of 13 views.

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The meeting was convened at 1:01 p.m.

MOTION TO BEGIN CLOSED MEETING

Mr. Calhoun made a motion that the Board of Visitors convene in a closed meeting, pursuant to § 2.2-3711, (A)(1) Code of Virginia, as amended, for the purposes of discussing:

1. Matters related to employee and student discipline
2. The status of current litigation impacting Virginia Tech
3. Management of campus safety related to campus events

all pursuant to the following subparts of 2.2-3711 (A), Code of Virginia, as amended, .1, .2, .7, and .19.

The motion was seconded by Mr. Rocovich and passed unanimously.
The livestream was then suspended.

* * * * *

MOTION TO RETURN TO OPEN SESSION

The livestream resumed at 1:55 p.m., and then the following motion was made by Mr. Calhoun.

WHEREAS, the Board of Visitors of Virginia Polytechnic Institute and State University convened a closed meeting on this date pursuant to an affirmative recorded vote and in accordance with the provision of The Virginia Freedom of Information Act; and

WHEREAS, Section 2.2-3712 of the Code of Virginia requires a certification by the Board of Visitors that such closed meeting was conducted in conformity with Virginia law;

NOW, THEREFORE, BE IT RESOLVED that the Board of Visitors of Virginia Polytechnic Institute and State University hereby certifies that, to the best of each member’s knowledge, (i) only public business matters lawfully exempted from open meeting requirements by Virginia law were discussed in the closed meeting to which this certification resolution applies, and (ii) only such public business matters as were identified in the motion convening the closed meeting were heard, discussed or considered by the Board.

The motion was seconded by Mr. Rocovich and passed unanimously.

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The meeting was adjourned at 1:57 p.m.

Submitted by:
Kim O’Rourke
Secretary to the Board
Minutes of Executive Committee Meeting
Monday, June 10, 2024
Minutes of Nominating Committee Meeting Tuesday, June 11, 2024
Minutes of Committee Chairs Meeting
Tuesday, June 11, 2024
Academic, Research, and Student Affairs Committee General Report of Tuesday, June 11, 2024 will be presented at Tuesday’s meeting of the Board
Buildings and Grounds Committee

General Report

of Tuesday, June 11, 2024

will be presented at

Tuesday’s meeting of the Board
Compliance, Audit, and Risk Committee

General Report

of Monday, June 10, 2024

will be presented at

Tuesday’s meeting of the Board
Finance and Resource Management Committee

General Report

of Tuesday, June 11, 2024

will be presented at

Tuesday’s meeting of the Board
Governance and Administration Committee

General Report

of Tuesday, June 11, 2024

will be presented at

Tuesday’s meeting of the Board
RESOLUTION TO APPROVE REVISED EXTENSION FACULTY TRACKS

WHEREAS, in explicit support of the land grant mission in the Commonwealth of Virginia, the Code of Virginia (23-132.1) recognizes the Cooperative Extension Service Program at Virginia Tech and Virginia State University; and

WHEREAS, the Virginia Tech Board of Visitors has the authority over all faculty employment policies associated with the university; and

WHEREAS, the university’s Faculty Handbook articulates faculty employment policies as well as faculty tracks and ranks; and

WHEREAS, Virginia Tech’s Cooperative Extension (Extension) faculty have varied responsibilities across the Commonwealth; and

WHEREAS, in the interest of aligning Extension faculty tracks and ranks with Extension regional and national practices; and

WHEREAS, no faculty have been hired on the Extension Continued Appointment track since 2013;

NOW, THEREFORE, BE IT RESOLVED, that the Virginia Tech Cooperative Extension Administrative/Professional Faculty tracks and ranks be revised and approved as follows (revision noted in red):

<table>
<thead>
<tr>
<th>Continued Appointment</th>
<th>Assistant Professor, Associate Professor, Professor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extension Agent</td>
<td>Associate Extension Agent, Extension Agent, Senior Extension Agent</td>
</tr>
<tr>
<td>Extension Specialist</td>
<td>Associate Extension Specialist, Extension Specialist, Senior Extension Specialist</td>
</tr>
<tr>
<td>4-H Center Program Director</td>
<td>Associate Program Director, Program Director, Senior Program Director</td>
</tr>
</tbody>
</table>

AND, BE IT FURTHER RESOLVED, that all remaining Extension faculty with Continued Appointment will remain on the Continued Appointment track,

AND, BE IT FURTHER RESOLVED, that the university’s Faculty Handbook and related policy documents will reflect the revised and approved language as detailed above.

RECOMMENDATION:

That the Board of Visitors approve the resolution to change the Extension faculty tracks.

June 11, 2024
RESOLUTION TO REVISE FACULTY HANDBOOK LANGUAGE ON NOMINATIONS TO UNIVERSITY DISTINGUISHED PROFESSOR AND ALUMNI DISTINGUISHED PROFESSOR

WHEREAS, University Distinguished Professor and Alumni Distinguished Professor are among Virginia Tech’s most prestigious honored faculty appointments; and

WHEREAS, the university continues to attract, retain, and advance faculty members with distinguished academic careers who serve as exemplars in their discipline, in the university and beyond; and

WHEREAS, the president, executive vice president and provost, and college deans have opportunities to identify faculty members with distinctive national and international honors and recognition; and

WHEREAS, the university’s Faculty Handbook outlines the processes by which eligible faculty members are nominated and selected for these honored appointments.

NOW, THEREFORE, BE IT RESOLVED that the Faculty Handbook be revised to include nominations for the honored appointment of Alumni Distinguished Professor to read as follows (revisions in red):

3.2.2 Alumni Distinguished Professor Nomination and selection: Each academic year The provost, in consultation with the president and the Alumni Association, determines the process for if there will be one or more appointments to the Alumni Distinguished Professor rank and, if so, issues a call to the academic deans for nominations. The deans, in turn, invite nominations from academic departments or schools. In addition, in special circumstances and in consultation with the appropriate dean, the president or the provost may nominate an eligible faculty member for consideration by the Alumni Distinguished Professor selection committee.

AND, BE IT FURTHER RESOLVED that that the Faculty Handbook be revised to include nominations for the honored appointment of University Distinguished Professor to read as follows (revisions in red):

3.2.3 University Distinguished Professor Nomination and selection: Each academic year The president and provost determine if there will be one or more the process for appointments to the rank of University Distinguished Professor and, if appropriate, issue a call to the academic deans for nominations. The deans, in turn, invite nominations from academic departments or schools. In addition, in special circumstances and in consultation with the appropriate dean, the president or the provost may nominate an eligible faculty member for consideration by the University Distinguished Professor selection committee.

RECOMMENDATION:

That the Board of Visitors approve the resolution on nominations to Alumni Distinguished Professor and University Distinguished Professor.

June 11, 2024
RESOLUTION TO UPDATE THE FACULTY HANDBOOK DESCRIPTION OF EXPECTATIONS FOR PROMOTION AND TENURE

WHEREAS, the Faculty Handbook describes the general expectations for promotion and tenure; and

WHEREAS, aspects of clinical/medical service and its relationship to scholarship and teaching are not clearly articulated in the Faculty Handbook with respect to promotion and tenure; and

WHEREAS, the explicit description of the importance of clinical/medical service and its evaluation are important in the evaluation for promotion and tenure for faculty with those responsibilities;

NOW, THEREFORE, BE IT RESOLVED that the Faculty Handbook, Section 3.4.4, be revised as shown below in red.

3.4.4 General Expectations for Promotion and Tenure

In accordance with their assignments and as outlined in the “Virginia Tech Guidelines for Promotion and Tenure Dossier” document available from the provost’s office, candidates for promotion and/or tenure will be evaluated in the following categories: teaching, scholarship, and service. While candidates are not expected to have equal levels of commitment or equal responsibilities in all these areas, scholarship is expected of all tenure-track faculty members to a degree and in a discipline appropriate for their assignment.

Teaching (Includes advising/mentoring): Teaching is a multifaceted activity that includes formal and informal advising/mentoring. In any assessment of a candidate for promotion and/or tenure, both the quality and the quantity of the individual’s achievements in teaching and advising/mentoring should be considered. Those evaluating candidates for promotion and/or tenure should give special consideration to teaching effectiveness: faculty members must demonstrate the ability to evaluate scholarship applicable to their field and effectively teach their discipline to students. If applicable to the candidate’s appointment, teaching may include didactic lecture classes and laboratory settings as well as an integrated component of clinical practice.

Scholarship (Includes research, creative activities, and Extension activities): Scholarship is broadly defined at Virginia Tech as the discovery, transmission, and/or application of knowledge. Scholarship takes many forms, including but not limited to research, creative activity, and Extension activities. While both the quality and quantity of a candidate’s achievements should be examined, quality should be the primary consideration. Quality should be defined largely in terms of the work’s importance in the progress or redefinition of a field or discipline, the establishment of relationships among disciplines, the improvement of practitioner performance, or the creativity of the thought and methods behind it. To be awarded tenure, in addition to demonstrating productivity as a scholar, a candidate must provide evidence that their scholarship enhances their discipline, which is typically demonstrated by has—a growing impact nationally or internationally and the
potential for greater impact in the future. Promotion to the rank of professor requires evidence of ongoing or renewed productivity and the realization of a candidate’s potential for greater impact nationally or internationally, including a description of how their scholarship has influenced their field.

Service (Includes engagement, university service, professional service, medical service, inclusion and diversity, and additional outreach and Extension activities): In the spirit of Ut Prosim (That I may serve) and the land-grant mission, faculty members are expected to use their knowledge, creativity, and expertise to improve the human condition and engage the communities of which they are a part. Candidates must demonstrate their contributions to the governance, development, and vitality of the university, their academic professions, and other relevant communities at the local, state, national, and/or international levels. The quality and effectiveness of healthcare delivery, including activities in the presence of learners, and outreach and Extension activities that are not considered scholarship should also be documented.

The unique features of every candidate’s department or school, discipline, and assignment must be considered in any evaluation for promotion and/or tenure. Each department or school (or college, when college-wide guidelines are applied) is required to have “Expectations Guidelines for Promotion and/or Tenure.” Expectations guidelines account for disciplinary and programmatic differences unique to and within the department(s) and school(s) and specify what is required of their faculty members to fulfill the general expectations outlined above. Departments or schools, or colleges should carefully assess and state the overall standards of professional performance and contribution they consider minimally acceptable for the awarding of promotion and/or tenure. Expectations must be adhered to at every stage of the promotion and/or tenure process. Colleges that adopt a college-wide set of promotion and/or tenure guidelines will ensure that the “Expectations Guidelines for Promotion and/or Tenure” account for differences within and across departments and schools.

RECOMMENDATION:

That the board of visitors approve resolution to update the faculty handbook description of expectations for promotion and tenure.

June 11, 2024
RESOLUTION TO APPROVE 2024 – 2025 STUDENT CODE OF CONDUCT

WHEREAS, the Code of Virginia §23.1-412 mandates all public institutions of higher education in the Commonwealth of Virginia maintain and enforce student codes of conduct; and

WHEREAS, the Virginia Tech Board of Visitors has the authority to review and approve the Student Code of Conduct to reflect legal requirements and the evolving needs of the university community; and

WHEREAS, the Student Code of Conduct outlines the expectations for student behavior and the university’s response to instances of misconduct, applying to all enrolled students and student organizations; and

WHEREAS, the proposed revisions to the 2024-2025 Student Code of Conduct clarify existing language and include the provisions of University Presidential Policy Memorandum #303.

NOW, THEREFORE, BE IT RESOLVED that the revisions to Section II “Student Rights and Responsibilities” in red below be approved; and

BE IT FURTHER RESOLVED that the 2024 – 2025 Virginia Tech Student Code of Conduct, as amended, be in effect upon approval of the Board of Visitors.

Section II Student Rights and Responsibilities

Responsibilities
1. Students are responsible for understanding and following university policies and procedures, including the Student Code of Conduct, and for abiding by all applicable state, federal, and local laws.
2. University email is the primary means by which the university communicates with students; therefore, students are responsible for reading all official communications delivered to their university email address.
3. Pursuant to Code of Virginia §18.2-371, students who are offered admission to Virginia Tech and choose to matriculate have a continuing duty to report to the Office of Student Conduct any arrests, conviction, or issuance of a protective order, other than minor traffic violations, as well as any protective orders issued against them. This duty applies regardless of where the arrest occurred and regardless of whether the university is in session at the time of the arrest, conviction, or issuance of a protective order. Students must notify Student Conduct in writing, using the Arrest, Conviction, and Protective Order Disclosure Form within 10 business days of the incident that led to their arrest/summons or within five business days of the incident that led to their conviction of a crime or issuance of a protective order. Failure to comply with this continuing duty may result in disciplinary action under the Student Code of Conduct.

RECOMMENDATION:

That the Board of Visitors approve the 2024 – 2025 Student Code of Conduct to include the revisions to Section II Student Rights and Responsibilities.

June 11, 2024
Proposed Changes for 2024-2025
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I. Introduction

The Virginia Tech community is guided by the university’s motto, Ut Prosim (That I May Serve), and is based on the fundamental values expressed in the Principles of Community: to nurture learning and growth for all community members, to encourage open expression, and to respect our differences and common humanity.

When a student accepts admission to Virginia Tech as an undergraduate, graduate, or professional student, they also accept membership in the university community and responsibility for upholding its shared values and expectations. The Student Code of Conduct outlines policies established by the university that set standards for students’ behavior, along with procedures for adjudicating and sanctioning violations of these standards. The code applies to all students and student organizations at Virginia Tech, as defined in this document. The university reserves the right to make changes to the code at any time.

Authority to approve policies and procedures for student discipline, as outlined in the Student Code of Conduct, lies with Virginia Tech’s governing body, the Board of Visitors, as authorized under the Code of Virginia. The Vice President for Student Affairs has responsibility for the university conduct system, with direct supervisory oversight of disciplinary matters assumed by the Office of Student Conduct, under the direction of the Director of Student Conduct. The director serves as the Chief Student Conduct Officer for the university.

The Student Code of Conduct does not apply to matters of academic integrity. For information on policies and procedures related to student academic integrity, please refer to the following:

- Undergraduate Academic Integrity
- Graduate Honor System
- Doctor of Veterinary Medicine Honor Code (Virginia-Maryland School of Veterinary Medicine)
- Doctor of Medicine Honor Code (Virginia Tech Carilion School of Medicine)

The Office of Student Conduct and the University Conduct System

The Student Code of Conduct is overseen by the Office of Student Conduct. The university's conduct system supports the educational mission of the university by educating students about appropriate behavior and fostering a community in which students can flourish academically and personally.

The system assumes that students and student organizations have the capacity to assume responsibility for their own behavior and that the university has the authority to establish an internal structure for the enforcement of its policies and procedures, which students have agreed to accept by enrolling in the university. As part of its authority, Student Conduct may suspend or dismiss students from the university.
Conduct matters are addressed by Student Affairs professionals who have been appointed as hearing officers by the Director of Student Conduct. These individuals each have significant education and training on student development, student discipline, and university policies and procedures.

**Additional Community-Specific Regulations**

As part of their education and life at Virginia Tech, students may also be involved in organizations, programs, or other entities for which additional and separate standards and policies, including potential sanctions for violations, have been established. Students should be aware of additional policies that may apply to their involvement in certain programs, organizations, or communities, including but not limited to students in the Corps of Cadets, student athletes, members of certain Greek-letter organizations under the Office of Fraternity and Sorority Life, and students in certain colleges or programs, such as the Virginia Tech Carilion School of Medicine or the Virginia-Maryland College of Veterinary Medicine.

These policies and processes do not supersede a student’s responsibilities under the Student Code of Conduct. In situations involving potential violations of policies in the Student Code of Conduct and community-specific policies, the student is accountable first to the university’s Code. Additional sanctions may be issued by programs/organizations that address a student’s participation or membership in those communities, specifically. Student Conduct is responsible for coordinating adjudication processes with these various entities, when appropriate.

**II. Student Rights and Responsibilities**

As individuals, Virginia Tech students enjoy basic rights. As members of the university community, they also accept certain responsibilities.

**Rights**

1. Students at Virginia Tech will be treated fairly and with dignity regardless of age, color, disability, sex (including pregnancy), gender, gender identity, gender expression, genetic information, national origin, political affiliation, race, religion, sexual orientation, or military status as described in university policy 1025.

2. Students at Virginia Tech enjoy those rights guaranteed by the Constitutions of the United States and the Commonwealth of Virginia as applicable. This includes activities protected under the First Amendment. In accordance with the Code of Virginia, incidents of disruption of constitutionally protected speech may be reported via the Speech on Campus webpage.

3. The Student Code of Conduct and the policies and procedures it outlines, under the administration of the Office of Student Conduct, provides an administrative process for resolving allegations of misconduct. This process includes certain procedural guarantees to ensure that students receive a fair and equitable resolution.
Responsibilities

1. Students are responsible for understanding and following university policies and procedures, including the Student Code of Conduct, and for abiding by all applicable state, federal, and local laws.

2. University email is the primary means by which the university communicates with students; therefore, students are responsible for reading all official communications delivered to their university email address.

3. Students who are offered admission to Virginia Tech and choose to matriculate have a continuing duty to report to the Office of Student Conduct any arrests, conviction, or issuance of a protective order, other than minor traffic violations, as well as any protective orders issued against them. This duty applies regardless of where the arrest occurred and regardless of whether the university is in session at the time of the arrest, conviction, or issuance of a protective order. Students must notify Student Conduct in writing, using the Arrest Disclosure and Conviction Form within 10 business days of the incident that led to their arrest/summons or within five business days of the incident that led to their conviction a crime or issuance of a protective order. Failure to comply with this continuing duty may result in disciplinary action under the Student Code of Conduct.

III. Jurisdiction

Enrollment Status

For the purposes of disciplinary action, a “student” is defined as any individual who has accepted an offer of admission as an undergraduate, graduate, or professional student and who has not yet graduated or officially transferred to another institution.

If a student’s enrollment lapses for more than one calendar year, based on a student’s voluntary decision not to enroll, that student will no longer be subject to disciplinary action. However, students who are separated from the university for academic or disciplinary reasons are still considered students for disciplinary purposes, regardless of the duration of the separation.

Student Organizations

A student organization, as defined in this document (below), may be considered for disciplinary action if an incident(s) is determined to be an organizational activity, based on at least two of the criteria listed below. Student Conduct will consider the entirety of the information to determine whether to charge an organization.

- Any student serving as an executive officer of the organization who is aware of the incident sufficiently in advance of its occurrence to prohibit its taking place and takes no action to prohibit it.
- The incident involves the expenditure of any organizational funds.
- The incident involves or is actively or passively endorsed by a majority of the members of the organization.
- The incident occurs in property owned, rented, reserved, or used by the organization.
• Members and/or non-members of the organization learned about the event through members or communication associated with the organization.

• The incident occurred as a result of individual members of the organization acting in the capacity as members of the organization.

Leaders and members of organizations who are complicit in any violation of the Student Code of Conduct or who permit or condone behavior that violates the code may also be held accountable as individuals in addition to the organization.

**Location of Incidents**

Students and student organizations that violate the Student Code of Conduct may be considered for disciplinary action whether the conduct occurs on or off university property, including but not limited to in-state, out-of-state, and outside of the United States.

The Student Code of Conduct may also apply to behavior conducted online or through an electronic medium. Students should also be aware that online postings such as blogs, web postings, chats and social networking sites are in the public sphere and are not private.

The university does not regularly search for this information but may take action if and when such information is brought to the attention of university officials.

**Alleged Violations of Criminal Law**

When conduct violates both criminal law and the Student Code of Conduct, disciplinary action may be taken by the university, irrespective and separate from criminal action. At the university’s discretion, the Office of Student Conduct may proceed with disciplinary action prior to a criminal trial or postpone action until after trial.

**IV. Definitions**

The following terms as used throughout the Student Code of Conduct are defined below. For definitions related to cases referred for formal adjudication under Title IX, refer to Appendix III.

<table>
<thead>
<tr>
<th>TERM</th>
<th>DEFINITION</th>
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<tr>
<td>Advisor</td>
<td>An advisor is one person of a student’s choosing and cost who may accompany a student throughout the conduct process. They may consult with the student but not speak on the student’s behalf or participate actively in the process.</td>
</tr>
<tr>
<td>Aggravating Factors</td>
<td>An aggravating factor is information, used during sanctioning (i.e., after a violation has been determined to have occurred), that may increase the sanction. Some factors may include but are not limited to a student’s past conduct record and the nature and severity of the behavior and its impact.</td>
</tr>
<tr>
<td>Appeal</td>
<td>An appeal is a written request for review of a hearing and findings, based on specific grounds.</td>
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<tr>
<td>TERM</td>
<td>DEFINITION</td>
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<tr>
<td>Appellate Officer</td>
<td>An appellate officer is an employee of Virginia Tech, external to the Office of Student Conduct staff, designated by the Vice President of Student Affairs to review and respond to appeals.</td>
</tr>
<tr>
<td>Charge(s)</td>
<td>A potential violation of the Student Code of Conduct.</td>
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<tr>
<td>Complainant</td>
<td>Any individual who has reported a potential violation of the Student Code of Conduct.</td>
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<tr>
<td>Conduct Officer or Hearing Officer</td>
<td>A conduct or hearing officer is an individual designated by the Director of Student Conduct to adjudicate cases involving allegations of conduct violations.</td>
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<tr>
<td>Conduct Referral</td>
<td>A report or complaint that alleges violations of the Student Code of Conduct by a student(s) or student organization(s).</td>
</tr>
<tr>
<td>Consent (general)*</td>
<td>Consent is generally defined as knowing, voluntary, and clear permission for something to occur. *For a more specific definition of consent in the context of sexual activity, please see the definition below.</td>
</tr>
</tbody>
</table>
| Consent (in the context of sexual activity) | Consent is defined as knowing, voluntary, and clear permission by word or action, to engage in mutually agreed upon sexual activity. The existence of consent is based on the totality of circumstances, including the context in which the alleged consent occurred. Silence does not necessarily constitute consent and coercion, force, or threat of either party invalidates consent.  
  • Consent cannot be given where a person is incapacitated; or where a person has a disability; or is not of legal age to consent as defined by law.  
  • Consent to any one form of sexual activity cannot automatically imply consent to any other forms of sexual activity. Consent can be withdrawn at any time.  
  • Previous relationships or prior consent cannot imply consent to future sexual acts. |
<p>| Incapacitation                | Physical or mental inability to make informed, rational judgments. Incapacitation includes but is not limited to being asleep, being unconscious, and the inability to make decisions due to the voluntary or involuntary use of alcohol or drugs. |
| Mitigating Factors            | A mitigating factor is information, used during sanctioning (i.e., after a violation has been determined to have occurred), that may decrease the sanction. Some factors may include but are not limited to a student’s past conduct record and steps taken to remedy their behavior |
| Notice                        | Written notice of the alleged violations of the Code. Notice will be presumed to have been furnished when the notice is sent to the student’s Virginia Tech email address or, when appropriate, provided at a prehearing meeting. |</p>
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<tr>
<th>TERM</th>
<th>DEFINITION</th>
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<tr>
<td>Preponderance of the evidence</td>
<td>The Office of Student Conduct uses preponderance of the evidence to determine whether or not a student has violated a policy in the Student Code of Conduct. This determination is made based on the information available to determine if it is more likely than not that a violation occurred.</td>
</tr>
<tr>
<td>Respondent</td>
<td>Any student or student organization alleged to have violated the Student Code of Conduct.</td>
</tr>
<tr>
<td>Student</td>
<td>For the purposes of disciplinary action, a “student” is defined as any individual who has accepted an offer of admission as an undergraduate, graduate, or professional student and who has not yet graduated or officially transferred to another institution.</td>
</tr>
<tr>
<td>Student Organization</td>
<td>For the purposes of disciplinary action, a “student organization” includes Registered Student Organizations (RSO), Extended Campus Student Organizations (ECSO), and University Chartered Organizations (UCSO), as defined in university policy 8010.</td>
</tr>
<tr>
<td>University Official</td>
<td>A university official is any person given authority by the university to perform administrative or professional responsibilities, including, but not limited to university police officers, residential well-being student leaders, graduate/teaching assistants, administrative support staff, faculty, etc.</td>
</tr>
<tr>
<td>University Property or University Facilities</td>
<td>University property or university facilities are any location, either permanent or temporary, owned or leased by Virginia Tech, and includes satellite campuses and offices. This includes, but is not limited to, the buildings, grounds, and the surrounding perimeters, including the parking lots, field locations, classrooms, alternate work or class locations, and university owned or leased vehicles.</td>
</tr>
<tr>
<td>Witness</td>
<td>A witness is a person who provides relevant information about an incident in a hearing or through a written statement. Character witnesses are not generally considered relevant.</td>
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## V. Prohibited Conduct

### Alcohol and Other Drug Offenses

- Alcoholic Beverage: Improper use of alcohol as defined by the regulations of the Commonwealth of Virginia and the university, including but not limited to underage possession/consumption, public intoxication (regardless of age), manufacturing, providing alcohol to any underage person, or any violation of university alcohol regulations, as outlined in Appendix I.

- Drugs: Possessing, using, manufacturing, selling, or misusing any illegal or controlled substance and/or possession of drug paraphernalia in violation of state or federal law.
Cannabis (Marijuana): Virginia law permits adults aged 21 or older to possess, use, and grow cannabis under certain circumstances; however, federal law continues to prohibit it and requires institutions of higher education that receive federal funds, including financial aid, to have policies prohibiting cannabis on university property or at university-sponsored off-campus events.

Therefore, in accordance with federal and state laws, Virginia Tech prohibits the following conduct related to cannabis. (Additional information is available in Appendix II):

- Possession or use of any form of cannabis, or any substance containing more than 0.3% THC, for any purpose, including medical or recreational use, on university property or at university-sponsored events off campus. This includes but is not limited to smoking, consuming edibles, and using vaporizers. “Use” includes being under the influence of marijuana.
- Possession of cannabis paraphernalia on university property or at university-sponsored event off campus.
- Improper possession or use of cannabis off university property (with the exception of university-sponsored events) as defined by the regulations of the Commonwealth of Virginia, including but not limited to possession/use under the age of 21, possession of greater than 1 ounce, consuming in public, and selling, as outlined in Appendix II.

- Driving Under the Influence: Operating or attempting to operate a motor vehicle, bicycle, or other personal transportation device while intoxicated or impaired by alcohol or other drugs.

- Tobacco: Improper use of tobacco as defined by the laws of the Commonwealth of Virginia and the university, including but not limited to underage possession of any tobacco product, nicotine vapor products, alternative nicotine products, or hemp products intended for smoking, providing any tobacco product to any underage person, or any violation of university policy No. 1010. Tobacco products include but are not limited to cigarettes, cigars, bidis, and rolling papers. The use of tobacco products is prohibited within 25 feet of any Virginia Tech building.

**Offenses Against People**

- Abusive Conduct: The use of physical force against an individual or any acts that cause physical harm; threats, including words or actions, that may cause a person reasonable apprehension of imminent physical harm.

- Endangerment: Actions that intentionally or recklessly endanger the health, safety, or well-being of oneself or another person or group.
• Harassment: Unwelcome conduct not of a sexual nature that is sufficiently severe, pervasive, or persistent that it could reasonably be expected to create an intimidating, threatening, or hostile environment that limits the ability of an individual to work, study, or participate in the activities of the university. Note: the Code also includes a Gender-Based Harassment policy.

• Hazing: Any mental or physical requirement, request, or obligation placed upon any person for the purpose of admission, initiation, or continued association with a group or organization that could cause discomfort, pain, fright, disgrace, or injury; that is personally degrading; or that violates any federal, state, local statute, or university policy, regardless of the willingness of an individual to participate in such activity. Additional information is available in Appendix IV.

• Stalking: Repeated contact of another person not based on gender when the contact is unwanted and may cause the other person reasonable apprehension of imminent physical harm or cause substantial impairment of the other person’s ability to perform the activities of daily life. Note: the Code also includes a Gender-Based Stalking policy.

• Recording and/or Distribution of Audio/Visual Material Without Consent: Making, attempting to make, sharing, or distributing an audio and/or visual recording of any person(s) without the knowledge and consent of all participants subject to such recordings, in locations where there is a reasonable expectation of privacy, and when the action is likely to cause injury, distress, or damage to one’s reputation.

• Gender-Based Violence (these policies apply in cases outside of the jurisdiction of Title IX; for Title IX policy definitions, refer to Appendix III):
  › Sexual Violence: Physical sexual acts perpetrated against a person’s will or where a person is incapable of giving consent. Sexual violence includes rape, sexual assault, sexual battery, and sexual coercion.
    • Sexual Assault: Actual or attempted sexual contact with another person without that person’s consent.
    • Sexual Battery: Intentional touching of another person’s intimate parts without the person’s consent; or other intentional sexual contact with another person without that person’s consent.
    • Sexual Coercion: Using physical or verbal aggression or pressure to force or attempt to force a person to touch another person’s intimate parts without that person’s consent.
    • Rape: Penetration, no matter how slight, of (1) the vagina or anus of a person by any body part of another person or by an object, or (2) the mouth of a person by a sex organ of another person, without that person’s consent.
‣ Gender-based Harassment: Acts of verbal, nonverbal, or physical aggression, intimidation, or hostility based on sex or sex-stereotyping, even if those acts do not involve conduct of a sexual nature.

‣ Sexual Exploitation: An act or acts committed through non-consensual abuse or exploitation of another person’s sexuality for the purpose of sexual gratification, financial gain, personal benefit or advantage, or any other non-legitimate purpose. The act or acts of sexual exploitation are prohibited even if the behavior does not constitute one of the other sexual misconduct offenses.

‣ Domestic Violence: A pattern of abusive behavior that is used by an intimate partner to gain or maintain power and control over the other intimate partner. Domestic violence can be physical, sexual, emotional, economic, or psychological actions or threats of actions that influence another person. This includes any behaviors that intimidate, manipulate, humiliate, isolate, frighten, terrorize, coerce, threaten, blame, hurt, injure, or wound someone.

‣ Dating Violence: Acts of physical or sexual abuse committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim.

► The existence of such a relationship shall be determined based on the reporting party’s statement and with consideration of the length of the relationship, the type of relationship and the frequency of interaction between the persons involved in the relationship.

► Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse, but does not include acts covered under the definition of domestic violence.

‣ Gender-Based Stalking: Repeatedly contacting another person when the contact is unwanted. Additionally, the contact may cause the other person reasonable apprehension of imminent physical harm or cause substantial impairment of the other person’s ability to perform the activities of daily life. Contact includes but is not limited to communicating with (either in person, by phone, or by computer) or remaining in the physical presence of the other person.

Offenses Against Property

‣ Damage or Destruction: Intentional, reckless, and/or unauthorized damage to, destruction of, tampering with, or vandalism of property.

‣ Fire Safety: The misuse of or tampering with firefighting equipment and/or signage, unauthorized burning, disregarding fire alarm signals, deliberately
• Initiating a false alarm or, tampering with fire detection or suppression equipment.

• Theft: Theft is the unauthorized taking, appropriation, use, or possession of property belonging to another person or entity. Failing to tender payment for services rendered may also constitute theft. Found property should be presumed lost and delivered to an appropriate University authority immediately. Failure to return found property to an appropriate authority may constitute theft.

• Unauthorized Entry: Entering, attempting to enter, or being present in buildings, residences, public or private property, and/or facilities or other areas without proper authority.

**Offenses Against the Community**

• Disorderly or Disruptive Conduct: Engaging in disorderly or disruptive conduct that interferes with university, community, or individual activities, including but not limited to studying, teaching, research, and university administration.

• Failure to Comply: Failure to comply with a request and directives of university officials acting within the scope of their authority, including but not limited to the following: failure of a student to present their university identification card, failure to keep or attend a required meeting, and failure to leave an area when requested by an authorized university official. Upon the request of the student questioned, university officials must identify themselves and state the source of their authority.

• Impersonation: Impersonating any person, group, or office, with the intent to deceive another.

• Public Exposure: Any act or attempted act of public nudity or urinating/defecating in public.

• Hazardous Materials: Unauthorized possession, use, or threat of use of fireworks, explosives, or hazardous and potentially hazardous materials.

• Weapons: Unauthorized possession, use, threat of use, or storage of firearms, ammunition, or weapons on university property at any location, either permanent or temporary, owned or leased by Virginia Tech. Refer to Virginia Polytechnic Institute and State University Policy and Procedures No. 5616 for additional information.

**Offenses Against the University**

• Climbing: Unauthorized climbing, scaling, rappelling, or attempting to climb, scale, or rappel, inside or outside campus buildings or structures.

• Furnishing False Information: Knowingly giving false information to a university official who is performing their official duties, including but not limited to perjury in a conduct hearing.

• Interference with University Complaint Processes: Attempting or actively influencing, impeding, intimidating, interfering, coercing, or retaliating against
any person involved in a potential, actual, or past student complaint in a formal university complaint process.

- Involvement in a University Violation: Presence, regardless of participation, during any violation of the Student Code of Conduct and/or other university policies in such a way as to condone, support, or encourage that violation. Students who anticipate or observe a violation of university policy are expected to remove themselves from participation and are encouraged to report the violation.

- Visitation/Guest Policies: Students or student organizations will be held responsible for the conduct of their guests and are expected to inform them of all university regulations, including but not limited to Housing policies.

Other Prohibited Conduct

- Actions Leading to the Conviction of Criminal Offenses: Any student convicted of a criminal offense is subject to university disciplinary action.

- Failure to Observe Rules and Regulations: Failure to observe rules and regulations issued by the university that are not listed specifically as “Prohibited Conduct” in the document, including but not limited to regulations linked above in the “Additional University Policies” and “Additional Community Specific Regulations” sections.

- Forgery or Fraud: Forgery or fraud, including attempts to obtain any item of value under false pretenses, falsification of official university documents, or possession of forged or altered identification or another person’s identification.

- Gambling: Participation in any form of illegal gambling.

Statement on Sanction Enhancements for Policy Violations Motivated by Bias

Any violation of the Virginia Tech Student Code of Conduct found to be motivated by an individual’s age, color, disability, sex (including pregnancy), gender, gender identity, gender expression, genetic information, national origin, political affiliation, race, religion, sexual orientation, or veteran status (as stated in Virginia Polytechnic Institute and State University Policy and Procedures No. 1025) will be deemed an aggravating factor and will subject the student to a sanction more severe than would be imposed in the absence of such motivation.

This sanction enhancement will not apply in cases in which protected classes are specifically addressed within the language of the policy, such as gender-based violence or gender-based stalking.

Statement on Self-Reporting and Bystander Intervention

Virginia Tech recognizes that the health and safety of students is of utmost importance. Therefore, if someone requires assistance for themselves or others because of alcohol or drug use, we want them to call for help. If medical assistance is sought, Student Conduct will not pursue conduct charges against the individual or organization who sought assistance, or the individual in need of assistance. However, Student Conduct will still
require students to attend a meeting with a hearing officer to discuss the incident and will assign substance-related and other educational assignments to the involved parties. Violations having a significant individual or community impact and students with prior violations that demonstrate an actual, potential, or perceived pattern of behavior are not likely to have outcomes that are mitigated and are not likely to be protected under this policy.

**Statement on Reports of Sexual Harassment and Gender-Based Violence and Immunity for Use of Alcohol or Other Drugs**

Virginia Tech seeks to remove any barriers to reporting incidents of sexual harassment and gender-based violence. Therefore, any student, whether the complainant or a third party, who makes a good-faith report of sexual harassment or gender-based violence will be immune from disciplinary action for their personal consumption of alcohol or other drugs occurring at the time of the reported incident.

**Statement on Immunity for Reports of Hazing**

In an effort to remove any behavior(s) or action(s) which degrades, intimidates, or endangers the health, safety and wellbeing of any individual in our community, individual(s) who report an ongoing or pending act of hazing shall be provided immunity from disciplinary action for hazing or for their personal consumption of alcohol or other drugs occurring at the time of the reported incident providing:

a) The disclosure is made by a bystander who is not an active participant in such acts; and  
b) The disclosure is a good faith report of hazing made in advance of or during an incident of hazing.

Student bystanders who report acts of hazing, while immune from disciplinary action, may be required to meet with Student Conduct to discuss the incident and may be assigned substance-related or other educational assignments.

**VI. Additional University Policies**

The Student Code of Conduct is intended to include other rules, regulations, and policies issued by the university that pertain to students and student organizations. Violations of these policies are actionable under the Student Code of Conduct when the violation warrants a process or sanction beyond what is available in these policies. Additional policies include but are not limited to the following:

- Dining Policies
- Housing Policies
- Housing and Dining Contract
- Parking and Traffic Regulations
- Student ID Cards
University-Level Policies (see the university’s policy library at policies.vt.edu/policy-library for a full list of policies relevant to students; the following policies are those most frequently referenced):

- Acceptable Use and Administration of Computer and Communications Systems
- Arrest, Conviction, and Protective Order Disclosures
- Bicycles and Personal Transportation Devices
- Campus and Workplace Violence Prevention
- Facilities Usage and Events
- Harassment, Discrimination, and Sexual Assault
- Operation of Unmanned Aircraft Systems
- Sales, Solicitation, and Advertising on Campus
- Serving Alcohol
- Smoking
- Social Media
- Tobacco
- University Names and Trademarks

VII. Student Conduct Process

The Office of Student Conduct uses the following procedures to address behavior that is alleged to have violated university policy. It should be noted that not all situations are of the same severity or complexity. Thus, these procedures are flexible and are not exactly the same in every situation, though consistency in similar situations is a priority. The procedures used in particular cases are determined at the sole discretion of the Office of Student Conduct.

The university conduct process is an administrative function and differs from civil or criminal legal proceedings. In some situations, students may be involved in both legal and university systems.

Step 1: Submitting a Conduct Referral/Complaint

Any student, faculty member, staff member, administrator, community member, or concerned party may submit a complaint, known as a “conduct referral,” to the Office of Student Conduct. While there is no time limit for referrals, Student Conduct encourages people who plan to bring a complaint against a Virginia Tech student to do so as quickly and prudently as possible.

Student Conduct will review the conduct referral to determine if there is information regarding behavior that may violate the Student Code of Conduct and thus warrants resolution within the conduct system.
This review may include a meeting with the person(s) who submitted the complaint and/or an investigation to gather additional information.

Potential outcomes of the review include the following:

- A determination that interim measures or administrative actions should be imposed in order to maintain safety or order.
- A determination that an investigation is needed to gather additional information to identify an appropriate avenue for resolution.
- A determination that the matter should be referred to another office or process.
- A determination that there may be a potential violation of the Student Code of Conduct and that an agreed resolution is the appropriate avenue for resolution.
- A determination that there may be a potential violation of the Student Code of Conduct and that a formal hearing is the appropriate avenue for resolution.
- A determination that the complaint may not involve a potential policy violation but is related to a conflict; in this case, Student Conduct may offer voluntary mediation, facilitated dialogue, or conflict coaching.
- In some cases, at Student Conduct’s discretion, students will be invited to participate in an educational conversation about the concerns raised in the complaint, even when Student Conduct determines that adjudication is not appropriate.
- A determination that there is insufficient information to pursue the complaint.
- A determination that the behavior alleged, even if proven, would not violate the Student Code of Conduct.

Formal Complaints of Sexual Harassment and Gender-Based Violence

Formal complaints of sexual harassment and/or gender-based violence should be reported to the university’s Title IX Coordinator. They will follow the steps detailed in Virginia Tech’s Title IX Reporting and Grievance Procedures for Sexual Harassment and Violence (INSERT LINK) to offer supportive measures and to determine whether a complaint falls within the scope of Title IX, as defined by the federal Department of Education, or under the policies in Virginia Tech’s Student Code of Conduct.

Complaints that have been determined to fall under the policies in the Student Code of Conduct will be referred to the Director of Student Conduct. Per the process outlined above, the Director will review the complaint and, if appropriate, may request the Office for Equity and Accessibility conduct a thorough, impartial investigation into the complaint. Upon completion of an investigation, the Director will determine how the matter should be resolved.

**Step 2: Resolution**

After reviewing a conduct referral, Student Conduct will determine an appropriate resolution process from among the following:
Agreed Resolution: An agreed resolution is an informal resolution option in which the respondent meets with a hearing officer to discuss an incident and collaborates with the hearing officer to determine whether they violated a policy and, if so, what sanctions may be appropriate. If the respondent agrees to the resolution, they waive the right to a formal hearing, and the resolution is final. If an agreement cannot be reached, the respondent has the option to move forward to a formal hearing with a new hearing officer.

Formal Hearing: In a formal hearing, the hearing officer(s) determines whether the respondent violated policies in the Student Code of Conduct, along with appropriate sanctions, if necessary. In formal conduct hearings, the respondent is entitled to the following procedural guarantees and opportunities:

- To receive written notice of charges at least five (5) business days in advance of the hearing and in reasonable detail to allow the respondent to prepare for the hearing.
- To share their version of events and refute any information presented.
- To present witnesses/witness statements and question any witnesses present.
- To remain silent or not participate.
- To be accompanied by an advisor.
- To challenge the objectivity of a hearing officer(s), given reasonable cause to believe that they may be biased or have a conflict of interest.
- To appeal if there is a loss of privilege (i.e., suspension, dismissal, denial of housing, etc.), provided there are appropriate grounds as found in the Student Conduct Formal Hearing Appeals section.

In addition to witnesses who may be called by respondents participating in formal hearings, hearing officers may also call witnesses whom they believe are relevant for determining outcomes in a given case. The outcome of a formal hearing is final unless it qualifies for appeal, as outlined in the Formal Hearing Appeals section. If a respondent or complainant fails to attend a formal hearing after receiving proper notice, the case may be heard in their absence.

Formal Title IX Adjudication and Gender-Based Violence Hearings: Cases referred for adjudication by the Title IX Coordinator for a formal Title IX hearing are conducted in accordance with the policies and procedures outlined in Appendix II, as required by the U.S. Department of Education.

Gender-based violence cases that fall outside of the jurisdiction of Title IX are adjudicated through the gender-based violence policies and formal hearing process outlined by the Student Code of Conduct, as described above. These formal hearings are conducted by a team of two hearing officers. In these hearings, both the complainant and respondent receive the same procedural guarantees outlined above, and both parties may appeal, regardless of the outcome. Appeals must be based on appropriate grounds.

Adaptable Conflict Resolution (ACR): When complaints/referrals to Student Conduct are based in conflict between individuals or groups, Student Conduct may offer adaptable conflict resolution (ACR) options to students, including mediation, facilitated dialogue, or
conflict coaching. Participation in ACR is optional, and in the case of mediation or facilitated dialogue, all parties must agree to participate. ACR options may result in a mutually satisfactory agreement between the parties, but it is not required.

Educational Conversation: An educational conversation is a discussion between a student and hearing officer in Student Conduct regarding behavior that does not rise to the level of a policy violation but is, nevertheless, inappropriate or having a negative impact on the student or others or, if it continues, may become a policy violation. These conversations are educational and supportive in nature and are intended to help the student reflect and to connect them with resources, when needed.

**Additional Information**

**Standard of Proof**

The preponderance of the evidence standard will be used to determine responsibility for violations of policies in the Student Code of Conduct. Preponderance of the evidence means that based on the information available to determine if it is “more likely than not” that a violation occurred.

**VIII. Sanctions**

Student Conduct sanctions are designed to promote safety, individual accountability, and reflection. Whenever possible, Student Conduct makes efforts to educate students and to foster personal and academic success. When assigning sanctions, hearing officers consider the type and nature of any policy violation(s), including mitigating or aggravating factors, as well as the student’s prior conduct record. Sanctions are generally cumulative in nature. One or more of the following sanctions may be imposed when a student or student organization is found responsible for violating the Student Code of Conduct:

<table>
<thead>
<tr>
<th>SANCTION</th>
<th>DESCRIPTION</th>
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</thead>
<tbody>
<tr>
<td>Formal Warning</td>
<td>A formal written notice that the student or student organization has violated a policy in the Student Code of Conduct and that further violations may result in more serious conduct action. Students or student organizations who receive a formal warning are still considered in good conduct standing with the university. A formal warning is not shared with third-parties during a student disciplinary records check, unless waived by the student or under court order or subpoena.</td>
</tr>
<tr>
<td>Probation</td>
<td>A specified period of time during which the student or student organization is considered not in good conduct standing with the university. Further violations during that time period may result in more serious conduct action, including a potential separation from the university.</td>
</tr>
<tr>
<td>SANCTION</td>
<td>DESCRIPTION</td>
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<tr>
<td>Deferred Suspension</td>
<td>A specified period of time during which the student or student organization is considered not in good conduct standing with the university. Violations for which deferred suspension is assigned are those that are serious enough to warrant suspension from the university, but due to mitigating factors, the student or student organization is given the opportunity to remain enrolled at the university, provided they do not violate further policies. The suspension may take effect if they violate additional policies during the period of deferred suspension.</td>
</tr>
<tr>
<td>Suspension</td>
<td>A specified period of time during which the student or student organization is separated from the university. During the suspension period, the student does not have the rights and access to privileges associated with being a student, which includes eligibility to be academically enrolled at Virginia Tech or transfer credits earned at other institutions during the period of disciplinary suspension. For student organizations, the university will withdraw recognition for the duration of the suspension. A student or student organization must complete all assigned sanctions and receive permission from Student Conduct to be eligible to re-enroll. For a student who has completed their academic work but whose degree has not yet been conferred, their degree may be withheld for the duration of the suspension period.</td>
</tr>
<tr>
<td>Deferred Dismissal</td>
<td>A specified period of time during which the student or student organization is considered not in good conduct standing with the university. Violations for which deferred dismissal is assigned are those that may warrant permanent dismissal, or expulsion, from the university, but due to mitigating factors, the student is given the opportunity to maintain student status with the university, provided they do not violate further policies. The dismissal may take effect if the student violates additional policies during the period of deferred dismissal. A deferred dismissal is often accompanied by a suspension or other conduct sanctions.</td>
</tr>
<tr>
<td>Dismissal</td>
<td>A formal notice that the student or student organization is permanently dismissed, or expelled, from the university, with no opportunity to re-enroll. For student organizations, the university permanently withdraws recognition.</td>
</tr>
<tr>
<td>Denial of Privileges or Associations</td>
<td>A specified period of time during which the student is denied certain privileges or associations, including but not limited to termination of the housing contract, removal from athletic events, loss of recreational sports privileges, network access, or access to certain university facilities. Student organizations may also have their social function privileges revoked.</td>
</tr>
</tbody>
</table>
## SANCTION DESCRIPTION

<table>
<thead>
<tr>
<th>SANCTION</th>
<th>DESCRIPTION</th>
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</thead>
<tbody>
<tr>
<td>Restitution</td>
<td>Requirement for the student to make restitution for damage to university property, which, at the discretion of Student Conduct and the associated university department, may be in the form of monetary payment or community service.</td>
</tr>
<tr>
<td>Educational, Community, and Wellness Activities</td>
<td>Assignments or activities designed to provide opportunities for reflection, learning, and growth as well as to connect the student with resources to support their well-being and personal and academic success.</td>
</tr>
</tbody>
</table>

### Failure to complete sanctions

Students are expected to complete their conduct sanctions, including educational sanctions, within the timeframe and guidelines specified by their hearing officer. Failure to complete sanctions may result in placing holds on student accounts and additional conduct action.

### IX. Formal Hearing Appeals

The respondent has the opportunity to appeal the outcome of a formal hearing if it results in a loss of privilege, including suspension, dismissal, or denial of certain university privileges, including but not limited to housing, network access, or athletic privileges. For gender-based violence hearings, both the complainant and respondent have the opportunity to appeal, regardless of the outcome of the hearing and whether or not there is a loss of privilege. Sanctions take effect immediately, pending the appellate officer’s decision or the end of the appeal period.

The appeal process for formal Title IX hearings is outlined in Appendix III.

#### Grounds for appeal

Appeals are not re-hearings; therefore, appeal requests are limited to the following grounds:

1. Denial of procedural guarantees
2. Significant and relevant new information that was not available at the time of the hearing
3. Unduly harsh or arbitrary findings or sanctions.

Appeals submitted that do not have sufficient grounds in one of these areas will be denied.

#### Potential Outcomes of an Appeal

The appellate officer will review the appeal and may:

1. Uphold the original decision and sanctions
2. Uphold the original decision and either decrease or increase the sanction
3. Vacate a finding
4. Send the case back to Student Conduct for a new partial or full hearing.
Timeframe to submit an appeal

The respondents (and complainants, in the case of gender-based violence hearings) have seven (7) business days from the date of the decision to submit the appeal. Appeals submitted after the deadline will not be accepted except in extenuating circumstances, as determined by Student Conduct.

Format of appeal

The appeal is a written request submitted by the student for a review of the original case. The student should include which grounds for appeal they believe apply and any information the student wants considered should be included in the written document. The burden is on the appealing student or student organization to demonstrate why the finding or sanction should be altered.

Appellate Officers

An appellate officer will be designated by the Vice President for Student Affairs, or their designee, who serves as the university's Chief Appellate Officer. All appellate officers are external to the Office of Student Conduct.

X. Interim Measures and Administrative Actions

Based on the nature and circumstances of the referral, the university may authorize interim measures or take administrative action to maintain safety and order and to ensure compliance with university processes and directives, including the following:

Holds on Student Account: Student Conduct may apply a hold on a student’s account, which will prevent course registration, graduation, and access to transcripts. Situations in which holds may be applied include but are not limited to the following:

1. The student fails to complete sanctions by assigned deadlines
2. The student has been issued an interim suspension
3. The student is suspended and has a pending re-enrollment meeting
4. The student has a pending conduct matter that must be resolved

Interim Suspension: The university retains the authority to impose an interim (immediate) suspension from the university and/or selected campus facilities with proper notice if such action is necessary to preserve the safety of persons or property. During an interim suspension, a student may not participate in academic, extracurricular, or other activities of the university except as may be authorized by the Vice President for Student Affairs or their designee. In this instance, the students will be afforded an interim suspension meeting and the opportunity to show why their continued presence on campus does not constitute a threat to themselves, others, or property. The interim suspension meeting is separate from the student conduct process. The student will have five (5) business days within which to request an interim-suspension meeting, should they desire one be held, by contacting the appropriate office as designated in the notice of interim suspension. An opportunity to meet with Student Conduct for a final resolution will be provided as soon as possible.
• Procedures: The following steps explain the procedure for imposing an interim suspension:

‣ Initiating an Interim Suspension: When a situation, as defined above, occurs, the responding university official contacts the Threat Assessment Team or the Vice President for Student Affairs or their designee to assess the situation and determine if an interim suspension is appropriate.

‣ Notification of an Interim Suspension: The student will be sent an interim suspension letter immediately, which states that the student is either suspended from the university and/or suspended from all or selected campus residential facilities until a final resolution is determined through the Student Conduct process.

‣ Interim-Suspension Meeting: The student can immediately request an interim suspension meeting to be conducted by the Vice President for Student Affairs or their designee. The interim suspension letter will contain instructions on how to request a review. Those present at the meeting may include the responding university official and other witnesses as deemed appropriate by the Vice President for Student Affairs, or their designee. During the review, the student will be given an opportunity to demonstrate why their continued presence on campus does not constitute a threat to themselves, others, or property. As part of the review, the student may be required to submit to an immediate medical/psychological evaluation. In such instance, the student will be evaluated by the director of the Cook Counseling Center or their designee.

‣ Timeframe to Request Interim-Suspension Review: A student must request a meeting within five (5) business days; after that time frame, the interim suspension and/or suspension from campus residential facilities and all student activities will remain in effect until the matter is resolved through the student conduct process.

‣ Decision: The decision made after the interim suspension meeting will be final. There will be no additional appeal.

‣ Student Conduct Process/Resolution: Interim suspension information will be shared with Student Conduct and others who need to know. Student Conduct will determine and schedule, as soon as possible, the appropriate resolution process to determine whether the student is responsible for violating university policy and, if so, appropriate sanctions.

No Contact Order: In certain situations, Student Conduct may issue no contact orders to students for a period of time to prevent communication between two or more students if it is determined that contact between the parties may perpetuate or escalate behavior that may interfere with a person’s rightful actions, including but not limited to their safety and security. No contact orders prevent students from face-to-face, electronic, or third-party contact.
If a no contact order is issued, all parties involved will receive the order in writing. Unless issued as a sanction in a student conduct hearing, a no contact order does not appear on a student’s official conduct record.

A student who violates a no contact order may be subject to conduct action; if a violation of the order threatens the safety of persons or property, an interim suspension may be imposed.

The process for no contact orders includes the following:

1. No contact orders may be requested by students, or Student Conduct may issue them independently of a request.
2. Before issuing an order, Student Conduct may request additional information to determine whether it is warranted.
3. Student Conduct may decline to issue an order.
4. A student who has requested an order be issued may subsequently request that it be lifted.
5. Student Conduct has the discretion to lift a no contact order at any time if it is determined that the circumstances under which it was issued are no longer present.

Cease Operations Order: In certain situations involving allegations of policy violations by student organizations that may involve potential impacts on the safety of persons or property or significant disruption to the community, Student Conduct may issue a cease operations order, which places restrictions on the organization while the matter is resolved. Examples of situations in which cease operations are issued include but are not limited to the following: hazing; alcohol distributed to underage members or guests; and disorderly or disruptive behavior, such as serious or ongoing violations of noise regulations in the Town of Blacksburg. The cease operations will remain in place until the matter is resolved by Student Conduct. Cease operations restrictions may include but are not limited to the following:

1. The organization is to stop operating in full, including meetings, communication, events, etc.
2. The organization is to stop hosting events with alcohol present.
3. The organization is to stop recruitment or holding meetings, events, or activities with new or prospective members.

**XI. Student Conduct Records**

Violations of the Student Code of Conduct are maintained in a student’s conduct record for a period of five years from the date of the incident, excluding cases resulting in dismissal from the University, which will be kept in perpetuity. This record is maintained electronically by the Office of Student Conduct and is separate from a student’s academic transcript, though it is considered part of a student’s educational record.
In accordance with the Clery Act, records regarding incidents involving Clery Act reportable violations will be kept for a minimum of seven years from the date of the incident.

Records of formal Title IX hearings will also be maintained by the Office for Equity and Accessibility for a period of seven years, as described in the Title IX Reporting and Grievance Procedures for Sexual Harassment and Violence.

Student conduct cases involving student organizations are not private. Accordingly, hearing notification and sanction letters are sent to organizational advisors and (inter)national headquarters. Additionally, in accordance with Virginia statute, student organizations found responsible for a violation of the hazing policy will be publicly reported on the Office of Student Conduct webpage.

**Information Sharing within the University**

Notification of student conduct outcomes or decisions is given to individuals in the university with a need to know. Other university agencies or organizations may be required to obtain a written release from students before they can receive notification.

**Notification to Victims of Crimes of Violence**

Victims of crimes of violence (including abusive conduct and gender-based violence) involving student respondents will be notified of the outcome and sanction(s). In Title IX matters, complainants will also be notified of the outcome and relevant sanctions for non-violent violations of gender-based violence policies.

**Parental Notification**

Parents/guardians of students under age 21 will be notified if their student is found responsible for a violation of the alcoholic beverage or illegal drug policies.

**Student Conduct Transcript Notations in Cases of Suspension and Dismissal**

When a student is suspended or permanently dismissed from Virginia Tech, a notation will be included on the student’s academic transcript stating, “suspended [or dismissed] for a violation of the Student Code of Conduct.” Suspension notations will be removed once the student completes the term and conditions of the suspension, including all assigned sanctions. In cases involving allegations of gender-based violence, a notation will also be placed on the transcript of a student who withdraws from Virginia Tech while under investigation. This notation will be removed if the student is subsequently found not responsible for violating policies in the Student Code of Conduct. Students may also petition to have transcript notations expunged, as outlined in the following section.

Lesser sanctions, such as warnings and probation, do not affect a student’s academic standing and do not appear on the official transcript.

**Petitions for Expungement**

The university offers two opportunities for students to petition for expungement of documentation related to their disciplinary record:
1. In cases involving low-level violations of the Student Code of Conduct, such as cases in which a student received probation, the student may petition the Office of Student Conduct to have the record of that case expunged prior to the end of the five-year period (early record expungement).

2. In cases involving sanctions of suspension or permanent dismissal resulting in a notation on the academic transcript, the student may petition the Office of Student Conduct to have the notation on their academic transcript expunged. Expungement of the notation is not the same as expungement of the entire case record.

The process and timeline for each opportunity is outlined below.

1. Early Record Expungement for Low-Level Policy Violations: Students or graduates may petition Student Conduct to have the documentation of their cases involving low-level policy violations, such as those resulting in probation, “expunged” from their conduct record prior to the end of the five-year period. “Expungement” in this situation means that while the record is maintained by Student Conduct, per state and federal law, the record will not be shared with third parties, except as required by law. For example, a student applying to transfer to another institution may need to obtain a certified copy of their disciplinary record as part of an admissions application; if a record has been expunged, the documentation provided for the application will not include information about that incident.

The opportunity to request expungement reflects the student-centered and learning-focused values on which the Student Conduct process is based. Namely, we believe that students can learn and grow by reflecting on their decisions and examining their values.

Cases involving more serious violations of policy and more significant sanctions may not be considered for early record expungement, including but not limited to the following cases: those resulting in suspension or dismissal, gender-based violence and gender-based stalking, drug distribution, or other offenses against people.

An early record expungement applies only to records maintained by the Office of Student Conduct; records maintained by other offices or units, such as law enforcement and other university departments are not subject to expungement under this process.

Eligibility: A student may petition to have cases expunged from their conduct record in the following circumstances:

- An undergraduate student is classified as a senior, is not on an active status sanction (e.g., probation), and has completed all assigned educational sanctions.

- An undergraduate student is classified as a freshman, sophomore, or junior, has been off of an active sanction (e.g., probation) for at least one full semester (i.e., fall or spring), and has completed all assigned educational sanctions.

- A graduate or professional student is not on an active status sanction (e.g., probation) and has completed all assigned educational sanctions.
2. Transcript Notation Expungement for Cases Involving Suspension or Dismissal:
A student or former student may petition for a transcript notation to be expunged—or removed—from the academic transcript after a period of three years from the final resolution of the case if the student can show good cause. In cases involving suspension, the student must have completed the term of the suspension and all educational sanctions prior to submitting their petition. The Office of Student Conduct will work with former students who have outstanding educational sanctions to determine options, which could include alternate sanctions that are mutually agreed upon, for fulfilling sanction requirements so that the individual may petition to have the transcript notation expunged.

Expungement of the transcript notation is not the same as expungement of the entire case record.

Evaluation of Expungement Petitions
The Director of Student Conduct or their designee will review petitions for early record expungements as well as transcript notation expungements based on the criteria above and will submit a recommendation to the Vice President for Student Affairs or their designee for final approval. The decision will be based upon the following criteria, as outlined in the petition application available on the Student Conduct website:

1. The nature of the violation(s) and the resulting impacts
2. The student’s behavior after the violation(s) and their present demeanor
3. The student’s demonstrated level of reflection and growth

After a petition is evaluated, the student will receive written notification of the decision. That decision will be final.

It is important to note that a student with an expunged record or transcript notation may still need to disclose information about their disciplinary history to third parties, including potential employers, other universities’ admissions offices, a professional board, etc.

XII. Appendices

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Appendix I: Additional Policies and Procedures Governing the Use of Alcoholic Beverages

Virginia Tech recognizes that the misuse and abuse of alcohol is a persistent social and health problem in our society and that it interferes with the goals and objectives of any educational institution. The university fully complies with the alcohol regulations of the Commonwealth of Virginia, and all state laws apply to Virginia Tech students and student organizations. Students or student organizations who violate the Alcoholic Beverage Policy in the Student Code of Conduct and any associated policies or guidelines will face disciplinary action. Sanctions will likely include substance-related education.

In compliance with the laws of the Commonwealth, and to maintain conditions conducive to learning, possession or consumption of alcoholic beverages on campus is only permitted according to the following provisions:

<table>
<thead>
<tr>
<th>LOCATION DESCRIPTION</th>
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<tbody>
<tr>
<td>Residence hall room</td>
</tr>
<tr>
<td>In the privacy of a student room, alcoholic beverages are permitted for those persons 21 years of age or older in accordance with state law, provided that at least one of the 21-year-old residents of the room is present.</td>
</tr>
<tr>
<td>Other locations in residence halls</td>
</tr>
<tr>
<td>Aside from the privacy of a student’s room, possession or consumption of alcoholic beverages in any area of residence halls, including suite living rooms, is forbidden.</td>
</tr>
<tr>
<td>Oak Lane</td>
</tr>
<tr>
<td>The Director of Fraternity and Sorority Life, in conjunction with the Director of Residential Well-being, determines regulations concerning the use of alcoholic beverages in the &quot;Oak Lane Community&quot; (also known as Special Purpose Housing) during events.</td>
</tr>
<tr>
<td>Corps of Cadets</td>
</tr>
<tr>
<td>The Commandant of Cadets establishes and publishes regulations to be observed by cadets regarding the possession and consumption of alcoholic beverages. This information is published in the Cadet Regulations Manual.</td>
</tr>
<tr>
<td>All residential locations</td>
</tr>
<tr>
<td>Kegs of any description in student rooms or residence halls, including Oak Lane, are prohibited.</td>
</tr>
<tr>
<td>All other university property</td>
</tr>
<tr>
<td>The possession and use of alcoholic beverages is prohibited on all other university property except in certain facilities that are fully registered with the Virginia Alcoholic Beverage Control Board (ABC).</td>
</tr>
</tbody>
</table>

Alcoholic beverages are further governed by Virginia Polytechnic Institute and State University Policy and Procedures No. 1015.

For more information related to federal and state laws and regulations regarding alcohol or illegal drugs or prevention and substance-use programs available at Virginia Tech, please consult the university’s Drug and Alcohol Prevention Program document.
Appendix II: Additional Information about Policies and Laws Governing the Use of Cannabis (Marijuana)

Effective July 1, 2021, cannabis (marijuana) is legal in the Commonwealth of Virginia for both recreational and medical use. As an academic community committed to well-being, Virginia Tech recognizes that using marijuana may negatively impact students' academic performance, relationships, mental health, and career goals. Therefore, it is important for students to understand the policies and laws that govern cannabis (marijuana) possession and use, as well as the support resources that are available to address negative effects and potential misuse.

Federal and State Laws and University Policy

1. Using or possessing cannabis (marijuana) or cannabis (marijuana) paraphernalia in any form is prohibited on all university properties and at university-sponsored off-campus activities. This prohibition includes, but is not limited to, smoking, edibles, and vaporizers.

Although recreational and cannabis (medical) uses of cannabis (medical) are both legal in the Commonwealth of Virginia as of July 1, 2021, federal law continues to prohibit it. As an institution that receives federal funds, including federal financial aid, Virginia Tech is required to comply with all federal laws and regulations, including the Drug Free Schools and Communities Act, which requires institutions to have policies prohibiting possession, use, or cultivation of cannabis (marijuana) on university property or at university-sponsored off-campus events. Therefore, Virginia Tech will enforce prohibitions of marijuana on university property and at university-sponsored events off campus, and students who violate this policy will be subject to action under the Student Code of Conduct. Sanctions will likely include substance-related education.

2. Students at off-campus locations/properties and off-campus events that are not sponsored by the university are expected to abide by Virginia laws related to cannabis (medical) use, possession, or growth. These include, among others, the list below. This list serves only as an overview; students should refer to the Code of Virginia for the most updated and accurate description of the law.

- **Legal age:** Legal possession, use, or cultivation is limited to adults 21 or older.
- **Quantity:** Individuals may not possess more than one ounce (28 grams) or the equivalent amount of another marijuana product.
- **Home growth:** Individuals may cultivate up to four marijuana plants; these plants must be marked and may not be visible from a public street or accessible to children.
- **Locations:** Use of cannabis (marijuana) is not permitted in public spaces or on public school grounds.
- **Selling:** Sales of cannabis (marijuana) are prohibited; however, an adult over 21 may “gift” up to 1 ounce to another adult over 21.
- **Driving:** Using cannabis (marijuana) in any form is prohibited while driving or riding in a motor vehicle, as is having an “open container” of cannabis (marijuana) in the passenger area of the vehicle.
3. As of July 1, 2022, Virginia state law prohibits the sale of hemp-derived Delta-8, Delta-10, HHC, THC-0, and other synthetically derived cannabinoids in edible products such as food and beverages. Food and beverages with a THC content of 0.3% or higher is categorized as cannabis and can only be sold in state-licensed medical cannabis dispensaries to individuals 21 years or older.

For information about education and support resources regarding cannabis (marijuana), alcohol, and other drugs, please consult the website for Hokie Wellness, as well as the university’s Drug and Alcohol Prevention Program document.

**Appendix III: Title IX Definitions and Formal Title IX Adjudication Process**

The process for formal Title IX complaints, including definitions of terms and policies, reporting, investigations, and adjudication, is outlined fully in the university’s Title IX Reporting and Grievance Procedures for Sexual Harassment and Violence. The following excerpts include the policy definitions under Title IX, as well as the formal Title IX adjudication process for students, which is conducted by the Office of Student Conduct.

**Title IX Definitions**

Complainant means an individual who is alleged to be the victim of conduct that could constitute Title IX Sexual Harassment.

Consent means knowing, voluntary, and clear permission by word or action, to engage in mutually agreed upon sexual activity. The existence of consent is based on the totality of circumstances, including the context in which the alleged consent occurred. Silence does not necessarily constitute consent and coercion, force, or threat of either party invalidates consent.

- Consent cannot be given where a person is incapacitated due to drugs or alcohol; or where a person has a disability; or is not of legal age to consent as defined by law.
- Consent to any one form of sexual activity cannot automatically imply consent to any other forms of sexual activity. Consent can be withdrawn at any time.
- Previous relationships or prior consent cannot imply consent to future sexual acts.

Dating Violence means violence committed by a person: (a) who is or has been in a social relationship of a romantic or intimate nature with the victim; and (b) Where the existence of such a relationship shall be determined based on a consideration of the following factors: (1) the length of the relationship; (2) the type of relationship; and (3) the frequency of interaction between the persons involved in the relationship.

Domestic Violence means felony or misdemeanor crimes committed by: (a) a current or former spouse or intimate partner of the victim; (b) a person with whom the victim shares a child in common; (c) a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner; (d) a person similarly situated to a spouse of the victim under the domestic or family violence laws of Virginia; or any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of Virginia.
Respondent means an individual who has been reported to be the perpetrator of conduct that could constitute Title IX Sexual Harassment.

Sexual Assault means misconduct that meets the definition of Rape, Fondling, Incest, or Statutory Rape, as defined below:

- Rape means penetration, no matter how slight, of the vagina or anus of a person with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
- Fondling means the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of age or temporary or mental incapacity.
- Incest means sexual intercourse between persons who are related to each other within degrees wherein marriage is prohibited by law.
- Statutory Rape means sexual intercourse with a person who is under the statutory age of consent.

Stalking means engaging in a course of conduct directed at a specific person that would cause a reasonable person to: (a) fear for the person’s individual safety or the safety of others; or (b) suffer substantial emotional distress.

**Formal Title IX Adjudication Process**

When the Title IX Coordinator refers a case for formal adjudication, the Office of Student Conduct will hold a live hearing with cross examination to determine whether the respondent is responsible for the alleged conduct and to provide appropriate sanctions, as appropriate.

**A. Procedural Guarantees**

In formal conduct hearings for Title IX formal complaints, the complainant and respondent are entitled to the following procedural guarantees and opportunities:

- To receive a copy of the final investigation report, including any attachments and supporting documents from the Title IX Coordinator or designee at least ten (10) days in advance of the hearing.
- To receive written notice of the date, time, location, participants, and policies charged at least five (5) business days in advance of the hearing to allow the parties sufficient time to prepare for the hearing.
- To be accompanied by an advisor of their choice, at their own cost, or to have an advisor provided to them by the Office of Student Conduct without fee or charge.
- To inspect and review, during the hearing, all evidence obtained during the investigation that is directly related to the allegations in the formal complaint.
- To present that evidence that supports or refutes the alleged conduct.
- To present witnesses, including fact and expert witnesses.
- To have their advisor conduct live cross-examination on the other party and any witnesses.
• To remain silent or to participate as they see fit, including full, partial, or no participation; however, they should carefully review the section on cross-examination, below, to understand the potential impacts should they choose to limit participation.

• To challenge the objectivity of a hearing officer(s), given reasonable cause to believe they may be biased or have a conflict of interest.

• To appeal, regardless of the outcome, based on the following grounds: 1) Procedural irregularity; 2) Significant and relevant new information that was not available at the time of the hearing; 3) The Title IX Coordinator, Investigator, or hearing officer(s) had a conflict of interest or bias, which affected the outcome; 4) Unduly harsh or arbitrary findings or sanctions.

*Only evidence and information submitted prior to the final investigation report will be considered during at the hearing.

B. Advisors
At the hearing, each party may be accompanied by an advisor of their choice, at their own cost (e.g., parent, friend, attorney, etc.); if a party does not have an advisor, the university will provide one to them without fee or charge for the purposes of cross-examination. Advisors may not also serve as witnesses.

Advisors will be permitted to cross-examine (i.e., ask relevant questions and follow-up questions) the other party and any witnesses directly, orally, and in real time. The parties must use their advisors in this capacity, as they will not be permitted to ask questions personally.

Aside from cross-examination, advisors may not speak on the student’s behalf or participate actively in the process. Advisors must follow the guidance of the hearing officers.

C. Cross-Examination
During the hearing, the parties’ advisors will be permitted to ask relevant questions and follow-up questions, including those challenging credibility, of the other party and any witnesses. Cross-examination must be conducted directly, orally, and in real time. At no times will the parties directly conduct cross-examination.

Relevance
Questions asked during cross-examination must be relevant to the behavior and situation in question. Hearing officers will determine whether each question is relevant and, if they choose to exclude a question, explain why it is not relevant. The following topics/questions have been identified as automatic exclusions:

Questions or information about the complainant’s prior sexual behavior, unless they are used to prove someone other than the respondent committed the alleged conduct or if they concern previous sexual activity with the respondent and are used to prove consent.

Questions or information that disclose or seeks to disclose privileged information, such as medical or psychological records.
For more information about relevant information, please refer to the Relevant Evidence section in the Title IX Reporting and Grievance Procedures for Sexual Harassment and Violence (INSERT LINK).

Declining to Participate in Cross-Examination
The hearing officers will also not draw conclusions regarding responsibility based solely on a party's or witness’s absence from the hearing or decision to decline to answer questions from the hearing officers or during cross-examination.

D. Recording
The Office of Student Conduct audio records all formal hearings. A copy of the recording is maintained as part of the case file and will be made available to the parties, upon request.

E. Hearing Location and Virtual Participation
At the discretion of the Office of Student Conduct, a hearing may be conducted in a single physical location, with all parties present, or a hearing may be conducted virtually, with participants appearing via videoconference. If the hearing is held in person (i.e., in a single physical location), either party may request to be located in a separate room and to participate via video conference. Regardless of the participation method, the hearing participants will be able to simultaneously see and hear each other.

F. Determination of Responsibility
After the hearing, a determination of whether a respondent is responsible for violating any policy in the Student Code of Conduct will be made by the hearing officers based on the information presented in the investigation report and at the hearing.

Standard of Proof
The university uses preponderance of the evidence to determine whether or not the respondent is responsible for the alleged conduct. This determination is made based on the information available to determine if it is more likely than not that a violation occurred.

Decision Letter
The hearing officer will simultaneously provide the parties the decision in writing. The decision letter will include the following information: allegations and policies charged, procedural steps taken during the grievance procedure, information used to determine the findings and their application to the policies charged, rationales for each finding, any sanctions imposed on the respondent, any remedies provided to the complainant, and information about the appeal process.

Range of Possible Sanctions
If a respondent is found responsible for the alleged conduct, the hearing officers will make a determination regarding appropriate sanctions. One or more of the following sanctions may be imposed:
• Formal warning
• Probation
• Deferred Suspension
• Suspension
• Deferred Dismissal (i.e., deferred expulsion)
• Dismissal (i.e., expulsion)
• Denial of privileges or associations
• Educational, Community, and Wellness Activities

When assigning sanctions, hearing officers consider the type and nature of any policy violation(s), including mitigating or aggravating factors, as well as the student’s prior conduct record. Sanctions are generally cumulative in nature.

For definitions and additional information about sanctions in the Student Conduct process, please refer to the Student Code of Conduct.

Remedial Action
Following a hearing, the Director of Student Conduct shall work with the Title IX Coordinator, who will oversee any necessary remedial action to restore or preserve the complainant’s equal access to the university’s education programs or activities.

Appeal Process
Both parties have the opportunity to appeal the outcome of a formal hearing in a Title IX case regardless of the outcome. Sanctions take effect immediately, pending the appellate officer’s decision or the end of the appeal period.

A. Grounds for Appeal
Appeals are not re-hearings; therefore, appeal requests are limited to the following grounds:

• Procedural irregularity or denial of procedural guarantees
• Significant and relevant new information that was not available at the time of the hearing
• Conflict of interest or bias by the Title IX Coordinator, Investigator, or hearing officer(s), which affected the outcome
• Unduly harsh or arbitrary findings or sanctions.

Appeals submitted that do not have sufficient grounds in one of these areas will be denied.

B. Potential Outcomes of an Appeal
The appellate officer will review the appeal and may:

• Uphold the original decision and sanctions
• Uphold the original decision and either decrease or increase the sanction
• Vacate a finding
• Send the case back to the Title IX Coordinator for further investigation
• Send the case back to Student Conduct for a new partial or full hearing
C. Time Frame to Submit an Appeal
The parties have seven (7) business days from the date of the decision to submit the appeal. The date the decision is given is considered the first day of the appeal period. Appeals submitted after the deadline will not be accepted except in extenuating circumstances, as determined by Student Conduct.

D. Format of Appeal
The appeal is a written request submitted by the student for a review of the original case. The student should include which grounds for appeal they believe apply, and any information the student wants considered should be included in the written document. The burden is on the appealing party to demonstrate why the finding or sanction should be altered.

E. Notification to the Other Party
When one party submits an appeal, the Office of Student Conduct will notify the other party and provide them with an opportunity to review the appeal and submit a written statement in response, which will be included in the appeal documentation.

F. Appellate Officers
An appellate officer will be designated by the Vice President for Student Affairs, who serves as the university’s Chief Appellate Officer. All appellate officers are external to the Office of Student Conduct and Title IX. When they are designated to review a case, the Assistant Vice President will ensure they do not have conflicts of interest or bias and are, therefore, able to review the case objectively.

G. Appeal Decision Letter
The appellate officer will issue a decision on the appeal in writing to both parties simultaneously. This notification will include a rationale for the decision.

Appendix IV: Additional Information Regarding the Hazing Policy
Hazing is a criminal offense in the Commonwealth of Virginia, as defined in § 18.2-56 in the Code of Virginia, and is prohibited at Virginia Tech in all forms. This policy is based on the proposition that students are entitled to be treated with consideration and respect at all times. It applies to all student organizations and individuals.

The Student Code of Conduct defines hazing as follows:
Any mental or physical requirement, request, or obligation placed upon any person that could cause discomfort, pain, fright, disgrace, or injury; that is personally degrading; or that violates any federal, state, or local statute or university policy, regardless of the willingness of an individual to participate in such activity.

Hazing shall include, but not be limited to, forcing, compelling, requiring, encouraging, or expecting, whether direct or implied, any individual to participate in any of the following actions or activities. Hazing also includes soliciting, directing, aiding, or otherwise participating actively or passively in these acts:
• Physical Acts
  › Encouraging or requiring persons to consume alcohol or other substances (i.e., food, other beverages) regardless of the age of the participant.
  › Encouraging or requiring that a person do or submit to any act that will alter his or her physical appearance in any significant degree for any substantial period of time (e.g. burning, branding, tattooing, using makeup, paint or markers on a person, or shaving the head or body).
  › Encouraging or requiring activities that disrupt a person’s normal schedule. A normal schedule includes three reasonably spaced meals per day, the opportunity for sufficient rest at night (at least six full hours) and reasonable time for personal hygiene.
  › Encouraging or requiring a person to engage in physical activity of unusual kind or duration, such as: calisthenics, overly difficult work assignments, activities that may be excessive for a person, activities that require a person to remain in a fixed position for an extended period of time, binding or restricting an individual in any way that would prohibit them from moving on their own, confining a person or exposing participants to uncomfortable elements like in environments that are too hot, cold, noisy, small, or threatening/intimidating.
  › Hinting, pretending, or misleading a prospective member into believing that they will be hit, hurt, or physically altered.
  › Encouraging or requiring acts that are or seem to be dangerous.

• Psychological Acts
  › Encouraging or requiring a person to pretend to or actually violate a law.
  › Encouraging or requiring an individual to obtain or possess items or complete tasks in an unlawful manner (i.e. for a scavenger hunt).
  › Verbally abusing prospective members. Examples include but are not limited to yelling or screaming; calling individuals demeaning names; booing, hissing, or demeaning individuals when they make mistakes.
  › Encouraging or requiring a person to perform acts of servitude, perform personal errands for others, or engage in activities that are demeaning.
  › Misleading prospective members in an effort to convince them that they will not become members unless they complete tasks, follow instructions, or act in a certain way.
  › Misleading prospective members into believing that they will be hurt during induction or initiation.
  › Encouraging or requiring a person to publicly carry objects or wear apparel that is abnormal, not normally in good taste, conspicuous and/or indecent.
  › Encouraging or requiring a person to appear nude or reveal body parts.
• Encouraging or requiring an individual or group to remain in a certain place or transporting them to a location without their knowledge (e.g. taking a person on a road trip or excursion to an unknown destination or kidnapping).

• Parading individuals in public areas, transporting individuals in a motor vehicle while blindfolded, or privately conducting blindfolding activities that serve no constructive purpose.

• Requiring an individual to “pledge” or “associate” for a period of unusual length (more than 10-12 weeks) for reasons other than achieving academic requirements or extraordinary circumstances.

As it is impossible to anticipate every situation that could involve hazing, this list does not, and cannot, encompass every circumstance that will cause the institution to discipline for hazing. This policy is not intended to prohibit the following conduct:

• Customary athletic events, contests, or competitions that are sponsored by the institution or the organized and supervised practices associated with such events.

• Any activity or conduct that furthers the goals of a legitimate educational curriculum, extracurricular program or military training program, as approved by the institution.

**Note: An individual may not consent to being hazed, and their voluntary or willful participation in hazing activities will not be considered as a defense against a violation of the institution’s hazing policy by an individual or organization.**

University Reporting, Investigation, and Adjudication: The university encourages individuals to report any potential hazing activities. The initial report of a suspected violation may be reported in person, by phone or by electronic communication, and may be done anonymously.

Alleged violations of this policy can be reported through an online reporting system or to the following offices:

• Student Conduct

• Student Engagement and Campus Life

• Fraternity and Sorority Life

• Recreational Sports

• Virginia Tech Police Department

• Virginia Tech Corps of Cadets
Credible and sufficiently detailed reports of hazing will be referred to Student Conduct for further investigation and potential adjudication. Both individuals and organizations may be held responsible for their actions and participation in incidents of hazing. If an investigation concludes that an individual or individuals directed, engaged in, aided or otherwise participated in, actively or passively, an incident of hazing, disciplinary action may be imposed against the individual(s). If the investigation concludes that an organization knowingly permitted, authorized, or condoned hazing, disciplinary action may be imposed against the entire organization.

Reporting to the Commonwealth’s Attorney: The university must report incidents of hazing to the Commonwealth’s Attorney, in accordance with § 18.2-56 in the Code of Virginia, who may take separate action.

Public Reporting of Violations of Hazing: Per § 23.1-822 in the Code of Virginia, the university shall maintain and publicly report actual findings of violations of the institution’s code of conduct or of federal or state laws pertaining to hazing that are reported to campus authorities or local law enforcement.
RESOLUTION TO APPROVE ORGANIZATIONAL CHANGE AT THE NORTHERN VIRGINIA CENTER LOCATED IN FALLS CHURCH, VIRGINIA

WHEREAS, from 1994 to 2019, Virginia Tech and the University of Virginia jointly held interests in property and an academic building called the Northern Virginia Center located in Falls Church, Virginia and dedicated to the instruction of graduate students; and

WHEREAS, in 2019, the University of Virginia chose to leave the Northern Virginia property and building, and Virginia Tech acquired the University of Virginia’s interests resulting in Virginia Tech being the sole lessor and occupant of the building; and

WHEREAS, Virginia Tech’s academic programs continue to develop and advance across the Commonwealth including the university’s Innovation Campus; and

WHEREAS, in April of 2022, after extensive review and consideration of options, the Virginia Tech Board of Visitors determined that the continued academic success and financial interests of the university were best served by ceasing instruction at the Northern Virginia Center, relocating the university’s academic programs to more appropriate spaces, and transferring the Northern Virginia Center property and building to the City of Falls Church; and

WHEREAS, to prioritize the completion of degrees by students and the relocation of academic programs the university executed a short-term lease to occupy the Northern Virginia Center until December of 2024.

NOW, THEREFORE, BE IT RESOLVED, that the Virginia Tech Board of Visitors confirms the closure of the off-campus instructional site at the Northern Virginia Center located in Falls Church, Virginia; and

BE IT FURTHER RESOLVED, that this site closure will be communicated to all appropriate parties including the State Council of Higher Education for Virginia.

RECOMMENDATION:

That the Virginia Tech Board of Visitors approve this resolution confirming the cessation of instruction at the Northern Virginia Center in Falls Church, Virginia.

June 11, 2024
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**Institution**
Virginia Polytechnic Institute and State University (Virginia Tech)

**Nature of Proposed Change**
The proposed organizational change will close the off-campus instructional site at the following location:

Northern Virginia Center  
7054 Haycock Road  
Falls Church, VA 22043  
Website: [https://www.nvc.vt.edu/](https://www.nvc.vt.edu/)

**Background**
In accordance with a 1994 appropriation from the state, Virginia Tech and the University of Virginia (UVA) acquired ownership of 2.19 acres on Haycock Road in 1994 and a shared interest in a ground lease of an adjoining 5.33 acres in 1995, which leased real property that was owned by the City of Falls Church. The universities subsequently constructed an approximately 101,154 square foot academic building on the leased 5.33 acres. This area, containing a total of 7.52 acres and with all improvements, became the Northern Virginia Center and has been in operation since 1997. Based on the costs and funding of the Northern Virginia Center, and by agreement between the universities, Virginia Tech held a sixty percent (60%) interest in the Northern Virginia Center and UVA held a forty percent (40%) interest.

Based on UVA’s expressed desire to leave its interest in the Northern Virginia Center, the Virginia Tech Board of Visitors authorized Virginia Tech to acquire UVA’s interest in April 2019. The board authorized Virginia Tech’s acquisition of UVA’s entire interest in the Northern Virginia Center, UVA’s interest in the 5.33 acre lease including the 101,154 square foot academic building located thereon, and the 2.19 acre parcel jointly owned by both universities. Virginia Tech subsequently acquired UVA’s entire interest in the Northern Virginia Center, the ground lease with the City of Falls Church, and the 2.19 acre parcel. This resulted in Virginia Tech being the sole occupant of the building and the sole tenant under the lease with the City of Falls Church.

As the Northern Virginia Center aged, Virginia Tech determined that the property would not accommodate future program uses and would require significant investment for long-term usage. The university explored redevelopment opportunities and partnerships for the property, but none were determined to be financially viable. As such, at the April 2022 meeting of the Virginia Tech Board of Visitors, the board authorized the university to convey the 2.19 acre parcel to the City of Falls Church and terminate the ground lease of the 5.33 acres, which allowed the transfer of the building to the City of Falls Church pursuant to the terms of the lease. That would allow the City of Falls Church to develop the area in alignment with the city’s overall planning objectives.

In the summer of 2023, Virginia Tech publicly announced plans to the university community for the closure of the Northern Virginia Center off-campus location. Following the announcement, colleges with program offerings at the Northern Virginia Center began planning to address student needs for program completion and provide students with information on where programs were moving following the site closure.
On October 30, 2023, the property at the Northern Virginia Center site officially transferred from Virginia Tech to the City of Falls Church. The City of Falls Church subsequently transferred the property to Converge JV, LLC.

A short-term lease was executed between Virginia Tech and Converge JV, LLC to allow the university to continue to occupy the Northern Virginia Center through December 31, 2024. This lease is needed to allow adequate time for the university programs at the Northern Virginia Center to be relocated to other Virginia Tech off-campus locations in the region.

The Northern Virginia Center currently offers coursework for several degree programs and provides library services for students. The off-campus site also serves as the primary location for student and administrative services provided by the Graduate School for students in the region. The student and administrative services provided by the Graduate School will transition to the Virginia Tech Innovation Campus, once it is complete in spring 2025.

See attachment A for the current lease.

**Purpose of Proposed Change**

The purpose of the proposed change is to close an instructional site in which institutional programming and services are no longer needed.

**Rationale for Proposed Change**

The Northern Virginia Center off-campus site was established and used to offer Virginia Tech graduate degree programs. The degree programs offered at the site were primarily academic programs offered by the university’s Pamplin College of Business and College of Engineering. Academic programs in areas such as business, computer engineering, computer science, and industrial and systems engineering were and are currently offered to residents in the local area of Falls Church. The off-campus site has afforded the university the opportunity to educate graduate students who need access to academic programs and coursework without having to travel to Blacksburg.

A review of the site in 2022 revealed that the facility had aged significantly and would require further redevelopment to meet the instructional needs of the programs offered at that location. The university considered costs associated with redevelopment of the building in conjunction with the existing off-campus instructional site in Arlington and the 2025 opening of an off-campus instructional site in Alexandria. An additional factor considered by the university were the plans expressed by the City of Falls Church to redevelop the property. Based on all factors associated with the site, Virginia Tech made the decision to close the Northern Virginia Center, off-campus site in Falls Church.

**Academic Programs**

Academic programming currently consists of graduate programs and coursework in two colleges, the Pamplin College of Business and the College of Engineering.

**Pamplin College of Business**

Doctor of Philosophy (Ph.D.) in Business
Master of Science (M.S.)/Master of Business Administration (M.B.A.) in Business Administration

College of Engineering

Bradley Department of Electrical and Computer Engineering Programs
Doctor of Philosophy (Ph.D.) in Computer Engineering
Doctor of Philosophy (Ph.D.) in Electrical Engineering
Master of Science (M.S.)/Master of Engineering (M.Eng.) in Computer Engineering
Master of Science (M.S.)/Master of Engineering (M.Eng.) in Electrical Engineering

Department of Computer Science Programs
Doctor of Philosophy (Ph.D.) in Computer Science and Applications
Master of Science (M.S.)/Master of Engineering (M.Eng.) in Computer Science and Applications

Grado Department of Industrial and Systems Engineering Programs
Doctor of Philosophy (Ph.D.) in Industrial and Systems Engineering
Master of Science (M.S.)/Master of Engineering (M.Eng.) in Industrial and Systems Engineering
Master of Science (M.S.)/Master of Engineering (M.Eng.) in Systems Engineering

Teach Out Plan
In the summer of 2023, students taking courses at the existing site were informed about the impending closure of the site. Virginia Tech administrators decided to continue offering courses at the existing site as plans were made for transitioning course offerings to other Virginia Tech off-campus locations in the region, the Virginia Tech Research Center – Arlington or the Virginia Tech Innovation Campus, once it is complete in spring 2025. There will be no interruption in current course offerings. Students will not incur any additional charges or expenses as a result of the site closure.

Affected colleges, departments, and associated programs developed individual teach out plans to meet the current student population and maintain course offerings.

Pamplin College of Business Teach Out Plan
In spring 2025, Northern Virginia Center students taking courses in the Pamplin College of Business in the Ph.D. in Business and the M.S./M.B.A. in Business programs will take classes at the Virginia Tech Innovation Campus or the main campus in Blacksburg. In addition, the department will provide courses in a fully online format for students who are unable to adjust to a new location. Support for students as they move to new locations will be provided by the Graduate School.

College of Engineering Teach Out Plan
Department of Electrical and Computer Engineering
In spring 2025, Northern Virginia Center students taking courses in the Department of Electrical and Computer Engineering in the Ph.D. in Computer Engineering, Ph.D. in Electrical
Engineering, M.S./M.Eng. in Computer Engineering, and M.S./M.Eng. in Electrical Engineering degree programs will take classes at the Virginia Tech Research Center – Arlington or the Virginia Tech Innovation Campus. Support for students as they move to new locations will be provided by the Graduate School.

Department of Computer Science
In spring 2025, Northern Virginia Center students taking courses at the in the Department of Computer Science in the Ph.D. in Computer Science and Applications and the M.S./M.Eng. in Computer Science and Applications degree programs will take classes at the Virginia Tech Innovation Campus. Support for students as they move to the new location will be provided by the Graduate School.

Department of Industrial and Systems Engineering
In spring 2025, Northern Virginia Center students taking courses in the Department of Industrial and Systems Engineering in the Ph.D. in Industrial and Systems Engineering, M.S./M.Eng. in Industrial and Systems Engineering, and M.S./M.Eng. in Systems Engineering degree programs will take classes at the Virginia Tech Innovation Campus. Support for students as they move to the new location will be provided by the Graduate School.

Resources/Budget
The organizational change to close the Northern Virginia Center in Falls Church off-campus site is executable within Virginia Tech’s currently authorized funds. Based on the assessment conducted by facilities personnel of the condition of the equipment, including computers, furniture, and all other office items located at the facility, the institution will either move or dispose of the items at an estimated cost of $25,000. The costs will be covered by the university. No resources will be requested form the state to close the off-campus site in Falls Church, Virginia.
ATTACHMENT A

DEED OF LEASE

This Deed of Lease (the "Lease") is dated the 30th day of October 2023, between, Converge JV, LLC, Delaware limited liability company, as Grantor (the "Landlord"), and Virginia Polytechnic Institute and State University, a state agency and an educational institution of the Commonwealth of Virginia, as Grantee (the "Tenant").

1. WITNESSETH

1. PREMISES:

For and in consideration of the terms, conditions, covenants, promises and agreements herein made, the Landlord leases to the Tenant the following property or premises (the "Premises"), together with full rights of ingress and egress, in the County of Fairfax, Virginia. The Premises are more particularly described as:

7054 and 7048 Haycock Road, Falls Church (Tax Map Nos. 0403-01-0092 and 0403-01-0092A) improved by that certain building containing approximately 101,154 square feet of gross floor area (the “Building”), parking areas, drive aisles and related improvements.

2. USE OF PREMISES:

The Premises are to be used and occupied by the Tenant for offices and classroom facilities and other educational purposes consistent with those purposes of which the Premises is being used as of the Commencement Date (as hereinafter defined), and consistent with applicable law.

3. TERM:

a. The term of this Lease (the "Term") shall commence on the date hereof (the "Commencement Date") and terminate on December 31, 2024 (the "Termination Date"), unless sooner terminated as expressly set forth in this Lease.

b. The Landlord warrants that the Landlord alone, at the time this Lease is executed, has the right to lease the Premises, without the consent of any other party. It is expressly understood and agreed that this covenant by the Landlord constitutes a warrant. If the Landlord does not have this right, then the Tenant, in addition to any other remedy available at law or in equity, may immediately declare this Lease null and void from its inception and of no force and effect, without notice. In such event, no rent shall accrue or be deemed to have accrued for the term of this Lease, or for any part of the term.
4. **RENT:**

The Tenant shall pay the Landlord the sum of ONE and NO/100 DOLLARS ($1.00) as rent (the "Rent") for the Term which shall be paid in advance on the Commencement Date. The payment of all Rent and other amounts due pursuant to this Lease shall be made payable to the Landlord and mailed to:

Converge JV, LLC  
c/o Rushmark Properties, L.L.C.  
2900 Fairview Park Drive  
Falls Church, VA 22042

or to such other person or entity or at such other address as the Landlord may designate from time to time by written notice to the Tenant.

5. **POSSESSION AND CONDITION OF PREMISES:**

a. The Landlord shall deliver quiet possession of the Premises to the Tenant on the Commencement Date and shall provide quiet enjoyment of the Premises to the Tenant during the Term.

b. Tenant acknowledges that Tenant has been occupying the Premises prior to the Commencement Date pursuant to a lease with Landlord’s predecessor in title which terminated on the Commencement Date. On the Commencement Date, the Landlord shall deliver the Premises to the Tenant in its AS IS WHERE IS condition.

c. The Landlord, and its employees, agents and contractors, shall have the right to enter and pass through any part of the Premises, without prior notice, only in the case of an emergency. If the Landlord, or the Landlord’s employees, agents or contractors, must enter the Premises in the case of an emergency, then as soon as practicable before or after such emergency entrance, the landlord, or the Landlord’s agent, shall contact Real Estate Management (Telephone #540-357-1586).

6. **MAINTENANCE:**

a. The Tenant shall equip the Premises and perform all alterations, replacements, improvements, decontamination, and additions to the Premises and the equipment upon the Premises, at the Tenant’s expense, as shall be necessary at any time during the Term of this Lease, or any extension or renewal thereof, to comply with the provisions of Federal, State and local laws and regulations pertaining to health, safety, public welfare, and environmental protection, including laws and regulations pertaining to asbestos, carbon monoxide, polychlorinated biphenyls, urea formaldehyde, lead paint, radon, petroleum product storage tanks, and freon, regardless of the effective date of law or regulation unless the Premises are grandfathered from such laws or regulations. This subsection shall not apply if the necessity for compliance with these laws arises from a grossly negligent or willful act of the Landlord or its employees.

b. It shall be the sole responsibility and obligation of the Tenant, at its expense and in accordance with applicable laws, technical publications, manuals and standard procedures, to (i) properly maintain, repair and replace all the structural portions of the Premises, including foundation, sub-floor, structural walls and roof, as well as to keep the Premises and all equipment and
non-trade fixtures in good working order and to perform any required repairs, replacement and maintenance, and (ii) keep all plumbing, heating, air conditioning, electrical and mechanical devices, appliances and equipment of every kind or nature affixed to or serving the Premises in good repair, condition and working order. All equipment and systems shall be maintained to provide reliable, energy efficient service, without unusual interruption, disturbing noises, exposure to fire or safety hazards, uncomfortable drafts, excessive air velocities, or unusual emissions of dirt. As used herein, the word "repair" shall be deemed to include replacement of broken or cracked glass.

c. All other necessary or required maintenance, repairs and replacements to the Premises and common areas shall be the sole responsibility and expense of the Tenant. The Tenant’s maintenance responsibilities shall include the supply and replacement of all supplies, materials and equipment necessary for such maintenance.

d. The Tenant shall not be obligated to make any repairs to the Premises due to damage caused by the grossly negligent or willful acts of the Landlord, or its agents, employees, or contractors.

e. If the Tenant fails to keep, repair and maintain the Premises and all plumbing, heating, air conditioning, electrical and mechanical devices, appliances and equipment of every kind or nature affixed to or serving the Premises in good repair, condition and working order as provided in this Section, then the Landlord, at its option, may either immediately terminate this Lease and all obligations hereunder, or proceed to make, or cause to be made, such upkeep, repair and maintenance, at the Tenant’s expense, and, Tenant shall reimburse Landlord in connection therewith, subject to any limitations set forth in this Lease.

f. When and as snow and/or ice removal become necessary, the Tenant shall promptly remove all snow and ice from all walkways, loading areas, common areas, and parking areas.

7. DAMAGE OR DESTRUCTION OF THE PREMISES:

a. If the Premises are damaged by fire, lightning, windstorm, tornado, earthquake, civil disturbance, flood, acts of nature or other casualty loss, in connection with a Material Casualty (as hereinafter defined) or, in the reasonable opinion of the Tenant, the Premises are thereby rendered untenantable or unusable for the Tenant's purposes, this Lease shall immediately terminate, at the option of the Tenant, upon written notice to the Landlord. As used in connection herewith the term “Material Casualty” means a casualty loss (by fire, lightning, windstorm, tornado, earthquake, civil disturbance, flood, act of nature or otherwise) which, in the reasonable opinion of Landlord, would cost more than $100,000 to repair.

b. If the Premises are damaged by fire or otherwise which does not constitute a Material Casualty, and in the reasonable opinion of the Tenant the Premises is not rendered totally untenantable and unusable, upon being notified to do so by the Tenant or its duly authorized agent, the Landlord shall repair and restore the Premises as promptly as possible to their former condition. If the Landlord fails to make all repairs, replacement, restoration, or renovation as required in this subsection, or as otherwise required in this Lease where no other remedy is expressly provided, within a reasonable time after written notice to the Landlord, then the Tenant may choose either option (i) or (ii) below:

i. The Tenant may undertake with its own resources to repair, replace, restore or renovate the Premises and may deduct the reasonable costs of the repairs, replacement, restoration, and renovation from the Rent or other payments otherwise
due to the Landlord under the terms of this Lease, or any renewal or extension thereof, or the Tenant may collect all such costs from the Landlord in any manner provided by law, if the Landlord has not paid for such repairs within 30 days after receipt of billing therefor from the Tenant; or

ii. The Tenant may terminate this Lease by giving fifteen (15) business days written notice to the Landlord. No notice of termination shall be given by the Tenant under this subsection if the Landlord, or its agents, has physically commenced repairs, replacement, restoration or renovation, and the work is being diligently and continuously pursued to completion in a professional and workmanlike manner.

8. ALTERATIONS BY THE TENANT:

The Tenant, at its sole cost and expense, may make alterations and additions to the Premises as the Tenant deems proper. The Tenant, however, shall not make any structural alterations of the roof, foundation or exterior walls without the prior written consent of Landlord, unless made pursuant to Section 7(b)(i). The Tenant, at its sole cost and expense, may install fixtures, partitions and make such other improvements as the Tenant may deem proper and the title and ownership of materials used in such alterations and additions, and all fixtures, partitions, and other improvements made and/or installed by the Tenant shall remain in the Tenant. Upon termination of this Lease, the Tenant may, at its option, remove the fixtures, partitions and other improvements made under this Section, in which event any damage to the Premises caused by removal, other than nominal damage (such as screw holes, bracket marks, etc.) shall be repaired by the Tenant at its expense. If the Tenant elects not to remove the improvements, it shall have no further responsibility for them or their removal.

9. UTILITIES AND SERVICES; INSURANCE; TAXES:

a. The Tenant shall cause to be provided, at the Tenant’s expense, the following utilities and services for the Premises: heating and air-conditioning as conditions require, electricity, gas, water and sewer, janitorial, and interior trash removal to the Premises.

b. The Tenant shall be responsible for all real estate taxes or charges in lieu of taxes applicable to the Premises.

c. The Landlord, at Landlord’s expense, shall keep the Premises and the Building insured against damage by fire, lightning, windstorm, tornado, earthquake, civil disturbance, flood, acts of nature and casualty loss, under a broad form extended coverage or similar property loss policy. The policy shall cover at least eighty percent (80%) of the replacement cost of the Premises and the Building. In addition, the Landlord shall maintain broad form general commercial liability insurance sufficient to ensure reasonable financial responsibility in the event of liability for injury, loss or damage at the Premises, the common areas and facilities.

10. CONDITION OF COMMON AREAS:

The Tenant, at the Tenant’s sole expense, shall maintain in a good, clean and safe condition, all common areas and common facilities, including all hallways, walkways, parking areas, and all related exterior lighting, to be used by the Tenant in common with other tenants.

11. ACCESSIBILITY BY PERSONS WITH DISABILITIES:
In addition to any other requirements or covenants in this Lease, and at all times during the Term and during any renewals or extensions thereof, the Tenant covenants that, as to the Premises, it will maintain the current level of accessibility.

12. ANTENNA AND COMMUNICATIONS EQUIPMENT:

a. The description of the demised premises will include roof space, exterior wall space and appurtenant interior space.

b. Use of the roof space, exterior wall space and appurtenant interior space shall be subject to the following covenants and conditions:

i. The Tenant shall be permitted to use the demised premises for the erection, maintenance and operation of a wireless Antenna and support base.

ii. The Tenant shall have the right to occupy and use interior space necessary for the maintenance and operation of the Antenna, Communications Equipment, and Communications Network.

iii. The Tenant shall erect the Antenna using existing or freestanding structures where possible to minimize physical modifications to the building structure. The Tenant shall not penetrate the roof. The Tenant, at Tenant’s expense, is responsible for repairing damage to the Structure caused by erection, maintenance, use or removal of the Antenna and Communications Equipment. In the event of removal of the Antenna, the structure shall be returned to its original condition, reasonable wear and tear excepted.

iv. The Antenna and Communications Equipment are and shall remain the property of the Tenant. The Tenant may remove the Antenna or Communications Equipment at any time during the Lease. Upon termination of the Lease, at its sole discretion, the Tenant has the option to remove the Antenna, Communications Equipment, and Communications Network.

v. The Tenant shall have a right and easement for the term of the Lease, including any renewal terms, to construct, erect, install, operate, repair and maintain, in the manner and for the purposes authorized by this Lease, aerial (overhead) and/or underground communications and electrical lines, cables, conduits and related equipment between the Antenna site and the indoor Equipment site and between both the Antenna site and the nearest available and suitable access point for connection to public utility services and grounding.

vi. The Tenant shall have a right to occupy and use such necessary chase, conduit and/or duct space within the Landlord’s building for electrical wiring, telephone lines, pipes, conduit, tubes, and related communications lines and equipment as may be required by the Tenant to install and operate, and as an integral part of, its Communications Equipment and facility, but only at locations specified or approved by the Landlord.
vii. Authorized representatives or employees of the Tenant shall have a free right of ingress and egress to and from the demised premises at reasonable times, and other times in case of emergency, for the purpose of the efficient operation and maintenance of the Equipment, Antenna and Communications Network.

13. DISCLOSURES; NON-WAIVER; APPROPRIATIONS:

a. The Landlord understands and acknowledges that the Tenant is an agency of the Commonwealth of Virginia and with respect to tort liability for acts or occurrences on or about the Premises, including product liability, the Commonwealth and the Tenant are either (i) constitutionally immune (or partially immune) from suit, judgment or liability, (ii) insured, or (iii) covered by a financial plan of risk management that is in the nature of self-insurance, all as determined by applicable laws, government policies and practices.

b. The Landlord understands and acknowledges that the Tenant has not agreed to provide any indemnification or save harmless agreements running to the Landlord. No provision, covenant or agreement contained in this Lease shall be deemed to be a waiver of the sovereign immunity of the Commonwealth of Virginia, or of the Tenant, from tort or other liability.

c. This Lease shall be governed by, and construed according to, the laws of the Commonwealth of Virginia. The parties choose County of Fairfax, Virginia, as the venue for any action instituted pursuant to the terms of this Lease.

d. Notwithstanding any other provision of this Lease, if the Tenant shall cease to exist, and is not replaced by a successor entity with similar powers and purposes, or its powers and authority are limited so as to not permit the continued use of the Premises for the purpose and use for which same are leased, then this Lease and all responsibility or obligations of the Tenant under this Lease shall terminate. In such event, the Tenant will endeavor to give as much notice as is reasonably possible of the event triggering the termination of this Lease and the anticipated termination date, but failure to give such notice shall not affect the termination.

e. Agencies of the Commonwealth of Virginia cannot expend funds unless appropriated by the Virginia General Assembly and may not obligate a future session of the Virginia General Assembly. Therefore, notwithstanding any provision in this Lease to the contrary, if any session of the Virginia General Assembly fails to appropriate funds for the continuance of this Lease, this Lease and all obligations hereunder shall automatically terminate upon depletion of the then currently appropriated or allocated funds.

14. REPORT OF OCCUPANCY:

a. The Tenant shall, within fifteen (15) days after receipt of a written request by the Landlord, submit to the Landlord, or its designee, a written Report of Occupancy specifying: (i) the date of possession of the Premises by the Tenant and the date on which the Lease terminates, (ii) whether this Lease is in full force and effect, (iii) the Rent, (iv) whether there have been any modifications to the Lease, and if there have been, a description of all such modifications, and, (v) whether the Tenant has knowledge of any default hereunder on the part of the Landlord, or if it does have such knowledge, a description of any such default.
b. The issuance of a report requested under subsection 14(a), or any errors or omissions in such report: (i) shall not operate as an estoppel against either the Commonwealth of Virginia or the Tenant, (ii) shall not form or provide any basis for liability against the Commonwealth or the Tenant, and (iii) shall not operate as a waiver of any rights or defenses that may be available to the Commonwealth or the Tenant either at that time or in the future.

15. CONDEMNATION:

a. The Landlord shall give immediate notice to the Tenant of any discussions, offers, negotiations or proceedings with any party regarding condemnation or taking of any portion of the Premises.

b. In the event that any portion of the Premises, or any portion of the Building, is taken by eminent domain, or sold to the holder of such power pursuant to a threatened taking, this Lease shall terminate effective as of the date of the taking. The date of taking shall be the earlier of: (i) the date on which title vests in the condemning entity or (ii) the date on which the condemning entity takes possession. In the event of a taking, the Tenant assigns to the Landlord any rights that the Tenant may have in and to any portion of a condemnation award, but such an assignment shall exclude any portion that may be due for, or attributable to, the Tenant's fixtures, moving expenses and allowances.

16. ESTOPPEL:

Upon not less than ten (10) days' prior written notice, Tenant shall execute and deliver to Landlord and/or Landlord's lender or successor, a written statement certifying: (a) that this Lease is unmodified and in full force and effect (or if there have been modifications, that this Lease is in full force and effect as modified and stating the modifications); (b) the date of expiration of the Term; (c) whether or not Landlord is in default in the performance of any obligation, and if so, specifying the nature of such default; (d) that Tenant has accepted the Premises; and (e) such other matters as Landlord may reasonably request.

17. TERMINATION:

a. This Lease may be terminated by Tenant at any time prior to the Termination Date by written notice from Tenant to Landlord. In the event that Tenant is in default pursuant to this Lease, and subject to any applicable notice and cure period, this Lease may be terminated by Landlord by written notice of at least three (3) months from Landlord to Tenant. Nothing in this Section 17(a) shall be interpreted to extend the expiration of the Term of this Lease.
b. Unless the term is extended by written agreement between the parties, if the Tenant shall continue to occupy of the Premises after the Termination Date (a "holdover"), such holdover shall constitute an immediate default by Tenant pursuant to this Lease (without any notice and cure period). Tenant shall be deemed a tenancy from month-to-month upon such terms and conditions as existed immediately prior to the commencement of the holdover except that Rent shall be adjusted as follows: (i) $40.00 per square foot of gross floor area in the Building for the first thirty (30) days of any such holdover period, (ii) $60.00 per square foot of gross floor area in the building for the next thirty (30) days of any such holdover period, and (iii) $80.00 per square foot of gross floor area in the Building for any holdover period thereafter. Any such Rent shall be payable by Tenant to Landlord in advance (and without demand) on the first day of the month in equal monthly installments.

c. At the termination of this Lease, the Tenant will peaceably deliver the Premises in as good condition as when it was formally accepted, nominal damage and normal wear and tear excepted. At the termination of this Lease, there shall be no contracts or licenses or similar agreements entered into by Tenant that would be binding on the Premises or Landlord following termination of this Lease.

d. Once notice of termination has been properly given by either party to this Lease, the Landlord shall have the right to post a notice that the Premises are for rent and may show the Premises to any person desiring to rent the same during the business hours maintained by the Tenant for the Premises, and only at such other times as the Tenant may permit.

18. NOTICES:

a. All notices to the Tenant required or permitted under this Lease shall be given by mailing the notice by certified U.S. mail, postage prepaid, return receipt requested, to the Tenant addressed to:

Real Estate Management
230 Sterrett Drive, Room 30 (0163)
Blacksburg, Virginia 24061
Email: vtrealstate-g@vt.edu
b. All notices to the Landlord required or permitted under this Lease shall be given by mailing the notice by certified U.S. mail, postage prepaid, return receipt requested, to the Landlord addressed to:

Converge JV, LLC  
c/o Rushmark Properties, L.L.C.  
2900 Fairview Park Drive  
Falls Church, VA 22042  
Email: pkearney@rushmark.com

with copy to:

Walsh, Colucci, Lubeley & Walsh, P.C.  
2200 Clarendon Blvd., Suite 1300  
Arlington, VA 22201  
Attn: Antonia E. Miller, Esq.  
Email: amiller@thelandlawyers.com

c. Where, under the terms of this Lease, a notice is sent by certified U.S. mail, postage prepaid, return receipt requested, such notice shall be deemed to have been given as of the date of mailing such notice. Each party to this Lease shall notify the other party of a new address at which to mail notices, which notice shall be given in the manner provided above, and unless and until such notice of new address is given, notices to a party hereto shall be sufficient if mailed to such party's address as specified in Section 18(a) or Section 18(b), as appropriate.

d. Where, under the terms of this Lease, a notice is required or permitted to be sent by certified U.S. mail, postage prepaid, return receipt requested, and such notice is not sent in such manner, the notice shall be effective if actually received by the party, or its appointed agent, to whom the notice is addressed.

19. BINDING EFFECT; AMENDMENTS:

The covenants, agreements, and rights contained in this Lease shall bind and inure to the respective heirs, personal representatives, successors and assigns of the Landlord and the Tenant. This Lease constitutes the entire, full and complete understanding and agreement between the Landlord and the Tenant, and all representations, statements, warranties, covenants, promises or agreements previously made or given by either party to the other are expressly merged into this Lease and shall be null, void and without legal effect. Neither party, nor any agent of either party, has any authority to alter, amend or modify any of the terms of this Lease, unless the amendment is in writing and executed by all parties to this Lease with the same formality as this Lease.

20. DEFAULT:

a. The termination of this Lease by the Tenant pursuant to the provisions contained herein shall not be a default hereunder.
b. Except as otherwise expressly set forth in this Lease, if either party shall breach any provision of this Lease, the non-breaching party shall give written notice thereof to the breaching party. The breaching party shall have thirty (30) days from the receipt of the notice to cure the breach, provided the breaching party shall have such period as may be necessary beyond thirty (30) days if the nature of the cure is such that it reasonably requires more than thirty (30) days to cure and the breaching party commences the cure within the thirty (30) day period and diligently pursues the cure to completion. For avoidance of doubt, any such cure period shall not apply to the failure of Tenant to vacate the Premises at the expiration of the Term, as set forth in this Lease. If not so cured, the non-breaching party may, at its option, exercise such rights as may exist at law or in equity. The provisions of this subsection shall not be construed as imposing any additional obligations on the non-breaching party to the extent that this Lease permits the non-breaching party to take certain actions as a result of a breach by the other party.

21. PRESUMPTIONS:

No presumption shall be created in favor of or against any of the parties to this Lease with respect to the interpretation of any term or provision of this Lease due to the fact that this Lease, or any part hereof, was prepared by or on behalf of one of the parties hereto, as may be evidenced by the disclosure on the face of this Deed of Lease made pursuant to Virginia Code Section 17.1-223.

22. ASSIGNMENT:

The Tenant may not assign this Lease, or sublet the Premises, without the written consent of the Landlord, which consent may be given or withheld in Landlord’s sole discretion.

23. HEADINGS:

The heading of the sections of this Lease are inserted for convenience only and do not alter or amend the provisions that follow such headings.

24. ADDITIONAL PROVISIONS:

This Lease is subject to the following terms, conditions, modifications, additions and/or deletions provided in the following designated attachments, exhibits and riders, which are hereby incorporated into this Deed of Lease:

Attachments: N/A  
Exhibits: N/A  
Riders: N/A

25. COUNTERPARTS:

The parties agree this Deed of Lease may be executed in several counterparts, and all counterparts so executed shall constitute one agreement binding on all parties, notwithstanding the fact that all the parties have not signed the original or the same counterpart.

26. ELECTRONIC TRANSACTIONS:

If this paragraph is initialed by both parties, to the fullest extent permitted by Code of Virginia, Title 59.1, Chapter 42.1, the parties do hereby expressly authorize and consent to the
use of electronic signatures as an additional method of signing and/or initializing this Lease No. XXX-XXXX and agree electronic signatures (for example, the delivery of a PDF copy of the signature of either party via facsimile or electronic mail or signing electronically by utilizing an electronic signature service) are the same as manual executed handwritten signatures for the purposes of validity, enforceability and admissibility.

(Initials)

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(Initials)

[The remainder of this page is intentionally left blank]
IN WITNESS WHEREOF, the parties have affixed their signatures and seals.

LANDLORD: CONVERGE JV, LLC, a Delaware limited liability company

By: CONVERGE WEST FALLS, LLC, a Delaware limited liability company, its Manager

By: [Signature]
Patrick J. Kearney
Manager

TENANT: VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY

By: See Attached

Heidi M. Myers, Executive Director of Real Estate
IN WITNESS WHEREOF, the parties have affixed their signatures and seals.

LANDLORD:  CONVERGE JV, LLC, a Delaware limited liability company

By:  CONVERGE WEST FALLS, LLC, a Delaware limited liability company, its Manager

By:  See Attached
      Patrick J. Kearney
      Manager

TENANT:  VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY

By:  Heidi E. Myers

Heidi E. Myers, Executive Director of Real Estate
2024 – 2025 Faculty Handbook Resolution and Documents

- Resolution to Approve 2024 – 2025 Faculty Handbook
- List of edits
- Redline (edits added and highlighted in red) version of 2023-2024 Faculty Handbook
RESOLUTION TO RATIFY THE 2024 – 2025 FACULTY HANDBOOK

WHEREAS, the Faculty Handbook is the record for policies pertaining to all faculty employees; and

WHEREAS, the oversight of policies governing all faculty employees at the university is the responsibility of the Board of Visitors; and

WHEREAS, the Faculty Handbook is revised to incorporate editorial updates, new or amended policies; and

WHEREAS, to ensure that the Faculty Handbook reflects the policies passed by the board and that any changes to the handbook are appropriate and accurate, the board annually reviews and ratifies a revised edition of the Faculty Handbook.

NOW, THEREFORE, BE IT RESOLVED that the Virginia Tech Board of Visitors hereby ratifies the 2022- 2023 Faculty Handbook that incorporates the revisions summarized in the attached table; and

BE IT FURTHER RESOLVED that the Faculty Handbook will be amended as soon as practicable to include appropriate federal and state regulations and revised university polices as required.

RECOMMENDATION:

That the Board of Visitors approve the resolution to ratify the 2024 – 2025 Faculty Handbook.

June 11, 2024
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<tr>
<td>9.3.1 Add/Drop Period</td>
<td>Section title change, Remove outdated process.</td>
<td></td>
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<tr>
<td>9.3.3 Class Rolls</td>
<td>Remove reference to Google Group</td>
<td></td>
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<tr>
<td>9.4 Textbooks and Other Instructional Materials</td>
<td>Clarifying language for &quot;I&quot; grades.</td>
<td></td>
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<td>9.5 Grading Systems</td>
<td>Clarifying language</td>
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<tr>
<td>9.11.2 Lecture Recording</td>
<td>New section added with guidelines (currently listed on the registrar's website) for lecture recording to comply with FERPA regulations.</td>
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<tr>
<td>10.5.1 Research with Human Subjects</td>
<td>Added hyperlink</td>
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<td>10.5.2 Teaching and Research with Animals</td>
<td>Added hyperlink</td>
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<td>10.5.3 Laboratory Research</td>
<td>Added hyperlink</td>
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<tr>
<td>10.7 Financial Conflicts of Interest Related to Sponsored Research</td>
<td>Clarifying language</td>
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<td>10.14 Policy on Intellectual Property</td>
<td>Update position title</td>
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<td>11.1.1 Group Life Insurance</td>
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<tr>
<td>11.1.2 Long-Term Disability Insurance</td>
<td>Long-term disability plans (VT Plan and VSDP plan) distinguished</td>
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<tr>
<td>11.1.2.1 Virginia Tech Faculty Sick Leave Long-term Disability Plan</td>
<td>New section to describe the VT Plan</td>
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<td>New section to describe the VSDP Plan</td>
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<td>11.1.3 Faculty Retirement</td>
<td>Clarifying language</td>
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<td>11.1.4 The Virginia Retirement System</td>
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<td>11.2.5 Annual Leave and Holidays</td>
<td>Aligned with Policy 4315, Guidelines on Holidays, revision</td>
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<td>11.2.9 Additional Leave Benefits for Faculty on Regular, Salaried Appointments</td>
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<td>11.2.12 Workers' Compensation Program</td>
<td>No content change. Moved section to mandatory benefits area of the chapter.</td>
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<tr>
<td>11.2.12.1 Reporting Work-Related Injuries</td>
<td>No content change. Moved section to mandatory benefits area of the chapter.</td>
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<tr>
<td>11.3 Optional Benefits Programs Offered to Employees</td>
<td>Clarifying language</td>
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<td>11.3.2 Health Flexible Spending Account</td>
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<td>Clarifying language</td>
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<td>11.4.3 Workers' Compensation Program</td>
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<tr>
<td>11.4.3.1 Reporting Work-Related Injuries</td>
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<td>11.2.12.1 Reporting Work-Related Injuries</td>
<td>Section renumbered to 11.2.12.1.</td>
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<td>11.3.2 Health Flexible Spending Account</td>
<td>Clarifying language</td>
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<td>11.3.3 Dependent Care Flexible Spending Account</td>
<td>Clarifying language</td>
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<tr>
<td>11.4.3 Workers' Compensation Program</td>
<td>Section renumbered to 11.2.12.</td>
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<td>11.4.3.1 Reporting Work-Related Injuries</td>
<td>Section renumbered to 11.2.12.1.</td>
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<tr>
<td>Chapter 13</td>
<td>This chapter was comprehensively revised, including section titles and addition of sections including: introduction, leadership, preparing students, and handling an emergency.</td>
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<tr>
<td>13.0 Introduction</td>
<td>New introduction section added</td>
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<td>13.1 Preparing to Lead</td>
<td>New section on awareness and preparedness added</td>
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<td>13.1.1 Know your environment</td>
<td>New section on awareness and preparedness added</td>
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<td>13.1.2 Know what to do in an emergency</td>
<td>New section on awareness and preparedness added</td>
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<td>13.1.3 Have the tools you need to receive and disseminate information</td>
<td>New section on awareness and preparedness added</td>
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<td>13.3 During an Emergency</td>
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<td>13.6.1 Controlling Entry to a Secure Location</td>
<td>New section number, section title change, and clarifying language</td>
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<td>13.7 Run, Hide, Fight</td>
<td>New section describing options to react in an emergency</td>
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<td>13.8 Shelter in Place</td>
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<td>13.8.1 Weather Definitions</td>
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<td>13.9 Evacuation</td>
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<tr>
<td>13.10 Access and Functional Needs</td>
<td>Section title change, and updated section on assisting individuals with access or functional needs</td>
</tr>
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<td>13.11 Stay Informed</td>
<td>No changes.</td>
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<tr>
<td>Chapter 14</td>
<td>Removed Extension Faculty with Continued Appointment per CFA 2023-2024B, Resolution to Approve Revised Extension Faculty Tracks</td>
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1.0 Mission of the University

Inspired by our land-grant identity and guided by our motto, *Ut Prosim* (That I May Serve), Virginia Polytechnic Institute and State University (Virginia Tech) is an inclusive community of knowledge, discovery, and creativity dedicated to improving the quality of life and the human condition within the Commonwealth of Virginia and throughout the world.

1.1 Governance of the University

The Board of Visitors is the governing body of the university. The board appoints the president of the university who serves as the chief executive. The president may delegate authority to the executive vice president and provost (also referred to as the “provost”), executive vice president and chief operating officer, and vice presidents.

1.1.1 University Shared Governance Structure
1.1.2 Board of Visitors

By statute of the Commonwealth of Virginia, the governing body of the university is the Board of Visitors, which exists as a corporation under the control of the Virginia General Assembly. The board is comprised of 14 members, 13 of whom are appointed by the governor subject to confirmation by the Senate of Virginia, with a four-year term that is eligible for reappointment of a successive four years. The president of the Board of Agriculture and Consumer Services serves as the fourteenth member, by virtue of position, with the term running concurrently from July 1 through June 30. A rector and a vice-rector are elected annually among the members of the board, and, by state statute, either the rector or vice-rector must be a resident of Virginia. The vice president for policy and governance serves as secretary to the board. The board appoints two non-voting student representatives (one undergraduate, one graduate/professional) who serve a one-year term and attend open sessions of board meetings. The presidents of the faculty senate, administrative and professional faculty senate, and staff senate sit with the board at all meetings, except those held in closed session, and participate in discussion without authority to vote or to make or second motions. By law, the board meets at least once a year, but typically meets quarterly to consider policy matters and to review the progress of the university.

The Board of Visitors is responsible for institutional policies except those under the direct jurisdiction of the Commonwealth of Virginia. By statute, the board is charged with the care, preservation, and improvement of university property and with the protection of the safety of students and other persons residing on such property. The board regulates the government and discipline of students. The board has authority over the roads and highways within the university’s campuses and may prohibit entrance to the property of undesirable and disorderly persons or eject such persons from the property. The board is also responsible for ensuring that the university does not incur an unauthorized deficit or members shall be held personally liable.

Some examples of the board’s responsibilities as specified by state statute or developed through tradition and practice include:

- appointing the president
- approving appointments and setting salaries of faculty, university staff, and other personnel
- establishing fees, tuition, and other charges imposed by the university on students
- reviewing and approving university budgets and overseeing the university’s financial management
- reviewing and approving the establishment and discontinuance of new colleges, departments, and degrees
- ratifying appointments by the president or vice presidents
- representing the university to citizens and officers of the Commonwealth of Virginia, especially in clarifying the purpose and mission of the university
- approving promotions, grants of tenure, and employment of selected individuals
- reviewing and approving physical plant development of the campuses
- the commemorative naming of buildings and other major facilities on campus
• reviewing and approving real property transactions
• exercising the power of eminent domain
• reviewing and approving personnel policies for the faculty and university staff
• subject to the management agreement between the Commonwealth of Virginia and Virginia Tech, the board has full responsibility for the management of Virginia Tech.

1.1.3 Governance by Shared Responsibility
There is a wide recognition of the complexity of university governance and general acknowledgment of the need for faculty, staff, and student participation in the conduct of university affairs.

1.1.4 University Council
The purpose of the University Council and its internal and related components is to assist the president of the university in formulating and implementing university policy in a manner that ensures that Virginia Polytechnic Institute and State University always strives effectively toward its goals, which are:

1. To provide an environment conducive to the pursuit of learning, teaching, scholarship, research, and service.
2. To anticipate and meet the educational needs of society in general and the Commonwealth and nation in particular.

The University Council, the senates, and the university and senate commissions constitute the main bodies for policy formulation at Virginia Tech. The senate commissions formulate and recommend policies to the senates, which in turn recommend policies to the University Council; the university commissions formulate and recommend policies directly to the University Council.

The University Council makes policy recommendations to the president. Final authority rests with the president of the university and the Board of Visitors.

Because the University Council, the senates, and university commissions, and the standing committees constitute a legislative system, their charges, memberships, relationships and the processes they hold in common are defined in the University Council Constitution and Bylaws. All aspects of the senates not defined in these documents shall be defined in senate constitutions and bylaws. The Office of the Vice President for Policy and Governance maintains membership lists available on the university’s governance website.

1.1.5 University Council Cabinet
The purposes of the University Council Cabinet are to provide a small-scale forum for in-depth conversation among shared governance leaders, with a particular focus on the interests and concerns of senate leaders; to help shared governance leaders remain well-informed of the state of the university; and to facilitate collaborative decision-making and coordinated effort across the components of shared governance.
Functions

The functions of the University Council Cabinet are to serve as the executive body of the University Council, to which it is responsible and to which it reports regularly on the disposition of matters submitted to it; to administer the business of the University Council between Council meetings; and to discharge other duties in accordance with the University Council Constitution and Bylaws, including the application of the university mission initiative process described in Article XII of the constitution and Article IV of the bylaws, and the annual shared governance review called for by Article VI of the bylaws.

1.1.6 University Senates

Purpose: The senates are accountable to and responsible for representing the collective voice of their respective constituencies. The senates provide representation within the university’s system of shared governance for faculty, administrative and professional (A/P) faculty, staff, undergraduate students, and graduate and professional students.

Functions: Each senate has a specific area of legislative authority and responsibility as defined below and at least one senate commission assigned to it that is responsible for the crafting of policy recommendations in the form of resolutions. To be advanced as recommendations to the University Council, resolutions of senate commissions must be approved by the appropriate senate under procedures described in Article III of the University Council Bylaws. In addition to their legislative activities, senates appoint or recommend members to University Council, senate and university commissions, and committees; facilitate the exchange of information between constituencies; provide referral for individual concerns and issues to appropriate organizations or personnel; and accept and share responsibility with the administration, faculty, A/P faculty, staff, and students in all efforts to attain the shared goals of the university.

Senates have the right to consider any matter of general interest to its members and to seek wider discourse on these topics within the university’s system of shared governance. Concerns outside the purview of any senate or commission as delineated in the University Council’s constitution may not be advanced as resolutions.

To ensure that constituents can identify their senate representatives, senates will maintain membership rolls that are available on public or secure websites accessible to constituents.

The senates are:

- Administrative and Professional Faculty Senate
- Faculty Senate
- Graduate and Professional Student Senate
- Staff Senate
- Undergraduate Student Senate

1.1.7 University and Senate Commissions

There are two kinds of commissions: senate commissions, which are part of and whose policy recommendations are voted on by senates before advancing to the University Council; and
university commissions, which are part of and whose policy recommendations are made directly to the University Council.

Commissions gather administrators, faculty, A/P faculty, staff, undergraduate students, and graduate and professional students in relatively small numbers to discuss topics and develop policies in the area defined by the commission charge. Each commission is chaired by a faculty, A/P faculty, staff, undergraduate student, or graduate and professional student member and advised by an ex officio administrative faculty member who oversees the unit or office at the core of the commission’s charge and provides support and information to guide the commission’s work. Ex officio and administrative faculty members may not serve as chair of any commission. While the membership of commissions varies in number and mix depending on the charge, all commissions include at least one faculty, A/P faculty, staff, undergraduate student, and graduate and professional student member, making them microcosms of shared governance.

The charges of all commissions can be found in the University Council constitution and bylaws. Though senate commissions are part of senates, their charges are maintained within the University Council Constitution and cannot be altered directly by the senates. Memberships of commissions are maintained in the University Council Bylaws.

**University Commissions** (2) (part of and whose policy recommendations are made directly to the University Council):

- Commission on Equal Opportunity and Diversity
- Commission on Outreach and International Affairs

**Senate Commissions** (8) (part of and whose policy recommendations are made to one of the senates):

Administrative and Professional Faculty Senate

- Commission on Administrative and Faculty Affairs

Faculty Senate

- Commission on Faculty Affairs
- Commission on Research
- Commission on Undergraduate Studies and Policies
- Commission on Graduate and Professional Studies and Policies

Staff Senate

- Commission on Staff Policies and Affairs

Undergraduate Student Senate
1.1.8 University Standing Committees
University Standing Committees (9) are constituted on a continuing basis by the president on recommendation of the University Council for matters of university-wide interest. Memberships are set forth in the University Council Constitution.

- Academic Support
- Athletics
- Budgeting and Planning Campus Development
- Climate Action, Sustainability, and Energy Commencement
- Employee Benefits Faculty Honorifics
- Information Technology Services and Systems Intellectual Property
- Library
- Transportation and Parking
- University Curriculum Committee for General Education

1.1.9 Council of College Deans
The Council of College Deans is a consultative body to the University Council and elects a member to the University Council Cabinet.

1.1.10 Department Heads Council
The Department Heads Council is a consultative body to the University Council and elects a member to the University Council Cabinet.

1.1.11 College Faculty Associations
The faculty associations are organized in the colleges of agriculture and life sciences; architecture, arts, and design; engineering; liberal arts and human sciences; natural resources and environment; science; veterinary medicine; University Libraries; and Virginia Cooperative Extension (“Extension”). These associations have constitutions that designate the purposes of the association, membership, officers, election procedures, standing committees and their duties, and other organizational and procedural matters. The Pamplin College of Business vests similar rights and responsibilities on its faculty members through a less formal structure. The Virginia Tech Carilion School of Medicine (VTCSOM) faculty are formally organized in a faculty assembly the composition of which is determined by the school’s bylaws.

1.2 University Shared Governance and Policy Support
The Office of the Vice President for Policy and Governance (OVPPG) administers the processes and procedures that support the university’s shared governance system. The OVPPG supports the university council and cabinet, the senates, commissions, and university committees. The OVPPG manages the processes of approval for policy resolutions and all matters that ultimately go to the university’s Board of Visitors for review and approval. In addition, the (OVPPG) manages...
and administers the university’s policy review process, coordinates communication of new and revised policies to the university community and maintains the university’s official policy archive, policy numbers and documents. The [university policies website](#) is the repository of record for official university policies.

### 1.2.1 University Policies, Administrative Policies, and Presidential Policy Memoranda

#### 1.2.1.1 University Policies
In addition to policies outlined in the Faculty Handbook, university policies are generally applicable to more than one office or department of the university. The University Council and university commissions constitute the main bodies for university policy formation. The university commissions formulate and recommend policies to the University Council, which in turn, makes recommendations to the university president. Final authority rests with the university president and the Board of Visitors.

#### 1.2.1.2 Administrative Policies
Administrative policies address operational matters and include policies required for federal, state, or other regulatory and legal mandates. Administrative policies do not address matters that traditionally are primarily within the purview of the faculty, including but not limited to curricular changes, professional ethics and conduct, promotion and tenure, and faculty categories. Administrative policies are promulgated by the vice presidents who are responsible for the accuracy and timeliness of policies and procedures relating to their areas. This responsibility includes conducting a review of policies at least every four years and issuing proper notification of changes and updates to policies and procedures.

#### 1.2.1.3 Presidential Policy Memoranda
Presidential policy memoranda (PPM) provide information regarding policies and procedures that apply to specific situations, groups, or individuals. Presidential policy memoranda are issued by the university president and are available on the [university’s policy website](#).

The president may approve exceptions to any policy excluding matters prescribed by state or federal law or those policies that require approval by the Board of Visitors.

### 1.3 Central Administration
The university’s central administration includes the president, executive vice president and provost, executive senior vice president and chief operating officer, administrative and academic vice presidents, and academic deans.

#### 1.3.1 President
Virginia Tech’s president is appointed as the university’s chief executive by the Board of Visitors. The president initiate’s proposed policies, executes approved policies, and administers the university. The president is the authorized officer through whom communication takes place between the board and the other employees of the university. The board, as the governing
authority of the university, delegates authority to the president to oversee and to administer the policies of the board and manage the administrative, instructional, research, and public service programs of the university.

The President’s Council includes all vice presidents, deans, institute directors and senior leaders reporting to the president. The Council is focused on continuous strategic planning and priorities that support the university’s strategic plan, *The Virginia Tech Difference, Advancing Beyond Boundaries.*

The President’s Cabinet includes senior university leaders and serves as advisory to the president.

The President’s Advisory Group includes cabinet members and constituent representatives who offer perspectives to the president regarding academic, organizational, and operational matters.

### 1.3.2 Executive Vice President and Provost

The executive vice president and provost is a senior level administrator responsible for creating, guiding, and achieving institutional priorities and strategies. The executive vice president and provost provides executive and strategic leadership to academic areas and has multiple vice presidents and/or senior vice presidents within their organizational structure. The executive vice president and provost is a strategic leader within the university and has broad operational, administrative, and financial authority. The executive vice president and provost has frequent interaction with the university president, Board of Visitors, and other senior-level stakeholders and constituents.

The executive vice president and provost reports directly to the university president. Appointment to this role is made by the university president and approved by the Board of Visitors.

### 1.3.3 Executive Vice President and Chief Operating Officer

The executive vice president and chief operating officer (EVPCOO) is the university’s chief financial, administrative, and operations officer. The EVPCOO is responsible for the financial, administrative, physical, technological, and operational infrastructure of the university and leads these areas in support of its teaching, research, and outreach missions. The EVPCOO partners with the president, executive vice president and provost, the president’s executive team, and other university leaders to advance the university’s priorities.

The executive vice president and chief operating officer reports directly to the university president. Appointment to this role is made by the university president and approved by the Board of Visitors.

### 1.3.4 Senior Vice President(s)

A senior vice president is a senior-level administrator responsible for providing executive and operational leadership for one or more divisions or major operating units within the university. The scope, portfolio, responsibilities, and complexity of the position are at the highest level and warrant the appointment of senior vice president. A senior vice president typically reports to the
university president. A senior vice president provides executive and operational leadership for at least one vice president within their reporting structure and has broad operational responsibility across the university.

Appointment to the rank of senior vice president is approved by the university president and Board of Visitors.

### 1.3.5 Vice President(s)

A vice president is a senior-level administrator responsible for providing operational and managerial leadership for a specific administrative and/or academic function or unit within the university. A vice president has broad discretion and decision-making authority relative to their assigned function and/or unit. A vice president reports to the university president, executive vice president and provost, executive vice president and chief operating officer, or other senior vice president and serves as a member of the president’s council. A vice president may have operational responsibility or serve in a senior advisory role to the university president. Appointments to the rank of vice president are approved by the university president and Board of Visitors.

### 1.4 Academic Administration

#### 1.4.1 College and Academic Deans

The college and academic deans report to the executive vice president and provost and are responsible for the academic activities of their respective college or academic unit. These responsibilities include the allocation and administration of resources, appointment and evaluation of faculty and support staff, and curriculum development. Department heads, chairs, and school directors report directly to their respective dean for all matters related to the programs of the college.

For purposes of accreditation, the academic deans, or their designees, are responsible for ensuring compliance with any college-level “substantive change” as defined by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). The deans are responsible and accountable for monitoring and timely reporting of all actions that may require a substantive change notification and/or approval. Examples of substantive changes are outlined in Policy 6500, “Academic Programs: Creation, Discontinuance and Delivery Site”.

#### 1.4.1.1 College Deans

College deans are appointed by the executive vice president and provost, approved by the university president and Board of Visitors, and may be reappointed indefinitely. Periodic evaluations of their effectiveness in this capacity occur every five years. The university’s nine colleges are:

- College of Agriculture and Life Sciences
- College of Architecture, Arts, and Design
- Pamplin College of Business
1.4.1.2 Academic Deans

Academic deans are appointed by the executive vice president and provost, approved by the university president and Board of Visitors, and may be reappointed indefinitely. Periodic evaluations of their effectiveness in this capacity occur every five years.

1.4.1.2.1 Dean of University Libraries

The dean of University Libraries directs the University Libraries in providing the university with information, collections, and services necessary to support the learning, discovery, and engagement programs of the university. The dean allocates and administers resources and appoints and evaluates faculty and staff in support of the goals of the University Libraries.

1.4.1.2.2 Dean of Honors College

The dean of the Honors College directs the college in its mission to provide extraordinary educational opportunities for students of exceptional motivation and ability. The dean allocates and administers resources in support of the goals of the Honors College.

1.4.1.2.3 Dean for Graduate Education

The dean for graduate education directs the university’s Graduate School, Graduate Life Center (GLC), and leads strategic graduate academic initiatives that advance a strong, diverse, and inclusive graduate and professional student community.

1.4.2 Academic Department and School Administration

The colleges are comprised of academic departments, and/or schools. Departments and schools are under the supervision of department heads, chairs, and school directors who report to the dean of the college. Department heads, chairs, and school directors are responsible for the growth and vigor of academic programs, recruitment and retention of faculty, administration of the curriculum, and the budget of their department or school. In certain cases, some of these responsibilities may be delegated.

Department heads, chairs, and school directors serve for terms specified by the dean. The president or the provost authorizes the appointment. The dean, in consultation with department or school faculty, analyzes the results of reviews conducted prior to reappointment and decides the length of term and procedures for renewal.
Faculty committees are integral to departmental, school, and college governance and are formed to make recommendations and otherwise assist the head, chair, or school director in curricular modification, in the selection of new faculty, and in the determination and application of policies.

1.4.3 Director of Virginia Cooperative Extension
The director of Virginia Cooperative Extension (VCE) reports to the dean of the College of Agriculture and Life Sciences and is responsible for the administration of VCE programs in cooperation with the U.S. Department of Agriculture and state and local governments, and the Cooperative Extension Service Program at Virginia State University. The director is responsible for VCE programs in agriculture, community and leadership, family, food and health, lawn and garden, natural resources, and 4-H/youth. VCE programs are offered in three of the university colleges and the director administers these programs under the guidance of a committee chaired by the provost. The committee includes the vice president for finance, vice president for outreach and international affairs, senior vice president for research and innovation, director of VCE, director of the Agricultural Experiment Station, and deans of the colleges of agriculture and life sciences, natural resources and environment, and veterinary medicine.

CHAPTER TWO
ALL FACULTY

2.0 Employment Policies for All Faculty
Faculty employment policies are under the purview of the Board of Visitors.

The Board of Visitors holds the authority to approve all faculty appointments. This authority has been delegated to university officials for certain types of new appointments, generally including non-tenure positions and restricted appointments.

Final approval by the Board of Visitors is required for new appointments of instructional and research faculty members on the tenure-track or continued appointment-track, including those appointed with tenure or continued appointment; faculty ranked athletic personnel; senior administrators (such as deans and vice presidents) and their direct reports; and administrative and professional faculty members reporting directly to the president and their direct reports.

The Board of Visitors annually approves a faculty compensation plan, which continues to use historical guidance provided by the commonwealth and the Faculty Handbook is prepared using parameters provided by the commonwealth's secretary of education in the Consolidated Salary Authorization for Faculty Positions in Institutions of Higher Education. In accordance with the Consolidated Salary Authorization, the faculty compensation plan provides information about the promotion and tenure process; the annual evaluation and salary adjustment process for teaching
and research (T&R) faculty, administrative and professional (A/P) faculty, and research faculty; salary adjustments within the evaluation period, and the pay structure.

All faculty are required to report annually on their research and scholarship, creative works, teaching, Extension, outreach, and service activities, as applicable. Guidance on annual faculty reports is provided by department, college, or administrative unit, as appropriate. Submission of a faculty activity report (FAR) may be required for consideration for a merit adjustment.

2.1 General Faculty and Faculty Categories

The general faculty is composed of those faculty members employed outside the classified and university staff personnel systems who are appointed to carry out the learning, discovery, and engagement programs of the university; conduct general university administration; or provide academic support to those programs.

Appointments to the general faculty may be made for which there is no presumption or consideration of renewal. Such appointments are called “restricted” and should be so designated.

The General Faculty is comprised of five categories for the purposes of applying faculty policies especially those related to promotion and tenure or continued appointment.

Teaching and Research Faculty (T&R): Tenure-track, tenured, instructional faculty not on the tenure-track, and research and Extension faculty are referred to as Teaching and Research (T&R) faculty, although the duties of research and Extension faculty may have a small or no instructional component, and non-tenure-track instructional faculty may have a small to or no research component.

- College Faculty: tenure-track and tenured faculty, instructional faculty not on the tenure-track (described in chapters three and four of the Faculty Handbook)
- University Libraries Faculty on Continued Appointment (described in chapter four of the Faculty Handbook)
- Research Faculty (described in chapter six of the Faculty Handbook)

Additional Faculty Categories (described in chapter seven of the Faculty Handbook)

- Extension Faculty (without appointment in an academic college)
- Administrative and Professional (A/P) Faculty
- Research Faculty

2.1.1 College Faculty: Tenure-Track and Tenured Faculty, and Instructional Faculty not on the Tenure-track

The college faculties are composed of tenured and tenure-track faculty and instructional faculty not on the tenure-track, with full- or part-time positions in academic departments or schools. (Subsequent references to departments or schools within a college are subsumed in this handbook under the word “department.”)
Faculty members who relinquish full-time responsibilities in a college department or school to assume responsibilities elsewhere at the university may choose to continue to have their professional development evaluated by that department or school, and college. The same is true for someone who accepts a position in the University Libraries faculty, Extension faculty, or in the administrative and professional faculty. Evaluation for promotion and/or tenure is done according to academic department or school, college, and university expectations and guidelines. A merit salary adjustment is based on the responsibilities of the current position.

2.1.2 Tenure-Track and Tenured Faculty

**Ranks: assistant professor, associate professor, professor**

Tenure-track and tenured faculty typically require a terminal degree and are appointed to regular positions. Employment policies and procedures for tenure-track and tenured faculty are in chapter three of this handbook.

2.1.3 Instructional Faculty not on the Tenure-track

**Ranks: assistant professor, associate professor, professor**

College faculty may also be instructional faculty not on the tenure-track appointed to regular or restricted positions. Employment policies and procedures for faculty not on the tenure-track are described in chapter five of this handbook.

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<thead>
<tr>
<th>Track</th>
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<tbody>
<tr>
<td>Instructor</td>
<td>instructor, advanced instructor, senior instructor</td>
</tr>
<tr>
<td>Visiting or Adjunct Professor</td>
<td>visiting/adjunct assistant professor, visiting/adjunct associate professor, visiting/adjunct professor</td>
</tr>
<tr>
<td>Professor of Practice</td>
<td>assistant professor of practice, associate professor of practice, professor of practice</td>
</tr>
<tr>
<td>Clinical Faculty</td>
<td>clinical instructor, clinical assistant, clinical associate, clinical professor</td>
</tr>
<tr>
<td>Collegiate Professor</td>
<td>collegiate assistant professor, collegiate associate professor, collegiate professor</td>
</tr>
<tr>
<td>Lecturer</td>
<td>administrative and professional faculty</td>
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</table>
2.1.4 University Libraries Faculty including Continued Appointment Track

Ranks: assistant professor, associate professor, professor

Employment policies and procedures for University Libraries faculty with continued appointment or on the continued appointment-track are in chapter four of this handbook. University Libraries faculty may or may not hold appointment in a college. They perform a unique and indispensable function in the educational process and share many of the professional concerns of their college colleagues. The university recognizes the need to protect the academic freedom of librarians in their responsibility to ensure the availability of information and ideas, no matter how controversial, so that teachers may freely teach, and students may freely learn.

The rank held by a University Libraries faculty member does not imply a particular rank in any college department. University Libraries faculty may hold concurrent adjunct status in a college department to formally recognize their contributions to the undergraduate or graduate program. Guidelines for University Libraries faculty can be found on the libraries website.

2.1.5 Extension Faculty

Employment policies and procedures for Extension faculty with continued appointment or on the continued appointment track are in chapter fourteen of this handbook. Extension faculty not on the tenure-track or continued appointment track are administrative and professional (A/P) faculty and covered by polices in chapter seven.

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<tr>
<td>Extension Agent</td>
<td>associate Extension agent, Extension agent, senior</td>
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<td></td>
<td>Extension agent</td>
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<tr>
<td>Extension Specialist</td>
<td>associate Extension specialist, Extension specialist</td>
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<td></td>
<td>senior Extension specialist</td>
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<td></td>
<td>There are two types of Extension specialists: any</td>
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<tr>
<td></td>
<td>faculty member with Virginia Cooperative Extension</td>
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<tr>
<td></td>
<td>funding who is on the tenure-track, or A/P faculty</td>
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<td></td>
<td>member(s) with Virginia Cooperative Extension</td>
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<td></td>
<td>funding.</td>
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<tr>
<td>4-H Center Program Director</td>
<td>associate 4-H center program director, program</td>
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<tr>
<td></td>
<td>director, senior program director</td>
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<tr>
<td>Continued Appointment</td>
<td>assistant professor, associate professor, professor</td>
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</tbody>
</table>

Extension faculty may or may not hold an appointment in an academic college. They are, nonetheless, subject to high professional standards in the dissemination of knowledge through the Virginia Cooperative Extension programs and in the planning and delivery of educational
programs and programs of assistance to industries and local governmental agencies. In these functions, Extension faculty share many of the professional concerns of their college colleagues, including the need for the protection of academic freedom in these responsibilities.

The rank held by a faculty member in Extension does not imply a particular rank in any college department. Extension faculty may hold concurrent adjunct status in a college department to formally recognize their contributions to the undergraduate or graduate program.

2.1.6 Administrative and Professional (A/P) Faculty

Rank: lecturer

Employment policies for administrative and professional (A/P) faculty are described in chapter seven of this handbook. A/P faculty may or may not hold an appointment in an academic college. Policies regarding the assignment of a faculty rank in a college department for an administrative or professional faculty member are in chapter seven.

2.1.6.1 Administrative Faculty

Administrative faculty are senior administrators and typically serve in executive-level leadership roles such as vice president, dean, assistant or associate vice president or dean, or director of a major unit. They perform work directly related to management of the university, college, or an administrative department. Administrative faculty may have a rank other than lecturer, may hold an academic rank in a college department or school, and may be tenured or be on a continued appointment. A/P faculty members with academic rank are considered General, College, or T&R faculty.

2.1.6.2 Professional Faculty

Professional faculty are managers and professionals and may direct or provide support for academic, administrative, Extension, outreach, athletic, or other programs. They work in information technology, budget or finance, human resources, public relations, development, and architectural or engineering functions. Promotion is recognized by salary adjustment and/or a change in functional title rather than promotion in faculty rank.

2.1.7 Research Faculty

Faculty designated to promote and expedite university research activities and those who have responsibilities primarily in the research area are considered research faculty. Research faculty are typically employed on sponsored grants and contracts on a restricted appointment to carry out research or outreach projects.

Employment policies for research faculty, including affiliated research faculty, are described in chapter six of this handbook.

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<th>Track</th>
<th>Ranks</th>
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2023-24–2025 Virginia Tech Faculty Handbook
2.2 The Faculty of Health Sciences

The Faculty of Health Sciences (FHS) promotes continued growth, improvement, and integration in biomedical and health sciences research and educational programs at Virginia Tech. The FHS serves as an organizational home for (a) faculty members who are appointed to it due to their research, teaching, outreach, and/or administrative accomplishments and responsibilities, and (b) interdisciplinary graduate programs in biomedical and health sciences. Faculty appointed to the FHS must have a graduate or professional degree in a relevant discipline.

Faculty appointments to the FHS are term (fixed period) appointments, ranging from one to five years, and are renewable without limit with the agreement of all appropriate parties. The FHS does not award tenure. A faculty member employed by Virginia Tech must have a primary appointment in a senior management unit, college or school, institute, or vice-presidential unit. Faculty members employed at other institutions who wish to be appointed to the FHS must have an adjunct or affiliated appointment in a Virginia Tech senior management unit, college or school, institute, or vice-presidential unit.

2.2.1 Leadership of the Faculty of Health Sciences

The provost appoints the vice president of health sciences and technology to lead the Faculty of Health Sciences. The vice president reports directly to the provost. The vice president enhances health science-related work across the university; leads efforts to develop curriculum, research, and engagement at the intersection of health sciences and technology; expands interdisciplinary graduate programs in biomedical and health sciences; leads an internal advisory group that advises the senior leadership on new strategic directions and promising funding opportunities; and leads and facilitates coordination of clinical, research, and educational relationships internally and with external institutions.

2.2.2 Types of Appointments to the Faculty of Health Sciences

The vice president of health sciences and technology establishes a selection process for faculty appointments to the FHS, selection is based on research, teaching, outreach, and/or administrative contributions to Virginia Tech’s biomedical and/or health sciences initiatives. The selection process involves an evaluation of the individual’s application and a recommendation to the provost. The provost makes the final decision and informs the individual of the outcome of the application by letter.
Appointments to the FHS may be made in any faculty category, with rank determined by qualifications. The usual title is [rank] of health sciences. Appointment to the FHS is a secondary title at the existing rank for current Virginia tech Faculty members. Qualifications for appointment within each rank are described in the appropriate chapter in this handbook. Faculty members with adjunct or affiliated appointments may be appointed using an unqualified title (assistant professor, associate professor, professor) followed by “of health sciences,” as the FHS does not award tenure and service in this role is not tenure-earning.

2.3 The Faculty of the Virginia Tech Carilion School of Medicine (VTCSOM)

Faculty members at the Virginia Tech Carilion School of Medicine (VTCSOM) are of two types: faculty employed by the university or faculty employed by other entities (in most cases Carilion Clinic). At all times, regardless of employer, faculty members providing instruction, academic support, or performing academic duties or roles as a VTCSOM faculty member are governed by the university’s policies and procedures.

The VTCSOM initiates, defines, and contracts for professional services requested from a Virginia Tech faculty member. The contract may be for a buyout of the faculty member’s time through a sponsored project, or the faculty member may be paid directly through overload (wage) compensation. The payment mechanism reflects the level of time commitment, the ability of the department to release the faculty member from current assignments, and the needs of both Virginia Tech Carilion School of Medicine and the faculty member’s department at Virginia Tech.

As part of its commitment to partnership, Virginia Tech provides faculty mentorship of medical student research projects without additional compensation or buyout.

Faculty members employed by the university and whose appointment is in a college other than the VTCSOM are eligible for appointment in the VTCSOM. The dean of the VTCSOM administers a process for the selection and appointment of faculty members. The process includes coordination and agreement with the faculty member, the appropriate department head, chair, school director, or supervisor, and the dean of the faculty member’s college. A recommendation is made to the provost who makes the final decision and communicates the decision to all parties. Appointments may be made in any faculty category with rank determined by qualifications. The usual title is (rank) of (discipline), for faculty members employed by the university this is a secondary title at the existing rank. Adjunct or affiliated faculty members may be appointed using an unqualified title (assistant professor, associate professor, professor) followed by the appropriate disciplinary designation (e.g., pediatrics). Faculty members employed by the university and with tenure-track or tenured appointments external to the VTCSOM earn or retain tenure in their primary department and college. Faculty members employed by the university are not eligible for tenure-to-title in the VTCSOM.

Payments made to Virginia Tech faculty members are made through an approved Virginia Tech payroll mechanism. Virginia Tech faculty members may not hold a private consulting contract with
Virginia Tech Carilion School of Medicine since this would violate the Virginia Conflict of Interests Act.

2.3.1 Faculty Buyout Agreements with Virginia Tech Carilion School of Medicine

A buyout of a college faculty member’s time is appropriate when the professional services requested are of longer duration and/or exceed 20% percent of the faculty member’s time (more than one day per week, for example). A buyout may also be used in the context of shorter duration commitments if determined to be in the best interest of Virginia Tech Carilion School of Medicine, the Virginia Tech department, and the faculty member. Buyouts work as any other sponsored project buyout, releasing salary savings to the department and/or college to hire behind as needed, and requiring approval by the department head, chair, school director, or supervisor, and dean.

2.3.2 Faculty Overload Payment Agreements with Virginia Tech Carilion School of Medicine

Overload or wage payments that are made directly to the faculty member are appropriate for short duration and/or occasional professional services rendered to Virginia Tech Carilion School of Medicine (usually up to 20% percent time or one day per week). The rate of payment is established by the Virginia Tech Carilion School of Medicine as a general rate of compensation or in individual negotiation with the faculty member.

Faculty members may earn up to 33⅓ percent of their current salary through all overload wage payments, including the Virginia Tech Carilion School of Medicine, Continuing and Professional Education, or other authorized special wage payments during the period of their Virginia Tech contract. Faculty on 10-, 11-, or 12-month research extended appointments may also earn up to this limit as overload compensation during their contract period.

Summer pay from all Virginia Tech sources (e.g., summer school, funded research paid as wages, Virginia Tech Carilion School of Medicine, etc.) for nine-month faculty members may not exceed 33⅓ percent of the prior academic year salary.

Contracts for professional service to the Virginia Tech Carilion School of Medicine paid as overload compensation may not exceed the current time limitations defined in the consulting policy, which is one day per week or five days in a five-week period. Time limitations also include the accumulation of other types of authorized special or external activity, including Continuing and Professional Education and consulting. University policies on conflict of commitment set the expectation that a faculty member’s primary professional responsibility is to the university.

Overload agreements and payments require approval of the department head, chair, school director, or supervisor, and dean. In lieu of salary compensation, a faculty member may choose to receive an equivalent contribution to an operating allocation in support of professional activities.
2.4 Faculty Search Processes

Faculty recruitment and search processes are available on the Human Resources Faculty Recruiting Guidelines page. These processes apply to all types of full-time, regular, faculty positions. Search exemptions may be approved under specified circumstances.

Upon approval of the position by the dean, vice president, or designee, search processes include:

- The establishment of a representative search committee.
- The development of a tailored, aggressive search strategy that usually includes national advertising in appropriate journals in the discipline.
- Personal contacts with colleagues.
- Follow up with women and underrepresented colleagues and doctoral students listed in relevant directories.
- Targeted efforts to identify a strong and diversified pool of candidates.

Prior to selecting candidates for interview, the chair of the search committee reviews the diversity and strength of the candidate pool with the dean, vice president, or designee, who makes a judgment as to whether additional recruitment efforts should be made. Documentation of the approval of the candidate pool should be noted in the university’s recruitment and onboarding system. The committee reviews applications once a representative pool is established or recruitment strategies are exhausted. A limited number of candidates are usually invited for on-campus interviews. Prior to making an offer, the department head, chair, school director, or supervisor reviews the search and interview process with the dean, vice president, or designee.

For appointments with tenure or continued appointment, review and recommendation by the applicable departmental promotion and tenure committee or continued appointment committee is sought before a decision is made to extend to a candidate a firm offer that includes the granting of tenure or continued appointment, or the award of a rank higher than assistant professor. An offer of faculty appointment with tenure may be made with the review and approval of the department head, chair, school director, or supervisor and the department promotion and tenure committee, the dean, a university promotion and tenure subcommittee, the provost, and the president.

2.4.1 Equitable Searches

It is the policy of Virginia Tech to provide equal opportunity for all qualified individuals while rejecting all forms of prejudice and discrimination. Virginia Tech does not discriminate against employees, students, or applicants on the basis of age, color, disability, sex (including pregnancy), gender, gender identity, gender expression, genetic information, national origin, political affiliation, race, religion, sexual orientation, or military status; or otherwise discriminate against employees or applicants who inquire about, discuss, or disclose their compensation or the compensation of other employees or applicants; or any other basis protected by law. For inquiries regarding non-discrimination policies, contact the Office for Equity and Accessibility at 540-231-2010.
Virginia Tech is committed to ensuring that all qualified individuals with disabilities can take part in educational and employment programs and services on an equal basis. The aim is to provide this opportunity in an integrated setting that fosters independence and meets the guidelines of the Americans with Disabilities Act (ADA) and the Rehabilitation Act of 1973. Reasonable accommodations are made on an individual and flexible basis.

Virginia Tech is committed to increasing the number of women and underrepresented faculty and administrators. This commitment is stated and elaborated in the affirmative action program, Executive Order 11246, and other documents filed with federal and state officials. All recruitment and search processes and procedures are designed to ensure that searches are conducted affirmatively resulting in greater faculty diversity.

2.4.2 Terms of Faculty Offer (TOFO)

New appointments and reappointments are documented in the terms of faculty offer (often referred to as a “TOFO”) prepared by the department head, chair, school director, or supervisor and approved according to procedures established by the dean or senior manager, signed by the candidate, and forwarded to Human Resources within the university’s recruitment and onboarding system. Templates for the different types of terms of faculty offer are accessed by authorized users of the university’s recruitment and onboarding system.

The TOFO documents the category to which the faculty member is appointed (see “chapter two General Faculty and Faculty Categories”) such as tenure-track or tenured, instructional faculty not on the tenure-track, University Libraries faculty (continued appointment-track or continued appointment), Extension faculty (continued appointment-track or continuing appointment), administrative and professional (A/P) faculty, or research faculty. The TOFO also documents the faculty rank, appointment status (effective date, regular or restricted and, if restricted, an end date), the appointment period (academic year (AY) or calendar year (CY), length of the appointment, and other conditions relevant to the employment offer. If the appointment is tenure-track or continued appointment-track, reference to prior service credit should be addressed, if relevant (as described in chapter three). The TOFO documents terms and conditions of employment contained in this handbook.

The terms of faculty offer for a restricted appointment must state the length of the appointment. In cases where there is no expected opportunity for continuation, the terms of faculty offer document also serves as a notice of termination. Continuation of a restricted appointment, even during the specified appointment period, is subject to the availability of funds, the need for services, and satisfactory performance. This information is included in the terms of faculty offer. Related letters of offer or reappointment should not contain promises that the hiring unit is unable to keep; the university looks to the department to make good on defaults. The department head, chair, school director, or supervisor’s approval is required before an offer is extended.
See chapter six (Research Faculty) for new appointments and reappointments for research faculty including postdoctoral associates. Appointments to postdoctoral associate positions require approval from the Office for Research and Innovation.

2.5 Search and Appointment of Administrative and Academic Leaders

2.5.1 Search and Appointment of the President

The Board of Visitors establishes the procedures for the selection of a president when the vacancy is announced. Per the Code of Virginia, the Board of Visitors must solicit the input of the institution's faculty senate or its equivalent regarding the search for candidates for the position of chief executive officer of the institution at a public or private venue.

2.5.2 Search and Appointment of Executive Vice President and Provost, Executive Vice President and Chief Operating Officer, and Administrative Vice Presidents

When a vacancy occurs, the president determines the procedures that will be used for identifying qualified candidates, including the decision to engage a search firm and/or to appoint a university search or screening committee.

Where the position involves considerable interaction with college faculty, significant engagement of faculty members in the search and/or interview process is desirable and expected.

2.5.3 Search and Appointment of Academic Deans and Academic Vice Presidents

When a vacancy occurs, the provost determines the procedures that will be used for identifying qualified candidates. The provost requests nominations for membership on a search committee from the appropriate faculty members and/or faculty association. The provost appoints a search committee from the list of nominees and may appoint additional members who shall constitute a minority of the committee. When a vacancy occurs in an academic deanship that has university responsibility spanning colleges and other academic units, the search committee shall include faculty representatives from all appropriate colleges.

The provost or designee serves as chairperson of the search committee. Ordinarily a national search is conducted.

After the qualifications of candidates are reviewed, references and colleagues of the best qualified candidates are consulted. A limited number of candidates are invited to visit the university. The search committee, representative of department heads, chairs, or school directors, academic deans, the vice presidents, and the president interview the candidates. Candidates also meet with selected students and faculty members. The committee must provide internal candidates with fair opportunities to make their qualifications equally well known.
The provost seeks advice from those who meet with the candidates and seeks agreement with the search committee on the candidate(s) to be recommended. The provost’s recommendation is made to the president, who authorizes the extension of an offer.

2.5.4 Search and Appointment of Academic Associate and Assistant Deans

When a vacancy occurs in the position of associate dean, assistant dean, or assistant to the dean, and the position does not involve responsibility for assignment of faculty activities or recommendations on salaries and promotions, it is filled on recommendation by the dean to the provost and the president. Department heads, chairs, school directors, and representative faculty should be consulted; a formal search committee is formed if the appointment is not limited to an internal promotional opportunity. If the position involves responsibility for assignment of faculty activities or recommendations on salaries and promotions, the search and selection procedures are like those used for deans, and the dean serves as chairperson of the search committee.

2.5.5 Search and Appointment of Department Heads, Chairs, and School Directors

When a vacancy occurs, the college dean requests that the department or school nominate members of its faculty for a search committee. The dean appoints the committee from among those nominated and may appoint additional members who shall constitute a minority of the committee.

The committee elects its chair and meets with the college dean to determine appropriate conditions of the position, such as rank and available resources. The dean should share with the search committee a realistic assessment of the college and university’s commitment to the department and its programs.

The position is nationally advertised unless the dean and the committee agree that the position should be considered a promotional opportunity restricted to candidates from within the department without national advertisement. Such a decision should be reached only for a department that has the capacity to afford several well-qualified candidates from within its ranks. The decision may be influenced by the lack of a vacant faculty position in the department.

After the qualifications of candidates are reviewed, references and colleagues of the best qualified candidates are consulted. A limited number of candidates (ordinarily three) are invited, on approval of the college dean, to visit the university. The search committee, the college dean, and university officials, as available and appropriate, interview the candidates. Candidates also meet with selected students and faculty members. The committee must provide internal candidates with fair opportunities to make their qualifications equally well known.

The search committee seeks advice from those who meet with the candidates and makes its recommendations on the preferred candidate(s) to the college dean. After extensive consultation
with the department or school faculty, the dean recommends the appointment of the department head, chair, or school director to the provost.

2.6 Appointment Types

2.6.1 Regular Appointments

Regular appointments are renewable term appointments with a presumption or consideration of reappointment. Regular appointments include “probationary,” “tenure-track, tenured” or “continued appointment-track/continued appointment” appointments. Year-by-year appointments of administrative and professional (A/P) faculty are also regular appointments.

2.6.2 Restricted Appointments

Appointments to the faculty may be made for which there is no presumption or consideration of renewal. Such appointments are called “restricted” and should be so designated, with a specified term/fixed period (start and end dates) in the terms of faculty offer (TOFO). Restricted appointments are commonly made in the cases of research faculty employed to work on projects with external funding, visiting or adjunct professorships, and other temporarily available faculty positions.

When a person on a restricted appointment is to be continued, a formal reappointment TOFO is required and should be issued prior to the end of the existing contract. The reappointment contract restates the conditions of the appointment. Any changes should be made explicit. If a salary increase is approved, it should be part of the reappointment contract. The reappointment contract requires the prior approval of the department head, chair, school director, or supervisor, dean, and the office of the provost. Appointments to postdoctoral associate positions require approval from the Office for Research and Innovation.

Faculty members on restricted appointments earn sick leave at the rate of five hours per pay period under the policy that was standard for all faculty members before September 1, 1981. Sick leave does not extend beyond the date of termination of appointment. Faculty members on calendar year restricted appointments earn annual leave at the same rate as faculty on regular appointments but earned annual leave must be taken during the term of appointment; accrued annual leave will not be paid on termination of appointment. Restricted faculty who are eligible to earn annual and sick leave may carry over their unused balances to the next leave year; however, the unused leave is not paid out upon separation.

2.6.3 Academic Year Appointments (AY)

The department head, chair, school director, supervisor, or dean extends, in writing, new faculty appointments and renewals of term (fixed period) appointments using the terms of faculty offer (TOFO) document. Most faculty appointments in the academic units of the university are for the nine-month academic year; these are called academic year (AY) appointments. While the payroll dates for the academic year are August 10 through May 9, faculty are expected to be available two weeks prior to the first day of classes and two weeks following commencement. No annual leave is awarded within the academic year, but the discretion of the department head, chair,
school director, or supervisor is recognized in assigning duties during periods when the university is not in session. Faculty members are expected to be available for work during such periods.

Although the annual salary assigned for an academic year appointment covers only the academic year, the salary is paid in 24 semi-monthly installments over the calendar year, with payment occurring on the first and sixteenth day of each month. (If that day of the month falls on a Saturday, the payment is made on the preceding Friday; if Sunday, the payment is made on the following Monday.) Payment is deposited directly to the faculty member’s bank or financial establishment.

Faculty members whose appointments are for only part of the academic year receive a pro rata portion of the annual salary. Details of the faculty compensation plan are available from Human Resources.

Faculty members on academic year appointments whose employment with the university ceases at the end of the academic year, or any academic term, may request (with proper notice) that all remaining installments of their earned salary be paid on the next available payroll after Human Resources has been notified and employment has ceased.

2.6.4 Research Extended Appointments for Faculty on Academic Year Appointments
Under certain conditions, faculty members on academic year appointments may extend their base nine-month appointment to a 10-, 11-, or 12-month appointment reflecting the faculty member’s sponsored research responsibilities.

Academic year faculty with approved research extended appointments may earn and accrue annual leave proportional to their appointments. Faculty members with one, two, or three months of sponsored funding are strongly urged to convert their nine-month appointment to a 10-, 11-, or 12-month research extended appointment, which entitles them to earn and use annual leave and to have the summer pay included as creditable compensation for retirement purposes in accordance with university policies. Unused annual leave will not be compensated at the time of reconversion or separation.

Faculty members requesting a research extended appointment complete the request form available on the provost’s Research Extended Appointments page. The requesting faculty member must provide documentation for the additional months of funding. Requests for research extended appointments require approval of the department head, chair, school director, supervisor, dean (or appropriate administrator), and the executive vice president and provost or the executive vice president and chief operating officer (or their designee).

Research extended appointments are renewed annually with verification of sponsored funding by the department head, chair, school director, or supervisor to support the continuation. The continuation request form is also available on the provost’s Research Extended Appointments page.
Information regarding employment policies and practices for research faculty is available in chapter six of this handbook.

2.6.5 Calendar Year Appointments (CY)

Some faculty members have been assigned responsibilities that extend throughout the calendar year, largely independent of the academic calendar. Such faculty members are on a calendar year (CY) appointment with work assignments covering the full 12 months except for periods of annual leave. The kinds of positions that may call for calendar year appointments include department heads, chairs, school directors, administrative and professional faculty, and research faculty.

Faculty members who assume calendar year appointments while serving as a department head, chair, school director, or other administrative role retain the calendar year appointment only for the duration of the assignment. Upon returning to an instructional faculty position in a department or school characterized by academic year appointments, the faculty member resumes an academic year appointment with a corresponding adjustment in salary. (Instructional faculty who were on calendar year appointments prior to assuming the administrative assignment usually resume their prior calendar year appointment and salary upon completion of the administrative assignment.)

Conversions of appointment from academic year to calendar year or the reverse (or to any other appointment period acceptable under university policy) are done in accordance with standard formulas approved by the executive vice president and provost or executive vice president and chief operating officer. Any exception requires approval by the executive vice president and provost or the executive vice president and chief operating officer, depending upon the reporting structure.

2.6.6 Summer and Winter Session Appointments

The total of additional compensation earned through all university sources by any faculty member shall not exceed 33⅓% of the annual salary for the preceding academic year.

No summer or winter appointments, outside of the usual job responsibilities, are made without the consent of the faculty member involved.

Academic Year (AY) Appointment. Faculty members on academic year (AY) appointments may receive additional compensation for engaging in approved sponsored research, Extension activities, summer, and winter session teaching and, as allowable, non-credit, or eligible for-credit instruction conducted by Continuing and Professional Education or teaching an eligible for-credit continuing education course on overload (refer to 2.15.2 and 2.15.3 for additional information on Continuing and Professional Education). The total additional compensation earned through all university programs by any faculty member on an academic year appointment shall not exceed 33⅓% of the annual salary for the preceding academic year.

Calendar Year (CY) Appointment. Faculty members on calendar year (CY) appointments may receive additional compensation for Extension activities, and/or summer and winter session
teaching that is not considered part of their usual job responsibilities and, as allowable, non-credit, or eligible for-credit instruction conducted by Continuing and Professional Education (refer to 2.15.2 and 2.15.3).

2.6.6.1 Summer Session Appointments
Faculty members on academic year (AY) appointment may be invited by the department head, chair, school director, or supervisor to teach one or more courses in summer session.

Faculty on calendar year (CY) appointments may be invited by the department head, chair, school director, or supervisor to teach one or more courses in summer session for additional compensation provided that the course(s) are not considered part of their usual job responsibilities.

For purposes of sponsored grant and contract activity and for limitations on compensation May 10 to August 9 designates the summer work period. Faculty members who receive summer salary from sponsored projects must certify the effort expended on those projects during the summer period. Work on a sponsored project during the academic year for which compensation is then provided during the summer is specifically prohibited by federal regulations. Summer pay for sponsored projects is only justified by appropriate effort expended on the project during the summer period.

Only academic year faculty members who have approved research extended appointments earn and accrue annual leave proportional to their appointments. Faculty members with one, two, or three months of sponsored funding are strongly urged to convert their nine-month appointment to a 10-, 11-, or 12-month research extended appointment, which entitles them to earn and use annual leave and to have the summer pay included as creditable compensation for retirement purposes in accordance with university policies. Alternatively, the faculty member can charge less than one, two, or three months of full-time salary to the sponsored project (or other sources as appropriate) and take uncompensated leave for the remainder of the summer in order to have vacation.

2.6.6.2 Winter Session Appointments
Winter Session is not considered part of the instructional year. Faculty members on academic (AY) or calendar year (CY) appointments may be invited by the department head, chair, school director, or supervisor to teach courses in Winter Session

The faculty member receives overload payment for teaching a Winter Session for-credit course. Compensation for teaching in the session is negotiated by the faculty member and the department head, chair, or school director. Maximum compensation is set at 3.75% of the faculty member’s annual salary for each one-credit semester course taught. An additional incentive grant may be negotiated up to a maximum of one month’s salary. Additional compensation, including overload and any incentive grant is considered in the total allowable aggregate compensation of no more than 33⅓% of annual salary from the preceding academic year.
2.6.6.3 Winter and Summer Session Appointments for A/P Faculty

Appropriately credentialed administrative and professional (A/P) faculty who are qualified for instruction may teach during the summer and winter session with approval of their department head, chair, school director or supervisor. Guidelines set forth in Policy 4071, “Policy for Staff Employed to Teach For-Credit Courses,” and Policy 4072, “Teaching Credit Classes and Overload Compensation for Administrative and Professional Faculty Members,” apply.

2.6.7 Emeritus or Emerita Designation

The title of emeritus or emerita is conferred on retired Virginia Tech faculty members as defined in Faculty Handbook, chapter two who have made exemplary contributions to the university and are recommended to the Board of Visitors for approval by the provost and president.

All nominations for emeritus or emerita designation should, through a draft resolution for the Board of Visitors, describe the faculty member’s exemplary contributions and academic citizenship across any of Virginia Tech’s mission areas of teaching, research or creative activity, and engagement. These contributions may, for example, be demonstrated through teaching awards, leadership or extensive service in transformative university initiatives, especially impactful community engagement, or evidence of national or international distinction. The expectation and desire is that emeritus/emerita faculty will have ongoing engagement with Virginia Tech, however, in some instances the emeritus/emerita designation may be conferred as a recognition of past contributions to Virginia Tech, without an expectation of continued engagement.

For college faculty, emeritus or emerita nominations may be initiated by the faculty member’s department head, chair, school director, or senior academic administrator in consultation with the faculty member. Consistent with processes for faculty honorifics, each college should have formal procedures for the nomination and appointment of faculty to emeritus or emerita status that include review by a college honorifics committee or promotion and tenure committee. After review by the appropriate college committee the college dean makes recommendations for approval by the provost, who then reviews and makes a recommendation to the president and the Board of Visitors.

For A/P faculty, nominations may be initiated by the faculty member’s supervisor or other senior administrator, in consultation with the faculty member. After review by the A/P Faculty Senate Elections and Nominations Committee, the A/P Faculty Senate President makes recommendations to either the provost or to the executive vice president and chief operating officer (EVPCOO) for A/P faculty who do not work in academic affairs. The provost or EVPCOO, as appropriate, reviews the nomination and makes a recommendation to the president. All recommendations for emeritus or emerita status are forwarded by the president to the Board of Visitors for their consideration and approval.

Note: Procedures for emeritus or emerita nominations will be outlined on the provost's website, and will include such things as a nomination form, sample resolution(s), sample letter(s) that confirm review and support of the nomination by the college honorifics committee and dean; or,
for A/P faculty, a letter confirming the review and support for the nomination by the A/P Faculty Senate Elections and Nominations Committee.

2.7 Documentation of U.S. Citizenship or Lawful Authorization to Work in the United States

In accordance with federal law, on or before the first day of their employment, new employees must provide documentation confirming identity of U.S. citizenship or lawful authorization to work in the United States.

2.8 Conviction and Driving Record Investigation Check for Employment

The university conducts a conviction and/or driving record investigation once a contingent offer is made to and accepted by the selected candidate, according to the provisions in Policy 4060, “Conviction and Driving Record Investigation for Employment.” Human Resources coordinates the conviction and driving record investigation process.

A preliminary offer may be made to the selected candidate, contingent upon the results of the investigation. However, at no time should the selected candidate be allowed to begin work before the investigation process is complete.

2.9 University-Sponsored Applications for Permanent Residency

Virginia Tech welcomes the contributions of scholars from all over the world in carrying out its learning, discovery, and engagement missions. Employer-sponsored applications for permanent residency assure the international scholar’s ongoing involvement in the life of the university and the work for which the employee was hired. To receive Virginia Tech sponsorship, all of the following conditions must be met:

- The position must have the potential to be ongoing with successive renewals over a period of several years. For positions funded from sponsored grants or contracts, the supporting unit must demonstrate a record of sustained external funding.
- The individual’s appointment must be full-time and salaried, and in compliance with federal regulations, such as prevailing wage rate. The appointment may be restricted or regular, either academic or calendar year, as long as it is salaried, full-time, and there is an expectation of successive renewals over a period of several years. Wage employment does not meet this test.
- The position is significant and meets institutional needs as documented by the department and validated by the approval of the relevant senior manager. Significance may be signaled, in part, by rank and title, as well as documented in the job description and supported by the individual’s credentials. These include instructional faculty (ranks of instructor and assistant professor or above, including clinical faculty and collegiate professor ranks, but excluding adjunct, wage, or visiting faculty members); research faculty (all ranks except postdoctoral associates, whose appointments are limited, by definition, to five years); administrative/professional faculty with significant expertise
critical to the university; and staff members with significant expertise critical to the university.

The department verifies that they wish to retain the employee in the position indefinitely subject to availability of funding, need for services, and satisfactory performance.

2.10 Dual Career Program
Prospective candidates for faculty positions at Virginia Tech may have spouses or partners who are also seeking employment. The ability of a spouse or partner to find suitable employment is a crucial element in the recruiting process and may be a determining factor in the couple’s decision.

The spouse or partner of a faculty candidate or administrator who is being recruited to Virginia Tech is eligible for participation in the dual career program. The spouse or partner of a current faculty member who has been recently hired or is negotiating a retention package is also eligible for participation in the dual career program.

The dual career program offers job search assistance for up to one year; advice regarding a résumé, curriculum vitae, and cover letter; assistance with interview preparation; and networking assistance. These services do not mean entitlement to employment or a guarantee of job placement. Guidelines that describe procedures for Virginia Tech’s hiring of dual career partners are available on the Human Resources and provost’s websites.

2.11 Qualification and Teaching Credentials for Instructors of Record
Virginia Tech uses the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) teaching credential guidelines to qualify instructors of record.

For regional accreditation purposes, Virginia Tech must justify and document the teaching qualifications of all instructors of record as outlined by the SACSCOC. The SACSCOC does allow for special qualifications that fall outside these guidelines.

Faculty, Instructors, Adjunct Faculty

To teach baccalaureate/undergraduate courses: a doctorate, terminal degree, or master’s degree in the teaching discipline, or a master’s degree with at least 18 graduate hours in the teaching discipline.

To teach graduate/post-baccalaureate courses: an earned doctorate/terminal degree in the teaching discipline or a related discipline.

Graduate Teaching Assistants

To teach baccalaureate/undergraduate courses: a master’s degree in the teaching discipline, or a minimum of 18 graduate hours in the teaching discipline and direct supervision by a faculty
member experienced in the teaching discipline, regular in-service training, and planned periodic evaluations.

**Department Responsibility**

The department within which a course is listed or originates is responsible for qualifying instructors of record to teach by documenting credentials for any instructional site including the Blacksburg campus, any distributed university location, and any on-line/distance education. The qualifying department may be different than the employing department in some cases. Departments are responsible for maintaining up-to-date documentation of teaching credentials for instructors of record. Changes in teaching credentials may occur after initial qualification (usually at employment as a faculty member).

**Documentation of Teaching Credentials**

Documentation of credentials includes a transcript cover sheet (now called Statement of Faculty Credentials for Teaching) accompanied by an official electronic or other form of official transcript. The cover sheet and transcript are submitted to Human Resources for entering into the university’s Faculty Online Credentialing System (FOCS).

**2.12 Advanced Study at Virginia Tech**

The university encourages and supports the education of its employees. Educational leave to pursue a degree elsewhere is one option available to faculty. In addition, faculty may enroll in for-credit courses or degree programs at Virginia Tech. The program is administered under the provisions of Virginia’s general appropriations act and operates under certain constraints imposed by the state policy on educational aid to state employees.

The following provisions apply to full-time salaried faculty (including administrative and professional faculty and research faculty) who wish to take courses at Virginia Tech. Part-time salaried faculty are eligible for a partial tuition benefit. Only courses of degree programs approved in advance by the faculty member’s department head, chair, school director, or supervisor are eligible for tuition waiver or reimbursement. Enrollment should not impede the usual work schedule of the department or school. Time spent attending class during usual work hours must be made up under a plan approved by the department head, chair, school director, or supervisor unless the course is a work-related course required by the university.

Faculty who take courses must meet all admissions requirements, registration, and payment deadlines, just as any other student. Application for admission must be made and approval granted by the graduate school prior to the waiver of tuition for classes. If approved by the department head, chair, school director, or supervisor a faculty member may register for credit or audit a total of 12 credit hours per calendar year, with no more than six credit hours taken in any enrollment period—fall, winter, spring, summer I, or summer II. (The year begins with fall term and ends with summer II.) Additional hours may be taken outside the normal work schedule with
the employee paying all applicable fees in excess of those allowable for tuition waiver or reimbursement.

Instructional faculty members of the rank of assistant professor or above are not eligible to become candidates for a degree or to earn an additional degree at this institution. The policy is designed to avoid the awkwardness of faculty members evaluating their colleagues in the fulfillment of degree requirements. This policy may be waived on a case-by-case basis through appeal to the Commission on Faculty Affairs (CFA). CFA may find and recommend to the provost that in a specific case the purpose of the policy is not contradicted. This policy does not apply to degree-seeking administrative and professional faculty, or non-instructional research faculty.

2.13 Types of Leave and Leave Reporting
Consult Human Resources for information about types of leave. Several types of approved leave, with or without salary compensation, are available to faculty members. Unapproved absence from assigned duties, which is not covered by an approved or earned leave, is subject to a subsequent adjustment in pay.

2.14 Change of Duty Station or Special Leave
2.14.1 Change of Duty Station
A change of duty station may be approved in instances where a faculty member would be hosted by another institution or organization and undertake activities of benefit to the individual faculty member and the university. Approval of the executive vice president and provost or executive vice president and chief operating officer, depending upon the reporting structure, on recommendation of the department head or chair or school director, and dean (or appropriate administrator) is required. Such authorization is usually not granted for longer than one semester. In certain circumstances, the executive vice president and provost or the executive vice president and chief operating officer determines whether a change of duty station involving institutional salary support is appropriate.

2.14.2 Special Leave
A special leave may be approved in instances such as grant responsibilities, opportunity for a prestigious fellowship in residence at another institution, or similar activities of benefit to the individual faculty member and the university. Approval of the executive vice president and provost or executive vice president and chief operating officer, depending upon the reporting structure, on recommendation of the department head or chair or school director, and dean (or appropriate administrator) is required when such absences involve salary payment by university general funds, either in full or in part. Such authorization is usually not granted for longer than one year. The host institution, agency, or sponsored project is expected to make a significant contribution toward the cost of the faculty member’s salary and/or benefits. In addition to Special Leave, Study Research Leave and Research Assignment Leave are available to tenured and continued-appointment faculty, and are described in detail in chapters three, four, and fourteen of this handbook.
2.14.3 Geographical Transfer Policy
Reassignment of a faculty member at the initiative of the university to a primary workstation located more than 50 miles from the current workstation is considered a geographical transfer. A department head, chair, or school director, or supervisor may request the geographical transfer of a faculty member to implement a programmatic mission of the university. The affected faculty member shall be involved in planning for the transfer prior to the submission of a formal request for transfer. The request for geographical transfer shall be transmitted in writing to a second-level administrator for approval with accompanying documentation justifying the need for the transfer of the selected individual. The justification shall describe the university program and the position to which the faculty member is being transferred. This description shall list the unique skills and knowledge required to fulfill the program’s mission. The alternatives for meeting the requirements shall be outlined, along with the reasons for selecting the alternative of geographical transfer of the particular faculty member. A faculty member must be notified in writing at least six months in advance of the geographical transfer. The transferred faculty member shall be reimbursed for all allowable expenses as defined in the university Controller’s Office Procedure 20345: Moving and Relocation Expenses. A cost-of-living adjustment will be added to the faculty member’s base salary during the period of employment in a high-cost area.

2.15 Continuing and Professional Education Activities

2.15.1 Required Use of and Participation in Continuing and Professional Education Program Services and Facilities
Contact Continuing and Professional Education for information. Policy 6362, “Policy on Continuing and Professional Education,” requires that academic colleges, centers, and administrative units designing and delivering continuing and professional education activities, both on- and off-campus, under the auspices of the Virginia Tech brand must work through Continuing and Professional Education. This includes work conducted by faculty in Blacksburg, as well as faculty delivering continuing education programs at university locations outside of Blacksburg. Alternate arrangements may be made in the case of lack of availability of appropriate space or mutual agreement between the sponsoring university entity and Continuing and Professional Education.

2.15.2 Overload Payment and Compensation for Non-Credit Continuing and Professional Education Activities
Contact Continuing and Professional Education for information. Faculty members may be eligible for direct payment for non-credit instructional activity in Continuing and Professional Education programs.

All faculty members not supported by educational and general funds of the Virginia Cooperative Extension Service, Continuing and Professional Education, or outreach programs are eligible for such payments. Faculty members supported by such funding whose job descriptions do not include activity in non-credit instruction may request approval of their dean or director (or appropriate administrator) and the executive vice president and provost or executive vice president.
president and chief operating officer, depending upon the reporting structure, for participation for payment.

Non-credit teaching for direct pay is subject to the provisions of the university’s consulting policy, i.e., the total of non-credit teaching and other approved consulting does not ordinarily involve more than one day per week and does not exceed five days in any five-week period. For purposes of limitation of consulting, each day in which non-credit instruction is undertaken is counted as one day, unless the participation does not exceed one-half day (as defined below), in which case it is counted as one-half day. Because of the scheduling requirements of certain Continuing and Professional Education programs, exceptions to the limitation of five days of consultation in any five-week period may be approved as long as the maximum of 39 days in the academic year is not exceeded.

For direct payment purposes, a day is defined as six contact hours of non-credit instruction; pro rata payments are made for portions of days, usually in units of 1.5 hours. For teleconferences involving televised delivery a day is defined as three contact hours.

To encourage faculty to develop academically innovative programs with significant market potential, faculty may request preparation time as part of the program and budget development process. This additional faculty compensation for research and development may not exceed three days for each day of instruction.

Research and development time is associated with two types of programs. The first type is research and project development undertaken for a specific organization. As such, the payment of the research and project development is assured with the other program services under contract. The second type of program involves those programs offered on a solicitation basis to members of a specific audience. The generation of revenues for faculty research and development are included in participant fees. The actual amount and timing of the faculty payment depends on program success. The agreement is subject to approval by the department head, chair, school director, or supervisor and director of program development.

If research and development initiatives are perceived by a contracting agency or department to be more extensive, the college has the option of providing additional compensation to faculty through college surplus funds or of buying their time in the summer. Such additional compensation beyond three days for each day of delivery requires the approval of the vice president for outreach and international affairs and the director of Continuing and Professional Education. Approval for such payment is required through the P14 payment process initiated by Continuing and Professional Education.

For a particular program, a daily payment rate is determined by agreement of program faculty in Continuing and Professional Education, the participating faculty member, and the faculty member’s department head, chair, school director, or supervisor and is subject to the approval of the director of Continuing and Professional Education. Such a negotiated rate may depend on the anticipated enrollment and the budgetary constraints of the program.
The provost may set a maximum applicable daily payment rate. The provost advises the Commission on Faculty Affairs of any changes in the maximum applicable daily payment rate if set.

Continuing and Professional Education is responsible for seeking approval for direct pay (P14) through the university and authorizing final payment. Such payments are made after teaching services are provided.

In addition to the constraints imposed by the consulting policy, there is a limitation on the aggregate amount of such direct payments that may be earned in a faculty member’s appointment year. Faculty members on calendar year appointments may earn no more than \( \frac{33\frac{1}{3}}{} \) percent of their annual salary during the July 1 - June 30 appointment year. Faculty members on academic year appointments may earn no more than \( \frac{33\frac{1}{3}}{} \) percent of their annual salary during the academic year. Payments made to academic year faculty members in the summer period will be included in the \( \frac{33\frac{1}{3}}{} \) percent limitation of the previous academic year’s salary that is currently imposed on summer payment from all university sources combined.

Costs of producing materials for Continuing and Professional Education programs are borne by the program budget, not by the operating budgets of any unit except where provided for that specific purpose.

### 2.15.3 Overload Payment and Compensation for For-Credit Continuing and Professional Education Activities

The university’s mission and goals include increasing outreach, continuing and professional education, and distance learning activities to serve the workforce and professional development needs of business and industry, government, organizations, and individuals. Some professional audiences seek credit course work to meet their educational needs—not just a short term, non-credit experience such as workshops or seminars. In some cases, these audiences look to some of the university’s most visible and distinguished faculty members to deliver this programming. Often such programming involves a contract with businesses or organizations, which covers the cost of course delivery, including faculty compensation. The programs are generally delivered off-campus, perhaps at the organization/business site or elsewhere, or via distance learning.

The following policy guidelines provide information regarding compensation for faculty members involved in delivering for-credit continuing and professional education. For-credit programming designed for executive/professional audiences is included among programs eligible for additional faculty compensation; even if such programs are offered for individual enrollment rather than for employees of a specific corporation or agency; and even if course work is delivered at the faculty member’s home base.

Overload responsibilities undertaken for supplemental compensation may be assumed only when the intended task is clearly outside usual responsibilities of the individual, as determined by the appropriate department head, chair, school director, or supervisor and academic dean; and the conduct of the task is clearly in the best interest of the university; the individual is eminently...
qualified to undertake the task; and such an overload is included within the overall time limitations of the consulting policy.

Continuing projects, or projects occupying an identifiable amount of time longer than a semester or more, are arranged on a released-time basis. Prior approval by the department head, chair, or school director and dean are required for all overload commitments undertaken for supplemental compensation.

Overload compensation may be approved in cases involving for-credit continuing and professional education where: the faculty member is required to travel to an off-campus location; or, the faculty member is delivering a program to students at one or more distributed campus locations through distance learning technology, whether the instruction is delivered in a synchronous or asynchronous mode; or, the faculty member is delivering for-credit course work as part of an executive/professional program approved for overload compensation, even if the course is being delivered at the faculty member’s home base.

There should be no expectation that course work currently taught on-load, which requires a faculty member to travel to another location to teach, or for which the faculty member is delivering the program via distance learning technology, would automatically be considered for overload compensation. Determination of the faculty member’s assignment is the responsibility of the department head, chair, school director, or supervisor and dean. Distance learning instruction and teaching at off-campus sites are appropriate on-load assignments which faculty members are expected to fulfill without additional compensation.

Faculty members are not required to accept for-credit overload assignments for continuing and professional education instructional activities.

Faculty compensation is determined as part of the budget development and contract negotiation process and may vary based on discipline, level of expertise, effort required, group size, number of credits, and other factors usually considered in setting compensation for continuing education instruction. P14 payments for credit continuing and professional education course work also require the approval of the vice provost for faculty affairs. Contracts with businesses, organizations, or other approved revenue sources are expected to cover the full cost of such faculty compensation.

The department head, chair, school director, or supervisor is responsible for the fair and appropriate assignment of overload for-credit course work to faculty members in the department. To assure equity and appropriateness, the department head, chair, school director, or supervisor, and dean monitor the responsibilities and assignments of faculty earning additional compensation.

Faculty members on calendar year (CY) appointments may earn up to an additional 33 1/3% percent during the fiscal year, by teaching non-credit programs administered through the
Similarly, faculty members on academic year (AY) appointments may earn up to an additional 33 1/3\% of their academic year salaries during the academic year through these approved activities. Earnings during the summer from all university sources, including those cited above, summer or winter session teaching, and sponsored research are capped at 33 1/3\% of the prior academic year salary.

The consulting policy sets the institutional maximum on the number of days that a faculty member can spend in approved, paid professional activity while on salary. All approved activity—consulting, technical assistance agreements, for-credit continuing and professional education course work, and non-credit continuing and professional education must stay within the consulting policy guidelines of one day per week or no more than five days in a five-week period. Six contact hours constitute the equivalent of one consulting day.

Exceptions require the approval of the department head, chair, school director, or supervisor, dean (or appropriate administrator), and executive vice president and provost or executive vice president and chief operating officer, depending upon the reporting structure.

2.16 Retirement, Resignation, and Non-Reappointment

2.16.1 Retirement

State law prohibits mandatory retirement based on age alone. There is no mandatory retirement age for university faculty and staff.

2.16.1.1 Voluntary Transitional Retirement Program for Faculty with Tenure or Continued Appointment

Faculty members with tenure or continued appointment who are at least 60 years of age and have at least 10-20 years of full-time service at Virginia Tech may be eligible for the university’s voluntary transitional retirement program. The program allows long-term faculty to remain actively involved in the life of the institution while reducing their professorial responsibilities as they transition towards full retirement. Further details of the program and eligibility requirements are provided in Policy 4410, “Voluntary Transitional Retirement Program for Tenured Faculty.”

2.16.2 Resignation

Faculty members who wish to resign should give notice as far in advance as possible. Faculty members with instructional responsibilities are expected to provide notice of at least one semester. The minimum acceptable notice for tenured, tenure-track, or non-tenure-track instructional faculty members is three months.
**2.16.3 Non-Reappointment of Faculty Members on Temporary or Restricted Appointment**

For faculty members on temporary or restricted appointment for which there is no indicated opportunity for reappointment, the letter of appointment also serves as notice of the termination of employment. The appointment is discontinued unless notified otherwise.

Research faculty members are ordinarily on restricted appointments for a fixed period because of limitations of external funding. Reappointments may be possible if such funding is renewed but should not be assumed.

**2.16.3.1 Non-Reappointment of Faculty Members on Regular Appointment**

The decision to non-reappoint a faculty member on a regular appointment may stem from many factors beyond unsatisfactory service, such as modification of programmatic emphasis, enrollment trends, a change in the nature of the position, or simply the intention to seek an appointee with superior qualifications or stronger potential for professional development. Non-reappointment does not require establishment or documentation of just cause.

**2.16.3.2 Notice of Non-Reappointment for Faculty on Probationary, Term Tenure-Track or Continued-Appointment-Track**

<table>
<thead>
<tr>
<th>Years</th>
<th>Notice</th>
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<tbody>
<tr>
<td>First year of employment</td>
<td>February 9 of academic year or three months before end of employment year.</td>
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<tr>
<td>(One-year term appointment)</td>
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<tr>
<td>Second year of employment</td>
<td>November 9 of the academic year or six months before end of employment year;</td>
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<tr>
<td>Subsequent years</td>
<td>12 months before end of employment year (May 9 for academic year appointments).</td>
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**2.16.3.3 Notice of Non-Reappointment for Faculty on Regular, Non-Tenure-Track, Instructional Appointments**

<table>
<thead>
<tr>
<th>Years</th>
<th>Notice</th>
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<tr>
<td>Years</td>
<td>Notice</td>
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</tr>
<tr>
<td>Less than two years</td>
<td>At least three months for those in regular appointments for less than two years.</td>
</tr>
<tr>
<td>Two years or more</td>
<td>At least six months for those in regular appointments for two years or more.</td>
</tr>
<tr>
<td>Prior to March 2001</td>
<td>For those research faculty appointed to regular positions before March 2001, the notice of reappointment is 12 months.</td>
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### 2.16.3.5 Notice of Non-Reappointment for Administrative and Professional Faculty on Regular Appointment

<table>
<thead>
<tr>
<th>Years</th>
<th>Notice</th>
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<tr>
<td>Prior to one year</td>
<td>At least three months before the expiration of an initial one-year appointment (for example, if the effective date of an initial one-year appointment was July 1, then written notice of non-reappointment must be made by March 31 for termination effective June 30).</td>
</tr>
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More than one, but less than two years  
At least six months for administrative and professional faculty members employed by the university for more than one year, but less than two years.

Two years or more  
At least 12 months for administrative and professional faculty members employed by the university two years or more.

2.16.3.6 Unclaimed Personal Property

All personal property - tangible, intangible, electronic, or other personal property - is removed by close of business on the faculty member's final day of employment at Virginia Tech unless prior approval is granted. The university is not responsible for keeping or maintaining personal property left by the faculty member. The university accepts no liability for lost, damaged, or destroyed personal property.

A departing faculty member may request permission to store personal property beyond the last day of employment. The following stipulations apply: the request to store personal property must be submitted prior to the last day of employment; such a request must be submitted to the department head, chair, school director, or authorized supervisor, and the department head, chair, or school director, or authorized supervisor has absolute discretion in approving or denying the request.

2.17 Reduction in Force (RIF)

Termination refers to the involuntary cessation of employment of a tenured or continued appointment faculty member or of a faculty member on a fixed-term appointment before the end of the term. Termination takes place only as dismissal for adequate cause or in the case of a reduction in force (RIF).

Furlough refers to the involuntary interruption of employment of a tenured or continued appointment faculty member or of a faculty member on a fixed-term appointment before the end of the term. This differs from termination in that it conveys an intention of the university to reappoint affected faculty members within some reasonable period if circumstances permit.

A reduction in force is the termination or interruption of employment of a member of the general faculty under conditions of financial exigency or program reduction. Reduction in personnel by attrition, freezes on new hiring, across-the-board reductions of salaries and/or teaching schedules, and the offering of incentives for early retirement, whether at the program level or institution-wide, are not considered reductions in force. Rather, they are lesser remedies that may be implemented before any reduction in force.

Denial of tenure to an untenured faculty member or non-renewal of appointment of an untenured faculty member on probationary appointment, or non-renewal of appointment of an untenured
member of the administrative and professional faculty, where usual procedures have been affected in each instance, is not considered a termination within the meaning of this policy.

For the procedures outlined below, seniority refers to the number of years served at the university by a member of the general faculty in tenured, tenure-track, or functionally equivalent positions. Service need not be continuous to contribute to an individual's seniority. Years of service include those during which a faculty member is employed at least half-time. Years during which a faculty member is employed less than half-time will not count toward years of service for purposes of this section.

2.17.1 Reduction in Force (RIF) Under Conditions of Financial Exigency

Reductions in force (RIF) may occur when financial conditions disallow the usual operation of programs. While the university has a right to initiate reductions in force, including those affecting tenured faculty, it is the policy of the university (to the extent consistent with the degree of financial exigency) to ensure that the rights of tenure or continued appointment are preserved; to ensure that the integrity of the university and its programs is preserved; to protect the contractual expectations of untenured faculty; to provide that the burden of corrective action is shared by the various categories of personnel of the university, including all members of the general faculty; and to ensure that any reductions that do occur follow an orderly and predictable process.

A financial exigency is an imminent financial crisis that threatens the survival of the university and that cannot be alleviated by ordinary budgeting practices. Reductions in force in response to conditions of financial exigency are determined and implemented as follows:

Declaration of a state of financial exigency: Should the president determine that so extraordinary a circumstance has arisen or is anticipated that it might be necessary to terminate or interrupt the appointments of faculty members, the president may declare a state of exigency. Upon such declaration, the president forms an ad hoc committee to review the budgetary situation and the president's plan for addressing it.

Committee review: The ad hoc committee is comprised of no fewer than nine members, a majority of whom are faculty members nominated by the Faculty Senate. This includes at least one representative from each college. Where a RIF may affect the University Libraries or Extension faculty, at least one representative from that faculty should also be selected to serve on the committee. Any person who resigns from or otherwise discontinues service on the committee is replaced by a new member chosen in the same manner as was the individual being replaced, and such replacement members are so selected that each college and, where appropriate, the University Libraries or Extension faculty retain at least one representative. Within the constraints of time and circumstance, the committee reviews the proposal submitted by the president and any alternative remedies that are available and recommends to the president a plan of action that may incorporate reductions in force of the administrative and support staff as well as the general faculty. The committee is charged with protecting both academic freedom and,
insofar as circumstances permit, the presumption of continuous employment that tenure or continued appointment bestows and considers the curricular needs and goals of the university as well and the effects of any anticipated actions on the future financial well-being of the institution.

**Determination of policy:** After receiving the recommendations of the ad hoc committee, the president determines the response of the university to the declared state of exigency. If the president’s decision is substantially at variance with the recommendations of the committee with specific regard to the implementation of RIFs, the committee may, by majority vote, appeal the president’s actions to the Board of Visitors. In all other matters, and in cases where the president’s decision to carry out a reduction in force accords with the recommendations of the ad hoc committee, no such appeal is available. The ad hoc committee consults with the president and receives periodic reports until the state of exigency ends and the committee determines that the obligations of the university to furloughed or terminated faculty are met.

**Implementation:** Reductions in force are implemented either within specified programs or across the institution. Whenever a RIF is undertaken, it is guided by the following considerations. Insofar as circumstances permit, all temporary or part-time faculty members and those not holding tenured or tenure-track appointments or their functional equivalent are retained through the then-existing term of appointment. Insofar as circumstances permit, untenured faculty holding tenure-track appointments and University Libraries and other faculty holding probationary appointments are retained through the then-existing term of appointment. No tenure-track or functionally equivalent appointment is terminated or interrupted unless and until all appropriate temporary appointments are terminated. Where reductions in force of these personnel are required, they are implemented in ascending order of rank and of seniority within rank. Whenever possible, the university provides notice of furlough or termination equivalent to that for non-reappointment schedule as set forth in chapter two, “non-Reappointment.” Except in the most extraordinary circumstances, all tenured faculty and those on continued appointment retain their positions. Where reductions in force of tenured or continued appointment personnel are required, they are implemented in ascending order of rank and of seniority within rank. Whenever possible, the university provides at least one year’s notice of furlough or termination.

**Notification:** The university provides written notification to all faculty affected by a RIF including: (a) a statement of the basis for its action, (b) a description of the manner in which the decision in question was reached, (c) a disclosure of the information and data on which the decision makers relied, (d) information regarding reappointment rights and process, and (e) information regarding procedures available for appealing the decision.

**Appeals:** The decision to furlough or terminate a member of the general faculty because of a reduction in force may be appealed in two ways. The affected individual may appeal through the grievance procedure specified in the relevant section of the Faculty Handbook. After consulting with the appropriate dean and an elected committee of faculty members from the affected program, the principal administrative officer of a program may appeal individual RIF decisions to the provost on programmatic grounds. Reductions in force of no more than one-quarter of the affected faculty in any program may be appealed in this manner.
Replacement and Reappointment: The university recognizes its obligation to reappoint personnel furloughed or terminated through a RIF insofar as circumstances permit within a reasonable period following such action. Accordingly, temporary personnel cannot replace a probationary term faculty member who has been furloughed or terminated through a reduction in force for a period of three years following that action. Similarly, temporary or probationary term personnel cannot replace a tenured or continued appointment faculty member who has been furloughed or terminated through a reduction in force for a period of five years following that action.

Rather, affected members of the general faculty are granted first refusal of re-established positions for which they are qualified, with positions offered in descending order of rank and seniority within rank whenever the number of qualified personnel exceeds the number of available positions. The university attempts to identify funds to extend to affected faculty during these periods of three and five years, respectively, all health insurance benefits for which they would otherwise have qualified. On reaching age 70, or on declining at least one offer of employment in a position equivalent in tenure status, salary, and teaching load (as adjusted to reflect post-RIF department changes) to that which was terminated, each faculty member affected by a reduction in force forfeits all protections afforded by this paragraph.

For the purpose of providing insurance benefits and implementing these reappointment procedures, the provost keeps the curriculum vitae and current address of each terminated or furloughed faculty member. Terminated or furloughed faculty have an obligation to maintain the accuracy and timeliness of these records; the failure to do so results in forfeiture of the protections afforded by this paragraph.

2.17.2 Reduction in Force (RIF) for Academic Program Restructuring or Discontinuance

Ordinarily, changes to academic programs within the university are planned so that the appointments of faculty members are not compromised. Such changes are considered part of the ongoing evolution of academic programs and are subject to the usual procedures established by the colleges, relevant commissions, and the State Council of Higher Education for Virginia.

However, when extraordinary circumstances require more rapid change, it may be necessary to restructure or discontinue programs or departments in a way that leads to involuntary terminations or other alterations of appointments of faculty members with tenure or continued appointment. In such circumstances, the policy in this section applies.

Any decision to restructure or discontinue academic programs in a way that alters faculty appointments is a university-wide responsibility and should be made to support the educational mission of the university. In all such circumstances, early and meaningful faculty participation is essential and fundamental to the process outlined in this policy.

The restructuring or discontinuing of one or more academic programs with the potential to invoke this policy may be initiated by the provost or president, by the college deans, by the college
faculties, or by an appropriately charged commission. If the provost determines that such restructuring or discontinuing of academic programs should be considered, a Steering Committee for Academic Restructuring, hereinafter referred to as the steering committee, is appointed as described below. The purpose of the steering committee is to evaluate and coordinate the proposed restructuring effort, and to ensure that the procedures in this section are followed.

The steering committee is composed of nine members determined jointly by the provost and the president of the Faculty Senate: two faculty members selected from the membership of the Commission on Faculty Affairs; two faculty members selected from the membership of the Commission on Undergraduate Studies and Policies; two faculty members selected from the membership of the Commission on Graduate Studies and Policies; one faculty member selected from the University Advisory Council on Strategic Budgeting and Planning; one member selected from nominations by the Faculty Senate; and the provost, or an administrative designee.

The steering committee elects a chair by a vote of all members of the committee. The steering committee composition is intended to ensure that the expertise and perspectives of the relevant commissions are incorporated in the deliberations.

The provost initiates discussion of a proposed program restructuring or discontinuance with the steering committee, describing the need for the change, the proposed type and scope of restructuring effort, the educational rationale for the change, and an explanation of how it is consistent with the long-term goals of the university. If after these preliminary discussions and upon considering the advice of the steering committee, the provost decides to proceed, the provost prepares a more detailed proposal including identification of programs to be restructured or discontinued (or how they will be identified); timelines for development of specific plans by the affected programs and for the restructuring effort as a whole; and the estimated impact on the affected faculty, staff, and students, and on the university as a whole. If a budget reduction is involved, then reduction targets for any affected unit(s) must be included in the draft proposal.

The steering committee reviews the draft proposal and makes recommendations to the provost either to proceed with the proposal as written or with modifications, or to return it as insufficiently justified. The steering committee shares its recommendations with the university community.

The provost considers the steering committee’s recommendations and makes every effort to develop a plan acceptable to the steering committee. If the provost decides to proceed, direction is given to the relevant dean(s) to prepare specific plans for the affected programs, based on guidelines in the following section. These plans identify which specific programs are to be reduced or eliminated; how the faculty, staff, and students will be affected; and how the rights, interests, and privileges of the faculty and staff members will be protected. If a budget reduction is involved, the specific plan must describe how the reduction targets will be met.

Under specific circumstances approved in advance by the provost and president, the Alternative Severance Option may be available to deans for meeting reduction targets.
The deans submit specific plans to the provost, who reconvenes the steering committee to oversee the review and comment process. All specific plans are made available to the university community for comment for a period of not less than three weeks. The relevant commissions (including the commissions on Staff Policies and Affairs and Administrative and Professional Faculty Affairs if such employees are affected) are also asked to review and comment on the plans. The steering committee receives all comments and makes recommendations to the provost; these recommendations are also shared with the university community at large. The president and Board of Visitors have final authority to approve and implement all plans. Notification to affected faculty does not proceed until final approval is given.

**Guidelines for development of college plans:** The relevant deans should develop specific plans by involving the faculty at all levels of decision-making. Staff members should be involved as appropriate.

College-level planning for programmatic reductions follows the guidance and intent of the plan reviewed by the steering committee and approved by the provost. For developing specific plans, an academic program should meet one or more of the following criteria: (a) “program” as part of its title, (b) grants a degree or a credential, (c) has a sequence of courses with a common prefix, or, (d) is identified as an academic program in official university documents. A program is generally smaller than a department and must be larger than the activities of a single faculty member.

If restructuring requires the termination of faculty members, then the following guidelines must be followed. When programs are identified for restructuring or discontinuance, all faculty assigned to the program, both tenured and untenured, are potentially subject to reassignment or termination. Within programs identified for restructuring or discontinuance, tenured faculty must not ordinarily be terminated before untenured faculty. Termination decisions within the tenured faculty as a group or within the untenured faculty as a group should be based on rank and merit. Faculty members on restricted or temporary appointments should be terminated before faculty members on regular appointments. The number of involuntary terminations of tenured faculty members should be minimized by providing incentives for resignation, retirement, or reassignment.

**Minimum responsibilities to individual faculty members:** The university recognizes its responsibility to faculty members if this policy is implemented. All plans to restructure academic programs guarantee the following to individual faculty members:

**Notice of termination:** Faculty members with tenure or continued appointment whose positions are eliminated as part of restructuring are given notice of not less than three years. Administrative and professional faculty members on regular appointments shall be given at least 90 days’ notice. All other faculty members shall complete their current contracts or be given a one-year notice whichever is less. Notice of termination longer than the minimum specified above may be given to selected faculty members whose expertise is essential to closing out an academic program in which students are enrolled.
Written notification: After final approval has been given for specific plans, written notification is provided to all faculty members whose appointments will be terminated or altered. The notification shall include a statement of the basis for its action, a description of the way the decision was reached, a disclosure of the information and data on which the decision was based, and information regarding procedures available for appealing the decision.

Transition assistance: Every effort is made to place affected faculty members with tenure or continued appointment in available openings in the university or to reassign them to continuing programs. Transition assistance may include training to qualify for placement in a related field if desired and appropriate. Where placement in another position is not possible, the university provides appropriate and reasonable career transition assistance such as clerical support, communications, office space, and outplacement services.

Reappointment: In all cases of termination of appointment because of program reduction or discontinuance, the position of a faculty member with tenure or continued appointment cannot be filled by a replacement within a period of three years following separation unless the released faculty member was first offered reinstatement and a reasonable time in which to accept or decline.

Appeals: A faculty member whose appointment is terminated or altered due to program reduction or discontinuance may file a grievance as outlined in the relevant section of the Faculty Handbook. Grounds for appeal may be substantial failure to follow the procedures and standards set forth in this section. Because faculty members, through the steering committee, are involved in the review and development of recommendations guiding the restructuring or discontinuance, the determination of which programs or departments are affected cannot be a basis for appeal.

2.18 Severance Benefits
The university provides severance benefits for eligible faculty who are involuntarily separated due to budget reduction, agency reorganizations, or workforce downsizings for reasons unrelated to performance or conduct. Faculty hired on restricted appointments funded from sponsored contracts or grants, or term (fixed-period) appointments with a specified ending date, regardless of funding source, are not eligible to receive severance benefits. In cases where employees are non-reappointed or voluntarily resign, these actions are not deemed “involuntary separation” for purposes of the severance policy.

2.18.1 Alternative Severance Option (ASO)
Under specific circumstances approved in advance by the provost and president, an alternative severance option (ASO) may be available to eligible faculty. Severance of faculty members with tenure or continued appointment must be voluntary; no tenured faculty member can be required to participate. Tenure-track and continued appointment-track faculty members are not eligible, nor are restricted employees.
The premise for any severance payment rests on the rationale of business necessity to reduce personnel expenses. When such a situation occurs, deans and senior managers will be asked to define the business operations, academic programs, departments, or units where personnel reductions will occur. An approved business plan for each participating college or vice-presidential area will describe the specific units and eligibility criteria for participation in the ASO or layoff substitution process. These plans will necessarily differ. Some colleges and senior management areas do not offer the ASO as a means to reach their budget reduction targets. The identification of employees who receive this offer will be based on business need, and, therefore, it is possible not not all employees who are eligible will be selected to participate. For example, if more employees may apply than are needed to address the reductions and positions or if an individual critical to business operations would be excluded, employee serves a critical function. Eligible employees in units with approved business plans are notified if the option is available to them.

2.19 Professional Responsibilities and Conduct

2.19.1 Virginia Tech Principles of Community

The Virginia Tech Principles of Community state: Virginia Tech is a public land-grant university, committed to teaching and learning, research, and outreach to the Commonwealth of Virginia, the nation, and the world community. Learning from the experiences that shape Virginia Tech as an institution, we acknowledge those aspects of our legacy that reflected bias and exclusion. Therefore, we adopt and practice the following principles as fundamental to our ongoing efforts to increase access and inclusion and to create a community that nurtures learning and growth for all its members:

- We affirm the inherent dignity and value of every person and strive to maintain a climate for work and learning based on mutual respect and understanding.
- We affirm the right of each person to express thoughts and opinions freely. We encourage open expression within a climate of civility, sensitivity, and mutual respect.
- We affirm the value of human diversity because it enriches our lives and the university. We acknowledge and respect our differences while affirming our common humanity.
- We reject all forms of prejudice and discrimination, including those based on age, color, disability, gender, gender identity, gender expression, national origin, political affiliation, race, religion, sexual orientation, and military status.
- We take individual and collective responsibility for helping to eliminate bias and discrimination and for increasing our own understanding of these issues through education, training, and interaction with others.
- We pledge our collective commitment to these principles in the spirit of the Virginia Tech motto of Ut Prosim (That I May Serve).

2.19.2 Statement of Business Conduct Standards

Each employee contributes to the success of Virginia Tech by performing job responsibilities in accordance with university policies and procedures. The university's business standards provide
a foundation of business practices to support the core missions of learning, discovery, and engagement. The statement of business standards is on the Financial Management Team website.

All employees are expected to ensure that business activities are conducted properly and in compliance with federal and state laws. Procedures are on websites of the Controller's Office, Procurement Department, Human Resources, and in university policies.

2.19.3 Non-Discrimination, Sexual Assault, and Harassment Prevention

Contact the Office of Equity and Accessibility for information. The university provides a workplace where all employees, students, visitors, and volunteers are treated with dignity and respect. Policy 1025, “Policy on Harassment, Discrimination, and Sexual Assault” affirms the university’s commitment to prohibit discrimination and harassment at all levels and areas of university operations and programs. Policy 1026, “Policy on Title IX Sexual Harassment and Responsible Employee Reporting” outlines processes for sexual assault and harassment.

As an academic community, Virginia Tech values the rights guaranteed by the First Amendment of the United States Constitution and does not restrict the exercise of these rights. All members of the university community are responsible for respecting conditions that preserve the freedom to learn. Protected activities do not violate university policy unless they interfere with university functions, violate the rights of others, or otherwise break the law. The appropriate supervisor or administrator is responsible for addressing offensive behavior that does not violate the non-discrimination and harassment prevention policy.

It is also a violation of policy to retaliate against any party for participating in a discrimination and/or harassment investigation (“protected activity”). Retaliation includes any adverse treatment that is reasonably likely to deter the complainant or others from filing a charge of discrimination and/or harassment or participating in a discrimination and/or harassment investigation. Retaliation can be verbal, written, graphic, electronic, or physical.

Consensual Relationships. It should be understood by all members of the university community that consensual amorous or sexual relationships (hereinafter referred to as consensual relationships) that occur in the context of educational or employment supervision and evaluation present serious ethical concerns. Consensual relationships between faculty and students enrolled in their classes or students for whom they have professional responsibility as advisor or supervisor violate the policy on professional ethics and responsibilities and may be a violation of non-discrimination and/or harassment prevention policies. Similarly, consensual relationships between supervisors and employees they directly supervise violate university policy. Faculty members or others performing instructional or academic advising duties and supervisors involved in consensual relationships must remove themselves from any activity or evaluation that may reward or penalize the affected student or employee.
Consensual relationships between faculty and students are particularly susceptible to exploitation. The respect and trust accorded a professor by a student, as well as the power exercised by the professor in giving praise or blame, grades, recommendations for further study and future employment, make voluntary consent by the student suspect, given the fundamentally asymmetric nature of the relationship.

Faculty and supervisors should be aware that engaging in consensual relationships with students or employees they supervise could make them liable for formal action. Even when both parties have consented to the development of such a relationship, it is the faculty member or supervisor who, by virtue of one’s special responsibility, may be held accountable for unprofessional behavior. Complaints alleging discrimination and/or harassment, as defined above, may be filed by either party to the consensual relationship or by an aggrieved party outside the relationship.

**Responsible Employee Reporting.** University administrators, supervisors, and those performing instructional or academic advising duties have an added responsibility to create and maintain a work and learning environment free of discrimination and/or harassment.

If an administrator, supervisor, or individual with instructional responsibility becomes aware of an incident that might reasonably be construed as constituting discrimination and/or harassment, they must take immediate steps to address the matter. In such cases, the administrator, supervisor, or individual with instructional responsibility should promptly contact the Office for Equity and Accessibility to coordinate any further action that may be necessary.

Administrators, supervisors, and those with instructional responsibility should act whenever they learn, directly or indirectly, about discrimination and/or harassment. This obligation exists even if the complainant requests that no action be taken. It is not the responsibility of the complainant to correct the situation.

Administrators, supervisors, and those with instructional responsibility (for their respective teaching obligation) have the legal responsibility to protect a complainant from continued discrimination, harassment, or retaliation. They must also protect persons accused of discrimination and/or harassment from potential damage by false allegations.

Administrators and supervisors will be held accountable for dealing with and taking necessary steps to prevent discrimination and/or harassment.

Administrators and supervisors are responsible for informing employees and students under their supervision of this policy and providing the name and contact information of the person responsible for addressing harassment and/or discrimination complaints covered under [Policy 1025](#) and [Policy 1026](#).

For additional information and to file a discrimination or harassment complaint, including Title IX, contact the Associate Vice President for Equity and Accessibility, Virginia Tech, North End Center, 300 Turner St., Blacksburg, VA 24061, Phone: 540-231-2010.
Virginia Tech Police Department. We encourage victims of sexual violence, including rape, sexual assault, sexual battery, stalking, and dating and domestic violence, to exercise their right to file a complaint with the Virginia Tech Police Department if the crime occurs on Virginia Tech's property, regardless of the status of the complainant. For crimes occurring away from Virginia Tech's property, victims may contact the local law enforcement in the appropriate jurisdiction.

2.19.4 Campus and Workplace Violence Prevention
The university’s commitment to preventing campus and workplace violence is specified in Policy 5616, “Campus and Workplace Violence Prevention Policy.” The policy lists prohibited conduct and sanctions for any policy violations, and prohibits carrying, maintaining, or storing a firearm, ammunition, or weapon on any university facility and for all events on campus where people congregate in any public or outdoor areas, even if the owner has a valid permit, when it is not required by the individual’s job or in accordance with the relevant university policies for student life.

The policy also describes prevention, risk assessment, and response practices implemented, such as establishment of a Campus and Workplace Violence Prevention Committee, and a Threat Assessment Team, and appropriate procedures for incident reporting.

2.19.5 Health and Safety
Policy 1005, “Health and Safety Policy,” describes the university’s commitment to a healthy and safe campus and documents roles and responsibilities to help prevent accidents, illnesses and injuries; increase safety awareness; meet requirements of environmental, occupational health, and safety laws and regulations; reduce institutional liability; and establish safety responsibilities for members of the university community and visitors to university-owned or occupied property.

2.19.6 Safe Academic and Work Environment
The university is committed to ensuring the safety and security of employees, students, visitors, and volunteers. Employees are responsible for compliance with environmental, health and safety laws and regulations and should make every effort to maintain a safe and healthy working environment. In the interest of promoting a safe and secure working, learning, and living environment for employees, students, and visitors, the university developed Policy 5615, “University Safety and Security.” As part of this policy, the university established an incident response team, the University Safety and Security Committee, to provide general oversight and leadership for the university’s security, safety, and violence prevention efforts, designated the Incident Leadership Team, to provide general oversight and leadership for the university’s security, safety, and violence prevention efforts, designated the University Safety and Security Committee as an advisory group on safety and security practices and concerns, and lists responsibilities for department head, chair, or school director, and individuals in supervisory roles.
2.19.7 Policy on Misconduct in Research

The university endorses high ethical standards in conducting research to ensure public trust in the integrity of research results. The university recognizes that deception in research erodes the credibility of an institution and the confidence of those who might benefit from the research. The university takes all reasonable and practical steps to foster a research environment that promotes the responsible conduct of research and research training (and activities related to that research or research training), discourages research misconduct, and deals promptly with allegations or evidence of possible research misconduct. The Research Integrity Office offers additional information. Chapter 10 of this handbook includes additional information and procedures regarding misconduct in research.

2.19.8 Statement of Principles of Ethical Behavior

The faculty of Virginia Tech believe that academic freedom is essential to attain our missions as scholars and teachers. We also recognize and accept the responsibilities attendant to academic freedom as fundamental to a scholarly community. We believe we must exercise our rights with due regard to the rights of others and we must meet our obligations fully as faculty members. We hold ourselves accountable to ensure that the faculty of Virginia Tech is recognized for its commitment and leadership to pursue knowledge, to promote the free expression of ideas, to teach our students, and to serve the citizens of Virginia.

Scholarship: Guided by a deep conviction of the worth and dignity of the advancement of knowledge, we recognize our primary responsibility to our disciplines is to seek and to state the truth. To this end, we devote our energies to developing and improving our scholarly competence. We accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. We practice intellectual honesty and do not compromise our freedom of inquiry. At Virginia Tech, self-plagiarism is considered unethical behavior. Self-plagiarism occurs when authors reuse substantial parts of their own published work as new without providing appropriate references to the previous work if this reuse deviates materially from standard practice in the field.

Students: We encourage the free pursuit of learning in our students and exemplify the best scholarly and ethical standards of our disciplines. We value and promote differences among students and respect students as individuals and serve as their intellectual guides and counselors. We make every reasonable effort to foster honest academic conduct and to assure that our evaluations of students reflect each student's true merit. We respect the confidential nature of the relationship between professors and students. We avoid any exploitation, harassment, or discriminatory treatment of students and acknowledge significant academic or scholarly assistance from students. We do not engage in any romantic or sexual relationships with students whom we are in a position to evaluate by virtue of our teaching, research, or administrative responsibilities.
**Instruction:** We strive to be fair, compassionate, and effective teachers. We prepare classes adequately, present materials fairly, and make ourselves available to students for consultation and advice. We avoid bias and we respect diverse points of view.

**Colleagues:** We accept our obligations that derive from common membership in the faculty of Virginia Tech. We relate to colleagues and other university personnel in a responsible, professional, and civil manner, avoiding behaviors and actions that purposefully, consistently, and unnecessarily tend to disrupt, impede, harass, or abuse them in the performance of their assigned tasks and professional duties. We do not discriminate against colleagues, nor do we engage in romantic or sexual relationships with employees whom we are in a position to supervise or evaluate. We respect and defend free inquiry by all. In the exchange of criticisms and ideas, we show respect for the opinions of others, acknowledge significant academic or scholarly assistance, and strive to be open-minded and fair in our professional judgments. We accept our share of faculty responsibilities for the governance of Virginia Tech and take due care in the discharge of those responsibilities.

**University:** We seek above all to be effective in our assigned responsibilities. We give paramount importance to these responsibilities in determining the amount and character of work done outside of Virginia Tech. Although we observe the Faculty Handbook, we maintain our right to criticize and seek revision of university policy.

**Community:** As members of the larger community, we have the same rights and obligations as other citizens. We measure the importance of these rights and obligations in light of our responsibilities to our disciplines, to our professions, to our students, and to Virginia Tech. When we speak or act as private persons, we avoid creating the impression of speaking or acting for Virginia Tech. As citizens engaged in a profession that depends upon freedom for its welfare and integrity, we have a particular obligation to promote conditions of free inquiry and of further public understanding of academic freedom.

### 2.20 Allegations of Unprofessional or Unethical Conduct

The Faculty Senate Committee on Ethics receives, investigates, and considers allegations of unprofessional or unethical conduct for all types of faculty members, except administrative and professional faculty members. If the committee finds a serious breach of ethical conduct that leads to a recommendation for a severe sanction or dismissal for cause, the procedures for “Imposition of a Severe Sanction or Dismissal for Cause,” are followed in implementing such sanctions as described in chapter three of this handbook.

When the allegation is against an administrative or professional (A/P) faculty member without tenure or continued appointment, a special panel of five administrative and/or professional faculty members is selected to review the charges and hear the case, if appropriate. The chair of the Commission on Administrative and Professional Faculty Affairs (CAPFA) chooses panel members from among the A/P faculty at large. The CAPFA chair may invite an experienced member of the
Faculty Senate Committee on Ethics to serve as a non-voting member of the panel. All potential members must disclose possible conflicts of interest concerning their participation in the case.

### 2.21 Faculty Senate Standing Committees on Ethics, Reconciliation, and Review

External Faculty Senate Standing Committees serve the needs of the faculty as a whole, report to the vice president of the senate and are summarized in the Faculty Senate Constitution. See [Faculty Senate website](#) for information.

#### 2.21.1 Faculty Senate Committee on Ethics

The [Committee on Faculty Ethics](#) receives and considers charges of violations of faculty ethics that involve the abuse of professional responsibilities as outlined in the principles of ethical behavior as prescribed in the Faculty Handbook. It is the venue for the examination of possible violations of the standards for research, teaching, and appropriate behavior with colleagues and students that do not cross legal thresholds, such as behavior that is offensive but does not meet the standard for discrimination/harassment. The committee has an investigatory and reporting role.

#### 2.21.2 Faculty Senate Committee on Reconciliation

The [Committee on Reconciliation](#) offers advice and counsel to faculty members who seek it, particularly in relation to disputes with immediate supervisors or university administrators. The committee has a designated role within the grievance process to assist in resolving disputes that are eligible for consideration as a grievance if so requested by the faculty member, and can help facilitate conversations between faculty members and their supervisors with the goal of reaching mutually agreeable solutions. Faculty members may also consult the committee regarding serious disagreements with immediate supervisors or other university administrators over issues that are not eligible for consideration within the grievance process. In contrast to the Faculty Review Committee, the Committee on Reconciliation operates informally as a facilitator, similar to the University Ombuds Office. It meets with the respective parties to determine if there is common ground for resolution of the matter, facilitating a solution that is agreeable to the principal parties and consistent with university policy and practice.

#### 2.21.3 Faculty Senate Review Committee

The [Faculty Review Committee](#) oversees the movement of grievances through the grievance process as prescribed in the Faculty Handbook’s grievance process, provides faculty review of faculty grievances that are not resolved at the college level, and considers appeals in the promotion and tenure or continued appointment process when the provost does not concur with a positive recommendation from the University Committee on Promotion and Tenure or the University Committee on Promotion and Continued Appointment. The committee has an investigatory and reporting role.
2.22 Consulting Activities

Consult the Conflicts of Interest and Commitment website for information. The university recognizes that consulting work for external entities enhances the professional development of faculty members and provides channels for communication and outreach not otherwise available.

This policy differentiates between external consulting and professional service activities as follows:

External consulting is a professional activity related to an individual’s area of expertise, where that individual generally receives compensation from a third party and is not acting as an agent of the university. Consulting may take many forms, but the guiding principle is that, in consulting, a person agrees to use their professional capabilities to further the agenda of a third party in return for an immediate or prospective gain. Even in cases without compensation, advance approval is required to document the proposed external activities and to ensure they do not constitute a conflict of commitment, or a conflict of interest where gifts of equipment or donations to the faculty member’s laboratory may substitute for direct compensation. Provisions of the consulting policy also apply to external activities where the faculty member has a direct relationship to the external entity, such as personal or family ownership of the company. Consulting does not involve becoming an employee of the external entity.

Professional service includes service on national commissions, on boards of governmental agencies, on granting agency peer review panels, on visiting committees or advisory groups to other universities, on professional associations, and on analogous bodies. Professional service activities may involve a token honorarium and/or expense reimbursement. These activities are considered part of the faculty member’s institutional responsibilities for participation in the larger scholarly academic community. Participation in external professional service activities may require supervisor approval depending on departmental practice and expectations of the position. Annual leave is not required.

Consulting arrangements may be entered into by faculty members during periods of university employment provided that such advice is not part of their usual responsibility to the university and is not usually provided through Virginia Cooperative Extension, outreach programs, or other component of the university; the work undertaken contributes to their professional development; the work can be accomplished without interference with their assigned duties and does not ordinarily involve more than one day per week and does not exceed five days in any five-week period; university resources and facilities are not involved (except as described in Policy 5000, “University Facilities Usage and Events,” and in chapter two, “Use of University Facilities”).

All consulting activities, including those that do not exceed five days in any five-week period, must be documented and approved in writing in advance of the consulting activities. Approval is granted by the department head, chair, school director, or supervisor, and the dean, vice president, or senior management area as appropriate.
Faculty members must disclose and receive approval for all consulting activities including activities that occur within the one-day per week through five-days per five-week period. Department head, chair, school director, or supervisor approval is documented using the Disclosure and Management System on the website of the Office of the Vice President for Research and Innovation.

Faculty members whose appointments are funded in whole or in part by sponsored projects may participate in consulting when consistent with their responsibilities and in compliance with federal contract compliance and state regulations. University time available for consulting is in proportion to base salary funding from non-sponsored sources. With supervisor approval, additional consulting days may be charged to annual leave.

Consulting work should involve advisory services based on a faculty member's store of knowledge and experience in contrast to programs of research, development, or testing, which may interfere with the performance of the faculty member's duties or conflict with university interests.

In any faculty consulting arrangement, the name of the university must not be used in connection with any product or service developed as a result of such consulting nor in any connection arising out of the arrangement.

Paid consulting by faculty members is not permitted for work done for a group within the university. For example, if a faculty member advises or assists the principal investigator on a grant, there shall be no pay for the services. Such consulting is considered part of the usual duties of faculty members. Faculty members may be paid for participation in non-credit instruction or professional development offered through appropriate university units, in accordance with overload payment policies in the Faculty Handbook.

When a faculty member testifies as an expert witness, the following conditions apply: a disclaimer is given in court indicating that the faculty member is speaking as a professional and not as a representative of the university; when a faculty member is under subpoena, the university civil leave policies apply; and a faculty member may not testify in civil suits involving the Commonwealth of Virginia, except under subpoena.

Consult Policy 5000, “University Facilities Usage and Event Approval” for information. Except under the provisions specified in that policy, faculty members are not allowed to use university resources in conjunction with consulting or otherwise for private gain. This includes the parallel use of university facilities associated with consulting activities, i.e., when a faculty member is engaged in authorized consulting activities, the consulting employer may not enter into an agreement to use university resources for any purpose related to the consulting activity. Instead, when significant resources of the university are required, the employer may request that an agreement, grant, or contract be drawn up with the university that provides the necessary services, including Human Resources. The faculty member carries out the duties of the agreement as part of their assigned university duties. Because University Libraries facilities are
made available to the public, their use in consulting is not regarded as being in contravention of this policy.

Because of the university’s land-grant mission, it may be in the best interest of the university to impose some additional restrictions on the consulting activity of the faculty of one or more of the colleges. Therefore, an academic dean, after consulting with their faculty, may recommend to the provost that the faculty of that college need to satisfy additional requirements for consulting approval. The provost, after consulting with the Commission on Faculty Affairs, and with the approval of the president and the Board of Visitors, may require that the faculty of the affected college satisfy such additional requirements.

Oversight of faculty consulting is a responsibility of the department head, chair, school director, or supervisor and other relevant administrative officers of the university so that a reasonable and appropriate level of external activities is maintained, by the faculty member and usual duties are not neglected.

A consulting request must be approved by the department head, chair, school director, or supervisor and dean and submitted through the Disclosure and Management System available on the website maintained by the Office of Research and Innovation.

Approval of consulting or other external activities for faculty members holding nine-month appointments is not necessary during the summer unless there is concern about conflict of interest, or the university employs the faculty member during the consulting period. When the university employs the faculty member in the summer months, university and college consulting policies apply.

Setting the consulting fee is the prerogative of the faculty member. The actual or estimated consulting income is reported on the request form to allow reviewers a full assessment of potential financial conflict of interest. Income received for consulting work is not considered when faculty members are evaluated for annual merit salary increases.

2.22.1 Consulting Activities for Virginia Cooperative Extension Faculty
Consistent with the university’s policy and procedures on consulting activities, additional restrictions may be imposed on the consulting activity of Virginia Cooperative Extension faculty members. These restrictions are imposed to give further assurance that consulting approval is not granted for assistance, that is the usual responsibility of faculty members within Extension. Information on consulting activities for Extension faculty is in chapter 14 of this handbook.

2.23 Virginia Tech Continuing and Professional Education Technical Assistance Program (TAP)
Contact Continuing and Professional Education, Technical Assistance Program (TAP) for information. Consulting agreements may be negotiated by the individual faculty member and the sponsoring organization, not involving university participation in any way, or they may be negotiated as part of a technical assistance agreement through the university. The technical
assistance program was created as part of the university’s outreach mission to respond to requests from business and industry for the application of knowledge to a specific process-related or technical situation.

Proposals for technical assistance are small scale (generally less than $25,000), short-term, require a rapid response, and do not involve the generation of new knowledge or the development of intellectual property. (Projects involving the generation of knowledge and/or faculty buyouts must be handled as sponsored projects.) Continuing and Professional Education negotiates and administers contracts for technical assistance.

Technical assistance contracts typically identify the faculty member who will provide the needed expertise, the amount of time to be devoted to the project, the scope and estimated cost of the work, timelines for the consulting or project, and any required deliverables.

Payment to the faculty member for such consulting is negotiable and provided through university payroll. Faculty earnings for technical assistance agreements must be within the overall limitation of 33\(\frac{1}{3}\)\% percent of annual income during the academic year for nine-month faculty members; summer earnings from all university sources are also capped at an additional 33\(\frac{1}{3}\)\% percent for academic year faculty members. Faculty members on calendar year appointments may earn 33\(\frac{1}{3}\)\% percent of annual income during the fiscal year. The earnings limitation is for payments from all university sources, including approved non-credit Continuing and Professional Education activities. Similarly, total time involved in technical assistance, other approved consulting, and non-credit teaching must be within the constraints of this policy.

For further information on technical assistance agreements, contact Continuing and Professional Education. A technical assistance agreement, completed and approved by the department head, chair, or school director, or supervisor and dean, substitutes for approval of a Request to Engage in External Activity Form 13010 usually required for approval of consulting.

### 2.24 Outside Employment and External Activities Other Than Consulting

Prior approval of the supervisor and relevant university official is required for outside employment that does not meet the definition or intent of the consulting policy. Approval is contingent on assurance that the primary commitment to Virginia Tech will be fulfilled and that the proposed employment does not constitute a conflict of interest. Release time from university work is not usually available for paid activities that are primarily personal in nature, do not enhance the faculty member’s professional skills, or that are not a potential benefit to the university. The faculty member must use pre-approved leave, or leave without pay, in cases where outside personal work creates a potential conflict with university responsibilities.

### 2.25 Political Activities

Candidacy for political office, political service on county and state commissions, and active participation in political campaigns are recognized as individual freedoms of each faculty member.
The only restriction placed upon such activities is that they do not interfere with the faculty member's academic responsibilities. Faculty members must take care to ensure that their positions in the university are kept separate from their political activities; it must be clear that they act as citizens in such activities, not as representatives of the university. The university encourages interest in civic affairs. However, neither political nor community activities are considered in the annual merit evaluation of a faculty member. If income is obtained for such activities, approval must be first obtained under consulting policies.

### 2.26 Conflicts of Commitment

A conflict of commitment arises when the external activities of a faculty member are so demanding of time, attention, or focus that they interfere with the individual's responsibilities to the university.

Nothing in this policy statement shall be interpreted as interfering with the academic freedom of faculty members, nor with their primary responsibility to direct their own research.

Faculty members have traditionally been allowed wide latitude in defining their professional agendas and their degree of involvement in external activities when those activities advance the mission or prestige of the university. The university encourages active participation by faculty members in external activities that are integral to and/or enhance their professional skills and standing or that constitute substantive outreach and public service activities.

Such activities are usually expected of faculty members to promote academic development, and to enrich their contributions to the institution, their profession, the state, and national and world societies. Additionally, Virginia Tech encourages entrepreneurial activities by faculty, recognizing that such activities are critical to promoting economic development and meeting society’s needs, if participation in those activities complies with federal and state laws and policies, the Virginia Tech conflicts of interest policy, and these guidelines.

Faculty members should make the fulfillment of their responsibilities to the university the focal point of their professional effort. They are expected to arrange their external activities so that they do not impede or compromise their university duties and responsibilities. Responsibility for ensuring commitment to the university and for reporting activities that might be perceived as compromising that commitment rests with each faculty member in consultation with the department head, chair school director, or supervisor and dean, or relevant senior manager.

The university recognizes that the balance of external activities varies among individuals, from discipline to discipline, and from one type of proposed activity to another. That balance is affected by unit goals and changing needs for teaching, research, creative and artistic activities, Extension, service, and outreach. Primary duties and responsibilities may vary from year to year for individual faculty members. Undergraduate and graduate enrollment demands, faculty-staffing levels, and changes in the nature and scope of outreach, teaching, and research within the unit may affect the primary duties and responsibilities of individual faculty. The primary judgment as to whether a faculty member is meeting professional responsibilities to the unit rests with the department head, chair, school director, or supervisor and dean, or relevant senior manager.
If a faculty member is committed to engaging in an external activity that compromises their ability to meet university responsibilities, a leave of absence or a reduction in their percentage of employment may be appropriate or necessary. Approval of a leave request or change in appointment depends on the needs of the unit and college and protection of university interests.

If a department head, chair, school director and/or dean, observes that a faculty member appears to not be fulfilling their primary responsibilities to the university, the administrator shall immediately address these concerns with the faculty member to ensure that these responsibilities are adequately met. Failure to meet primary departmental and university obligations is handled through established university procedures appropriate to the situation (for example, formal reprimand, non-reappointment, post-tenure review, or dismissal for cause).

2.27 Conflicts of Interest
Consult Policy 13010, “Conflict of Interest” for information. A conflict of interest describes a situation in which an individual’s professional judgment is at risk of being biased by a secondary interest, resulting in possible harm or the implication of personal gain. Having a COI does not mean the person is biased or has done something wrong – the term refers to the risk of bias, whether or not bias or harm have actually occurred. A COI assessment is a factual evaluation based on the existence of certain parameters that could lead to biased judgement or inappropriate personal gain in university operations such as research, contracting, or purchasing. State law and federal research regulations allow for certain conflicts of interest when specified conditions are met, as outlined in this policy.

Virginia Tech recognizes the value and necessity of engaging with external entities to translate research into beneficial products. Transparency and appropriate oversight of relationships with external entities promotes and safeguards the interests and reputation of Virginia Tech and its employees. Transparency and appropriate oversight also assure research sponsors, participants, and the broader public that possible personal gain has not influenced or biased research or decision-making around other university activities.

Policy 13010 “Conflict of Interest” summarizes professional conduct standards that relate to objectivity and provides the basic framework for disclosing financial interests to ensure university-wide compliance with COI directives. It also establishes standards that provide a reasonable expectation that the design, conduct, and reporting of research will be free from bias resulting from an Investigator’s financial conflict of interest (FCOI).

Because financial interests might stem from an additional commitment other than one’s Virginia Tech employment, this policy must be read in conjunction with section 2.22 Consulting Activities, and section 2.24 Outside Employment and External Activities Other than Consulting, and Policy 4070, Additional/Outside Employment Policy for Salaried Classified and University Staff.”

Policy 13010 Conflicts of Interest primarily focuses on the disclosure of financial interests, conflicts of interest can be present in many aspects of university business; therefore, this policy should be read in conjunction with other relevant policies related to professional conduct.
standards and objectivity, including the university's Statement of Business Conduct Standards. All employees must acknowledge receipt and agree to adhere to the standards in accordance with established university policies and procedures. See the Conflicts of Interest and Commitment website maintained by the Research Conflict of Interest Program for a list of other Virginia Tech policies that touch on conflicts of interest more broadly.

2.27.1 Conflicts of Interest Involving Spouses, Immediate Family Members

As a matter of state law, employees must avoid being in a position of authority over a spouse or a member of the immediate family who is also employed by the university where the spouse or family member earns $5,000 or more during a fiscal year. An employee and their spouse or another member of the immediate family may both be employed by the university so long as the employee does not exercise any control over the employment conditions and activities (such as initial appointment, retention, promotion, tenure, salary, travel approval, leave of absence, or grievance review) of the spouse or immediate family member and is not in a position to influence those activities. Proposed exceptions and alternate reporting relationships are reviewed and approved by the executive vice president and provost (or relevant vice president for a non-academic appointment) prior to submission to the Board of Visitors for approval.

2.27.2 Participation of and Payment to Students

Policy 13010 outlines Financial Conflict of Interest Management to Promote Objectivity in Research. The management plan is designed to mitigate the conflict, promote research objectivity, and provide academic and professional protection for graduate and professional students, and postdoctoral scholars respectively (see section 3.2.2.2 of Policy 13010).

The participation of students in projects involving faculty-owners should be given particularly careful consideration. Work for faculty-owned companies or in faculty consulting provides valuable experience for undergraduate and graduate students. Nevertheless, such opportunities come with some risk that the student may be diverted from their educational goals or the perception that students are being used primarily for the benefit of those companies. For example, a faculty member who pressures a student to complete work related to the faculty member’s company could easily affect the student’s completion of graduate studies in a timely and appropriate way, thereby putting the faculty member’s interest in obtaining proprietary results ahead of the student’s academic or scholarly research activities. The concern is similar for the involvement of students in faculty consulting or other external activities. The risks and benefits of such involvement must be carefully weighed by departmental administrators responsible for evaluating the disclosure and approving the request, particularly where the involvement may be longer term and/or more time-consuming.

Where approved, students may be paid for involvement in faculty-owner activities in either of two ways. Remuneration may be in the form of an assistantship and tuition, or wages funded by a sponsored project contracted to the university from the business or organization with which the faculty-owner is associated. The assistantship or wages are remuneration for work only within the
agreed scope of that funded project and for no other tasks undertaken for the benefit of the 
external organization. This is no different from any other sponsored project that involves graduate 
research assistants or wage-earning students. In these circumstances, assistantships are 
constrained to payments within the scales published by the university. Alternatively, the company 
or agency might engage students directly as employees. This is the situation experienced by most 
off-campus and part-time graduate students. However, it is envisaged that in the case of faculty- 
owned businesses, students will spend time in university facilities when not engaged in direct 
work for the company at the company site or in an off-campus location. (Students may not do 
work on behalf of the company in university facilities.) Remuneration is not limited to university 
scales when students are employed directly by the company and may include the cost of tuition. 

Students who will be employed by either of the two methods of payment and have their research 
supervised by the faculty-owner must sign an agreement acknowledging that they have been 
informed by their graduate program director or department head, chair, or school director, or 
supervisor, and associate dean about the source of their funding, the potential concerns 
associated with conflict of interest, and their channels for redress if needed. 

Any work done on behalf of the faculty-owner’s company in university facilities must be done in 
accordance with sponsored program guidelines and/or Policy 5000 “University Facilities Usage 
and Events Approval.”

2.27.3 Disclosure Requirements for All Employees

As outlined in Policy 13010 employees must disclose to Virginia Tech when they or an immediate 
family member have a financial interest in a contract, a transaction, such as a purchase, or 
sponsored project to which Virginia Tech is a party prior to the time at which the contract is entered 
into. This is an employee-initiated disclosure.

Disclosure to the Commonwealth of Virginia is required by Virginia Tech for certain employees or 
when they have an approved exception for a financial interest in a business that is a party to a 
contract/transaction with Virginia Tech. See section 2.27.3.3.

2.27.3.1 Disclosure Requirements for Research Investigators

Investigators on sponsored research projects must disclose financial interests at the time of 
proposal submission and throughout the life of the award, as outlined in Policy 13010 for the 
university, through its designated institutional official, to identify and manage financial conflicts of 
interest to promote objectivity in research. The director of the Research Conflict of Interest 
Program (or designee) is the designated institutional official responsible for making financial 
conflicts of interest determinations.

Section 3.2.2.2 of Policy 13010 outlines Financial Conflict of Interest (FCOI) Management to 
Promote Objectivity in Research. If the designated institutional official determines that an FCOI 
exists, they will develop a plan for managing the FCOI that must be adopted prior to the start of 
the research. If an FCOI is determined to exist when the research is ongoing, sponsored project
funding might be frozen until a management plan is accepted by the Investigator. The designated institutional official will develop the management plan based on state and federal requirements and input from the MPAC, the Investigator with an FCOI, and other relevant stakeholders, as needed. The management plan is designed to mitigate the conflict, promote research objectivity, and provide academic and professional protection of graduate students and postdoctoral scholars, respectively. Mitigations will be based on a risk assessment of the COI scenario.

### 2.27.3.2 Training on Disclosures for Research Investigators

Investigators must complete research COI training before engaging in sponsored research, at least every four years. Although the four-year training requirement is Public Health Service (PHS)-specific, Virginia Tech applies the same disclosure and management principles to all Investigators engaged in sponsored research, regardless of sponsor; therefore, the training requirement applies to all Investigators on sponsored research projects. Investigators will be notified when their training requirement is due.

### 2.27.3.3 Disclosure Requirements to the Commonwealth of Virginia

**Chapter 31 of Title 2.2 of the Code of Virginia** outlines the Commonwealth’s State and Local Government Conflict of Interests Act (the Act). Disclosure to the Commonwealth is required by Virginia Tech employees when they 1) are designated by Human Resources as being in a position of trust, or 2) have an approved exception for a financial interest in a business that is party to a contract/transaction with Virginia Tech. Disclosure is required annually on the form prescribed by the Virginia Conflict of Interest and Ethics Advisory Council. See [Policy 13010](#) and the Act for additional information.

### 2.27.3.4 Training on Disclosures to the Commonwealth for Certain Employees

**Chapter 31 of Title 2.2 of the Code of Virginia** outlines the Commonwealth’s State and Local Government Conflict of Interests Act (the Act) requires that certain Virginia Tech employees must take training and disclose financial interests to the Commonwealth of Virginia that they or an immediate family member hold. Training for Statement of Economic Interests (SOEI) filers is provided by the Virginia Conflict of Interest and Ethics Advisory Council and is required initially and every two years. Note that this requirement is in addition to the Virginia Tech-specific COI training required for Investigators on sponsored research projects. SOEI filers must continue to disclose financial interests to Virginia Tech and take research COI training, as needed.

### 2.28 Workplace Policies

The following are summaries of selected, frequently referenced university policies and procedures pertaining to faculty. These summaries are intended to notify the reader of the existence of a formal policy and where to locate more information. The university policy library is the official repository of university policies.
2.28.1 Indemnity
All university employees, while acting within the course and scope of their employment, are covered by the commonwealth’s insurance plan, and will be defended by the Office of the Attorney General in actions brought against them. Questions concerning any specific situation should be addressed to the Office of the University Legal Counsel.

2.28.2 Standards for Acceptable Use of Information Systems and Digital Media Communications Tools
Consult Policy 7000, “Acceptable Use and Administration of Computer and Communication Systems” governs acceptable use of information systems at Virginia Tech. University employees may not use university systems for partisan political purposes including the use of electronic mail to circulate advertising for political candidates.

Access to computer systems and networks owned or operated by Virginia Tech imposes certain responsibilities and obligations and is granted subject to university policies, and local, state, and federal laws. Acceptable use is always ethical, reflects academic honesty, and shows restraint in the consumption of shared resources. It demonstrates respect for intellectual property, ownership of data, system security mechanisms, and individuals’ rights to privacy and to freedom from intimidation, harassment, and unwarranted annoyance.

Policy 7000 applies to the use of any computing or communications device, regardless of ownership, while connected to the university network, and the use of any information technology services provided by or through the university. Every user of these systems and services is expected to know and follow this policy. Refer to Acceptable Use of Information Systems at Virginia Tech that details what are acceptable and not acceptable use of university resources. In making acceptable use of resources, you must NOT, if you are an employee, use University systems for partisan political purposes, such as using electronic mail to circulate advertising for political candidates."

University entities or individuals may, as needed, use digital communication tools to communicate with groups of university constituents on matters of official university business that require immediate notification or that are of a sufficient level of importance to warrant special attention. Any such group communications to employees, students, or others must be compliant with all regulations and university policies and should be limited to those matters that affect the majority of the defined group. Text messaging may be used but must not be the sole means of communicating an essential message or announcement. The text message must be supplemented by some other means of communication, e.g. an email or paper notice to ensure that all intended recipients, including those without a mobile phone, receive the message.

2.28.3 Privacy of Electronic Communications
Department of Human Resource Management Policy 1.75 of the Commonwealth of Virginia states, “no user shall have any expectation of privacy in any message, file, image or data created, sent, retrieved, received, or posted in the use of the commonwealth’s equipment and/or access.”
Policy 7035, “Privacy Policy for Employees’ Electronic Communications,” defines the balance between the university’s business needs and respect for employees’ freedom of inquiry. The policy guides the actions of managers in certain situations and clarifies expectations for all employees about when and how the university may access employees’ communications.

Virginia Tech requires all employees to obey applicable policies and laws in the use of any computing device, regardless of ownership, while connected to the university network. (See Policy 7010, "Policy for Securing Technology Resources and Services."

The university does not routinely monitor or access the content of electronic communications, computer files, or voicemail of its employees, whether stored on university equipment or in transit on the university network. Content of employees’ electronic communications or files are not accessed during the execution of routine systems support, network performance, and related security functions.

However, monitoring or access may be necessary under certain circumstances. Legal or administrative circumstances where monitoring and/or access may occur without further authorization are communications or files required to be released by law, by orders of a court, or requested in accordance with the Virginia Freedom of Information Act; approved internal audit reviews; resolution of technical problems, emergency situations involving an imminent threat of irreparable harm to persons or property; and resources assigned to a group or publicly available to any user.

2.28.4 Social Media

Virginia Tech recognizes the value of social media platforms for a range of goals and must balance its support of social media with the preservation of Virginia Tech’s brand identity, integrity, and reputation. The university authorizes the creation and use of university social media accounts, provided their use is professional, protects the reputation and brand of the university, aligns with university priorities, and complies with other Virginia Tech policies and applicable state and federal laws and regulations, and is guided by the Virginia Tech Principles of Community. Policy 1030, “Social Media Policy”, outlines the obligations, processes, and procedures for the use of social media.

2.28.5 Crowdfunding

Generally, crowdfunding is the practice of funding a project or campaign by soliciting relatively small donations of money from a large number of people, typically via the Internet. The university’s crowdfunding website provides crowdfunding guidelines, including the application process, best practices, and team roles and responsibilities. Policy 12100, “Policy on Coordination of Private Fundraising” provides guidance on using crowdfunding.

2.28.6 Stewardship of Resources and Internal Controls

It is the university’s policy to maintain a robust system of internal controls in order to safeguard assets, identify and correct errors and irregularities in the financial records on a timely basis, and
to enhance compliance with university policies and procedures and applicable laws and regulations. The establishment, maintenance, and evaluation of an organization's system of internal controls is the responsibility of management and creates the foundation for sound business practices within an ethical environment. It is also university policy to assess the effectiveness of the system of internal controls through periodic reviews by management and the services of external and internal auditors.

Policy 3010, “Internal Controls” applies to all university faculty, staff, and wage employees, hereafter referred to as “employees.” All university employees play a key role in ensuring that the high standards of business and ethical practices and the good stewardship of university resources are adopted in the performance of their duties at Virginia Tech. The establishment of strong internal controls echoes the principles of professional and personal integrity found in the university’s Statement of Business Conduct Standards which requires all employees to be fair, ethical, and honest in all internal and external business dealings and to comply with university policies and procedures and applicable laws and regulations.

2.28.7 Use of University Facilities
Consult Policy 5000 “University Facilities Usage and Events Approval” and Policy 6362 “Policy on Continuing and Professional Education.”

The facilities of the university are intended for the use of its faculty, staff, students, and invited guests participating in university-approved programs and activities, sponsored by or under the direction of the university or one of its related agencies or approved organizations, or by other organizations outside the university. Refer to Policy 5000, “University Facilities Usage and Events Approval”, for further guidance regarding approved uses of university facilities. Policy 6362, “Policy on Continuing and Professional Education”, requires that academic colleges, centers, and administrative units designing and delivering continuing and professional educational activities, both on- and off-campus, under the auspices of the Virginia Tech brand must work through Continuing and Professional Education. This includes work conducted by faculty in Blacksburg, as well as faculty delivering continuing education programs at university locations outside Blacksburg. Alternate arrangements may be made in the case of lack of availability of appropriate space or mutual agreement between the sponsoring university entity and Continuing and Professional Education.

University facilities are to be used in a manner consistent with their intended purpose. Priority of use is given to those activities related to the mission of the university. The facilities must be used in a safe, professional manner so as not to endanger the university community or the general public. The university may restrict access to land and buildings to protect individuals, property, and equipment.

The vice president for campus planning, infrastructure, and facilities is responsible for implementing policies and procedures about university facilities, including academic buildings.
Requests for use of rooms in The Inn at Virginia Tech and Skelton Conference Center are submitted to The Inn’s space reservationist. Requests for use of the residence halls follow procedures outlined in Policy 5010 “Residential Camps, Conferences, and Workshops.”

Faculty and staff are not allowed to use university resources for private gain. However, under the following conditions, the compensated use of specialized facilities or equipment is allowed in support of approved consulting activities:

The facility or equipment must have a charge rate, established by the Controller’s Office, which reflects all direct and indirect costs associated with the use of the facility or equipment and applies to use by parties outside the university. The charge rate is applied to the actual use.

A Request to Engage in Outside Activities must be filed with the Online Disclosure and Management System specifying the facility or equipment to be used and estimating, in time or charges, the extent of the proposed use. The director, department head, chair, school director, or supervisor of the department responsible for the facility or equipment verifies, on the Request to Engage in External Activity Form 13010A, that the proposed use does not interfere with, or have priority over, anticipated university use of the facility or equipment.

In approving the Request to Engage in Outside Activities, the faculty member’s department head, chair, school director, or supervisor and dean or vice president (and provost, when appropriate) determine that the consultation is of substantial professional merit and presents no conflict of interest in the use of the facilities or equipment. Particular care is given to the relationship of the consultation with current or potential grants or contracts and to the possibility of unfair competition with local firms and businesses.

If an employee uses equipment of a specialized service center, the employee is charged the “commercial” or “consulting” rate, as determined by the Controller’s Office. The employee is billed based on actual use. The deposit is credited to the appropriate service center account established by the Controller’s Office.

If the faculty member uses facilities such as those of the Virginia Tech athletic department, Moss Arts Center, or Student Engagement and Campus Life venues, the employee is charged at a rate established by the Controller’s Office for such use. The deposit is made to the appropriate venue account.

For facilities other than specialized service centers, or other facilities for which a charge rate has been determined, the use of the facilities must be authorized and reimbursed at a rate determined by the collaboration of the employee’s department head, chair, school director, or supervisor and the Controller’s Office.

The use of University Libraries facilities in connection with consulting is exempt from the above regulations since those facilities are available to the public.
2.28.7.1 University Space Management

Policy 5400, “University Space Management”, which describes the formal decision-making and allocation approach to university space management, including all space and land owned or leased by the university. Through this formalized process, the university has the authority and responsibility to allocate space to specific users through organizational hierarchies for certain periods of time, to review those allocations periodically, to assess their utilization, and to reallocate as needed to support the university’s strategic goals. The policy provides principles that govern the distribution of classroom and lab space scheduling and applicable roles and responsibilities.

2.28.8 Operation of Autonomous Aircraft

Proper operation of unmanned aircraft systems (UAS) on campus and procedures for reporting any incidents is regulated in Policy 5820, “Operation of Unmanned Aircraft Systems (UAS)”. The Policy governs (i) the operation of UAS on or over University Facilities, which include the university campus and property owned, rented, leased, and controlled by the university, (ii) the operation of university-owned UAS, and (iii) the operation of UAS by university personnel for university.

2.28.9 Domestic and International Travel

Consult the website of the Office of the Controller’s Office for information. The university encourages faculty to pursue endeavors that will enhance their professional development and benefit university programs. For details on travel-related business expenses and travel reporting procedures, refer to Controller’s Office Procedures 20335A: Travel Overview. Consult Policy 1070 “Global Travel Policy”. The university strongly encourages all members of the university community who are contemplating travel abroad for education, research, or other purposes to plan well in advance and to take precautions to ensure a safe trip.

2.28.10 Use of University Letterhead

As a primary identifier of the university, letterhead should only be used for appropriate university business. As such, university letterhead is not to be used for personal business or where personal gain results. Avoid endorsements of political personages, businesses, or products when using university letterhead. Discretion is advised if correspondence on university letterhead could be construed as a university endorsement.
3.0 Employment Policies for Tenure-Track and Tenured Faculty

3.1 Faculty Ranks

3.1.1 Assistant Professor
An assistant professor is assigned teaching undergraduate courses and may be assigned responsibility for teaching graduate courses, supervising master's theses, and dissertations, and may serve on graduate student committees. The terminal degree appropriate to the field is expected for appointment to this rank.

3.1.2 Associate Professor
In addition to the requirements for assistant professor, a person appointed as an associate professor must have demonstrated substantial professional achievements evidenced by an appropriate combination of outstanding teaching, creative scholarship, and recognized performance in Extension, outreach, University Libraries, or related academic and professional service.

3.1.3 Professor
In addition to the requirements for associate professor, appointment to the rank of professor is contingent upon national or international recognition as an outstanding scholar and educator.

3.2 Honored Faculty Appointments

3.2.1 Endowed Chairs, Professorships, and Fellowships
Each college has formal procedures for the nomination and appointment of faculty members to endowed chairs, professorships, and fellowships that include review by a college honorifics committee or promotion and tenure committee.

After review by the appropriate college committee, the dean makes recommendations to the provost for approval by the Board of Visitors. Such an appointment may continue through the active career of the professor at the university, unless it is relinquished in favor of some other honored or administrative appointment, or unless the appointment has specific term limitations regrading renewal.

The university Faculty Honorifics Committee reviews nominations of Extension and Libraries faculty to endowed chairs, professorships, and fellowships.

A donor may establish an endowed chair, professorship, or fellowship, by providing an endowment to support the salary and/or operating funds of the professor. Funding levels determine whether
the endowed position is a chair, professorship, or fellowship. Contact the Virginia Tech Foundation for further information regarding the establishment of an endowment.

3.2.2 Alumni Distinguished Professor

General conditions and definitions: The Alumni Distinguished Professorship (ADP) is a preeminent faculty appointment, reserved by the Board of Visitors for recognition of faculty members who demonstrate extraordinary accomplishments and academic citizenship through substantive scholarly contributions across all three of Virginia Tech’s mission areas of teaching, research, creative activity, and engagement. The provost, in consultation with the president and the Alumni Association, determines the number of Alumni Distinguished Professorships. There is no quota by college, department, or school.

Eligibility and criteria for selection: While no minimum number of years of service is required for eligibility, the selection committee places strong emphasis on the magnitude, character, and quality of each nominee’s scholarly accomplishments as they contribute to the global land-grant mission of the university. Nominees must have well-established outstanding records of substantive scholarly accomplishment in teaching, research or creative activities, and engagement at Virginia Tech.

Responsibilities and perquisites: Each Alumni Distinguished Professor shall continue making scholarly contributions in teaching, research, creative activities, and engagement at the same high level evident at the time of appointment. This includes continued contributions to the department or school and college, and may include contributions to other departments, schools, colleges, and units, subject to the professor’s interests and the ability of the department head, chair or school director and college dean to accommodate such latitude.

Alumni Distinguished Professors may also elect, in a given term, to divert energies from their usual activities or responsibilities to other valued scholarly pursuits appropriate to this university-level appointment. Alumni Distinguished Professors embody the university’s land-grant mission in their scholarly work and are crucial faculty ambassadors within and beyond the university community. As such, they may be called upon from time to time, individually, or as a group, to share their scholarship with university alumni or other interested groups, as well as to render special service or to offer advice to the university at large.

Each Alumni Distinguished Professor receives a base salary supplement from the endowment established by the Alumni Association and operating funds for scholarly support.

Given the high level of performance expected of this select group of faculty members, university and college administrators are cognizant of the needs of each individual Alumni Distinguished Professor for appropriate support personnel and sufficient space, within acknowledged fiscal and physical constraints.

Nomination and selection: Each academic year the provost, in consultation with the president and the Alumni Association, determines the process for if there will be one or more appointments.
to the Alumni Distinguished Professor rank and, if so, issues a call to the academic deans for nominations. The deans, in turn, invite nominations from academic departments or schools. In addition, in special circumstances and in consultation with the appropriate dean, the president or the provost may nominate an eligible faculty member for consideration by the Alumni Distinguished Professor selection committee.

Screening procedures at department and college levels involve appropriate personnel or executive committees. Nomination dossiers include a current curriculum vitae, letters of nomination, from both the departmental/school and college screening committees, letters of support, and other evidence attesting to the quality of the nominee’s scholarly contributions.

The provost appoints an Alumni Distinguished Professor selection committee that includes two current Alumni Distinguished Professors, one current University Distinguished Professor, and one faculty member recommended by the Commission on Faculty Affairs. The committee reviews the nominations and makes a recommendation to the provost. The provost’s subsequent recommendation is sent through the president to the executive committee of the Virginia Tech Alumni Association’s Board of Directors for review and recommendation. The president makes the final recommendation to the Board of Visitors for approval.

The Board of Visitors confers upon an individual the rank of Alumni Distinguished Professor for a period of 10 years; the appointment may be renewed.

Renewal of appointments: An Alumni Distinguished Professor may request an appointment renewal at the end of the initial, or any subsequent, 10-year appointment period. A current curriculum vitae and five-page personal statement of accomplishments during the appointment term is requested by the Office of the Executive Vice President and Provost and is reviewed by two current ADPs. The reviewing ADPs each make a recommendation regarding reappointment to the provost, who then forwards a recommendation to the president and Alumni Association for consideration. Final reappointment recommendations are made to the Board of Visitors for its approval. Renewed appointments are also for a period of 10 years.

The president and/or provost establish the guidelines and procedures for the annual review of Alumni Distinguished Professors. They are responsible for the ADP annual evaluations.

3.2.3 University Distinguished Professor

General conditions and definitions: The University Distinguished Professorship (UDP) is a preeminent faculty rank bestowed by the university’s Board of Visitors upon members of the university faculty whose scholarly attainments have attracted national and/or international recognition. There is no quota by college or department.

Nomination and selection: Each academic year the president and provost determine the process for, if there will be one or more appointments to the rank of University Distinguished Professor and, if appropriate, issue a call to the academic deans for nominations. The deans, in turn, invite nominations from academic departments or schools. In addition, in special...
circumstances and in consultation with the appropriate dean, the president or provost may nominate an eligible faculty member for consideration by the University Distinguished Professor selection committee.

Screening procedures at departmental, school, and college levels involve personnel or executive committees in place. Nominations are accompanied by a full dossier of relevant materials including a current curriculum vitae, letters of nomination from both the department or school and college screening committees, and letters of support and other evidence attesting to the scholarly reputation of the nominee(s).

The provost appoints a University Distinguished Professor selection committee that includes one current Alumni Distinguished Professor, two current University Distinguished Professors, and one faculty member recommended by the Commission on Faculty Affairs. The committee reviews the nominations and makes a recommendation to the president. The president makes the final judgment at the university level and, if that judgment so determines, takes the recommendation to the Board of Visitors for approval.

**Responsibilities:** The rank of University Distinguished Professor is conferred by the university and is considered a university appointment (as distinct from a department, school, or college appointment). While the professor is nominated by department, school, and college colleagues, and continues to serve the discipline and department or school of origin, the perquisites and responsibilities of each University Distinguished Professor are fixed by the university.

The president annually adjusts the salary of University Distinguished Professors after consultation with the provost and dean of the relevant college.

The sole responsibility of the University Distinguished Professors is to continue their professional engagement and development at the same high level evident at the time of appointment. They are free to define the exact nature of their work after consultation with the dean of the college and the professor’s head, chair, or school director. They are expected to engage fully with their colleagues in the governance of their departments.

At the same time, they are encouraged to teach, when invited, in other departments or schools of the university or in college or university courses (e.g., honors). They may also elect, in a given term, to devote all of their energies to research, scholarship, or Extension activities. In shaping their plans of work, the University Distinguished Professors take full cognizance of department or school, and college needs and expectations. Their principal responsibility is to serve the university by giving their talents and sharing of their competencies where, in their judgments, they are most effectively employed.

It is the university’s responsibility to provide such support as seems necessary to sustain the high level of performance expected of University Distinguished Professors.
**Term:** Incumbents carry the rank of University Distinguished Professor until resignation or retirement from the university, subject to the usual standard of continuous high performance. The rank is conferred only by the university Board of Visitors and is altered by that body alone, on the recommendation of the president.

### 3.3 Appointments with Tenure

A new faculty appointment with tenure may be made with the review and approval of the department head or chair, school director, the department promotion and tenure committee, a subcommittee of the college promotion and tenure committee appointed by the dean, the dean, a subcommittee of the university promotion and tenure committee, the provost, and the president. Ultimately, final approval rests with the Board of Visitors.

The dean forwards to the provost and president for their consideration and decision: the candidate’s application package, including cover letter, curriculum vitae, and at least two letters of reference which address the appointment of rank and tenure; documentation of the department promotion and tenure committee’s approval of rank and tenure, documentation of the college promotion and tenure subcommittee’s approval of rank and tenure, and concurrence of the department head, chair, or school director and dean with as much supporting evidence as deemed appropriate; and a brief overview of the search itself, for example, how many candidates applied, were interviewed, and the compelling case for the candidate.

With approvals by the department committee and the department head, chair, or school director, and approvals by the college subcommittee and/or dean, the provost will forward the candidate’s package to the university promotion and tenure subcommittee, which will include three faculty members who previously served on the university committee. The provost will invite faculty members who are rotating off the university committee to serve on the subcommittee and will appoint others with prior experience as necessary. The provost will receive the recommendation of the university promotion and tenure subcommittee and will make a recommendation to the president. The president makes the decision to approve and takes the final approval to the Board of Visitors.

In general, faculty recruited from a comparable university should be recommended for a position at Virginia Tech at a similar level with tenure. If the recommended appointment involves a promotion or the initial awarding of tenure, the case must be strongly justified. If an individual comes from a university with a less extensive research mission, the case must also be strongly justified.

#### 3.3.1 Part-time Tenure-Track and Tenured Appointments

While tenure-track and tenured appointments are usually full-time, Virginia Tech recognizes the importance of allowing flexibility in the percent of employment so that faculty members can better manage the balance between their professional work and family or personal obligations over a defined period, or perhaps permanently. This policy is intended to encourage departments and schools to accommodate reasonable requests for part-time appointments; however, part-time
appointments are not an entitlement, and requests may be turned down when the faculty member and the department or school cannot agree upon a workable plan.

When conducting a search for a tenure-track appointment, departments or schools continue to advertise for full-time tenure-track or tenured positions and must have funding for a full-time hire. Advertisements include information about university policies for flexible appointments. If desired, the faculty member requests and negotiates a part-time appointment at or after the point of hire if acceptable to the department or school.

Tenure-track faculty members may request a part-time appointment only for reasons of balancing work and family such as the arrival or care of a child, the care of a family member, or for personal circumstances related to the health of the faculty member. In addition, they may request a term part-time appointment only (with specific starting and ending dates), allowing the issue to be revisited on a defined cycle. While such term appointments can be renewed throughout the probationary period, a permanent part-time appointment may not be granted until tenure is awarded.

If approved by the department head, chair, or school director and dean, and provost, tenured faculty members may request either term or permanent part-time appointments for reasons stated above, or to balance work at Virginia Tech with professional practice or significant community or public service. For example, a professor who wishes to serve as a consultant in addition to an appointment at Virginia Tech; a professor who wishes to engage in entrepreneurial activity outside of university responsibilities; or a professor who runs for public office for a limited term and wishes to reduce the workload at Virginia Tech for that period.

Part-time tenure-track and tenured appointments are either term or permanent. Term part-time appointments are in increments from one semester up to two years. During the duration of a part-time term appointment, terms of the appointment are only changed via the agreement of all parties. A term agreement must specify the date on which the faculty member is expected to return to full-time status. Renewal of a term appointment should be negotiated no less than three months before the end of the current term so that the department or school can plan accordingly. For term part-time appointments, departments and schools can use the salary savings to replace the work of the faculty member on part-time appointment.

Only the faculty member may initiate a request for conversion from full-time to part-time appointment. The reasons for the request for a change in the percentage of the appointment should be clearly stated. The department head, chair, or school director should make a careful assessment of the needs of the department or school and works with the faculty member requesting the part-time appointment to facilitate the request whenever possible. The period for which this part-time appointment is granted shall be clearly stated (renewable terms from one semester up to two years, or permanent).

The written agreement should include a careful and thorough statement of work expectations for the part-time appointment. Generally, faculty members continue to contribute to all areas of
responsibility, but with reduced expectations for accomplishment proportional to the fractional appointment. Service responsibilities for faculty members on part-time appointments are generally proportional to their appointments. Faculty members on part-time appointments are not excused from regular department, school, college, or university service because of the part-time appointments.

The written agreement for either an initial appointment or a conversion of a full-time appointment to part-time status and any subsequent renewal requires the approval of the faculty member, department head, chair, or school director, and dean, and provost.

An initial term part-time appointment, either tenured or tenure-track, may be approved to accommodate a dual career hire if funding is not immediately available to support a full-time position, or if the faculty member seeks a part-time appointment consistent with the intent of this policy. The expectation is that the subsequent reappointment, if recommended, is for a full-time position, unless the faculty member requests a renewal of the term part-time appointment in accordance with these guidelines. A part-time appointment created for a dual career hire is approved through the usual approval processes for dual career hires. (See chapter two, “Dual Career Program.”)

Faculty members on part-time appointments, whether term or permanent, retain all rights and responsibilities attendant to their appointment as a tenure-track or tenured faculty member.

3.3.1.1 Permanent Part-Time Tenured Appointments
For permanent part-time tenured appointments with no end date, a return to a full-time appointment is not guaranteed. If tenured, the faculty member remains entitled to the tenured appointment on a part-time basis only. However, an increase in the percentage of the appointment up to full-time may be renegotiated between the faculty member and department head, chair, or school director if mutually agreeable and funds are available. The department or school and the college determine the best way to cover the costs of the academic work in the case of conversion to a permanent part-time appointment.

Faculty members on part-time appointments, whether term or permanent, retain all rights and responsibilities attendant to their appointment as a tenure-track or tenured faculty member.

Part-time appointments are made for any fraction 50\%-percent or greater of a full appointment; faculty members receive proportional salary. Faculty members considering such appointments are strongly encouraged to meet with the benefits office in Human Resources to gain a clear understanding of the consequences of the change to their benefits. Office and laboratory space may be adjusted for longer term or permanent part-time appointments.

3.4 Promotion and Tenure
Eligibility for tenure consideration is limited to faculty members with regular, faculty appointments of 50 to 100% percent in an academic department in a college. Tenure is not granted to faculty members with temporary appointments or to administrative and professional faculty. Individuals with tenure who are appointed to administrative positions continue to hold tenure in those departments. Full-time administrators with appointments in academic departments and engage in teaching and research may be recommended for tenure in such departments.

Promotion in rank and the granting of tenure are based on contributions made by a faculty member to the university in the areas of teaching, research/creative activities, and service/engagement. Colleges, departments, or schools are responsible for the administration of appropriate policies and procedures for the review and recommendation for promotion and/or tenure within their units.

Faculty members being considered for promotion and/or the awarding of tenure have their dossiers reviewed at as many as three levels: (1) departmental/school committee and the head, chair, or school director; (2) college committee and the dean; and (3) the university committee and the provost.

Occasionally faculty members are evaluated for a tenured appointment during the probationary period and before the final probationary (mandatory) year. If such a case is the first attempt, there is no recourse to appeal or review of a negative decision, at whatever level it is reached, because of the certainty that the evaluation will be undertaken again within a limited time.

Promotion and/or tenure review processes

Once a promotion and/or tenure case has been submitted, it must proceed through the processes outlined in this chapter unless the candidate chooses to withdraw their case.

To ensure the honest discussion of promotion and/or tenure cases, all parties involved must keep the deliberations strictly confidential to the extent permitted by law. The content of conversations and the results of any votes may be discussed only with individuals with a current role in the promotion and tenure process, such as committee members or administrators. Faculty members serving on promotion and tenure committees who believe that Faculty Handbook procedures are not being followed may bring their concerns to the Faculty Senate Review Committee for a confidential review.

Although some participants in the review process may serve at more than one level - for example a departmental/school committee member may also serve on the college committee - participants may only vote once on a case. A faculty member may not serve on any promotion and tenure committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Each department/school and college will maintain and make available on-line promotion and/or tenure guidelines that follow the university template and includes departmental procedures and
expectations for reappointment, progress toward promotion and/or tenure, and the evaluation of promotion and/or tenure cases. Nothing in these guidelines, procedures, and expectations shall supersede or contradict the provisions of the Faculty Handbook. If a college adopts guidelines that establish a collegewide standard for promotion and/or tenure, with the dean’s approval, departments may maintain a set of guidelines that interpret the college-wide standard within the context of the department’s disciplines and traditions. All guidelines will be approved by the faculty (through department- and/or college-level governance), the college-level committee and the dean, and the provost’s office. Revisions to these guidelines must be approved by the faculty, the college, and the provost’s office.

3.4.1 Pre-Tenure Probationary Period
The pre-tenure probationary period is a succession of regular, full- or part-time term (fixed period) appointments. Decision about tenure, if not made earlier, is made in the final year of the probationary period. The final year of the probationary period is also called a mandatory year.

Evaluations for reappointment and an eventual tenured appointment occur during the probation period. The probationary period is typically six years unless approved extensions are granted (see chapter three “Extending the Tenure Clock). The beginning of the probationary period is July 1 (calendar year CY) or August 10 (academic year AY) of the calendar year in which the faculty member’s initial full-time appointment starts, regardless of the month in which employment begins. The probationary period for faculty members who start work in the spring semester begins the following fall even though the spring contract period officially begins December 25.

Up to three years of appropriate service at other accredited four-year colleges and universities may be credited toward the six-year probationary period, as specified in chapter three, “Guidelines for the Calculation of Prior Service.”

The initial appointment for assistant professors, associate professors, and professors employed without tenure is ordinarily a period of no less than two years. Multiple-year reappointment may be subsequently recommended.

A faculty member who wishes to request a leave of absence during their probationary period should consult with their department head, chair, or school director about the effect of the leave on the probationary period, taking into account the professional development that the leave promises. The request for leave should address this matter. The provost’s approval of the request specifies whether the leave is to be included in the probationary period.

If the tenure decision made in the final year is negative, a one-year terminal appointment is offered.

Probationary Period for Part time tenure-track faculty
Pre-tenure faculty members may request a term part-time appointment as described in chapter three, “Part-Time Tenure-Track and Tenured Appointments,” for reasons of balancing work and
family or personal health issues. In such cases, the probationary period is extended proportionately. For example, two years of service at 50% percent count as one year of full-time service. The term appointment may be renewed. A permanent part-time appointment may be requested and granted following the award of tenure.

In determining the final tenure review year for those with part-time appointments, general equivalency to full-time appointments is expected, so that approximately five years of full-time equivalent service is expected prior to the final tenure review year if no tenure clock extensions are granted, six years if one year of extension is granted, and seven years if two extensions are granted. (In summing partial years of service, a total resulting in a fraction equal to or less than 0.5 is rounded down, and a fraction greater than 0.5 is rounded up.) However, review for tenure must occur no later than the tenth year of service, resulting in somewhat less full-time equivalent service (4.5 years) for a faculty member with 50% percent appointment throughout all nine probationary years prior to review. If a faculty member is denied tenure following a final year review, a one-year terminal appointment is offered.

Faculty members on part-time appointments may request a tenure clock extension in accordance with chapter three, “Probationary Period Extensions (Extending the Tenure Clock).” (Extensions are granted in one-year increments, not prorated by the part-time appointment percentage.) However, the extension is not approved if it results in a final review date beyond the tenth year.

3.4.2 Reviews of Progress Toward Promotion and/or Tenure

Under usual circumstances, departmental promotion and tenure committees review the professional progress and performance of pre-tenure faculty members two times during the probationary period, usually in their second and fourth or third and fifth years. The timing of the reviews depends upon the nature of the faculty member’s discipline and must be clearly indicated in written department policies. The terms of faculty offer (TOFO) identifies the initial appointment period. Pre-tenure reviews may be delayed if there is an approved extension as described above. Changes or variations in the standard review cycle must be documented in writing.

Reviews are substantive and thorough. At minimum, departmental promotion and tenure committees must review the faculty member’s relevant annual activities, peer evaluations of teaching, authored materials, or other artifacts of research, scholarship and/or creative activity. Promotion and tenure committees and pre-tenure faculty members should use the university’s promotion and tenure dossier format (available on the provost’s website) to organize and present information for review.

The pre-tenure reviews should analyze the faculty member’s progress toward promotion and/or tenure and offer guidance regarding future activities and plans. All reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for their departmental file. In addition, the promotion and tenure committee chair and the department head, chair, or school director meet with the faculty member to discuss the review and recommendations. Faculty members are encouraged to seek guidance and mentoring from senior colleagues and the
department head, chair, or school director. Pre-tenure faculty members bear responsibility for understanding and meeting departmental or school expectations for promotion and/or tenure.

In the fall semester prior to applying for tenure in a non-mandatory year, a candidate must inform the head or chair of their intention to apply, thereby giving the department time to conduct an additional review of the candidate’s progress, if such a review is deemed necessary. Each department or school determines the extent of this review.

**Reviews for Part time TT**

The initial review for a part-time faculty member in the probationary period should occur no later than the third year of service (regardless of percentage of employment) to give early feedback on their progress. At least two reviews should be conducted for part-time faculty members during their probationary period; more are recommended. The anticipated schedule for such reviews for reappointment and for the final year (mandatory) review for tenure should be documented in writing as part of the agreement for the part-time appointment. Changes should be agreed upon and documented by the faculty member and department.

**Review of progress toward promotion to professor:** At least one review of progress toward promotion to professor should be conducted three to five years after promotion and tenure is awarded (or after tenure is awarded at the current rank of associate professor). The review—required for faculty promoted and tenured during 2012–13 and thereafter—is to be substantive and thorough. At minimum, an appropriate departmental committee (e.g., promotion and tenure committee, personnel committee, annual review committee) must review the faculty member’s relevant annual activities, peer evaluations of teaching, and authored materials since promotion.

The faculty member may wish to complete a draft promotion dossier (using the format available on the provost’s website) to organize and present information for review.

The review should be developmental and recommend future activities and plans that will position the faculty member for promotion to professor. All reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for their departmental file. In addition, the faculty member may request a meeting with the promotion and tenure committee chair and the department head or chair or school director to discuss the review and recommendations. Faculty members are encouraged to seek guidance and mentoring from senior colleagues and the department head, chair, or school director.

There is no specification for minimum or maximum time of service in the rank of associate professor with tenure. Consideration for promotion to professor may be requested of the department head or chair by a faculty member at any time. In the fall semester prior to applying for promotion to professor, a candidate must inform the head or chair of their intention to apply, thereby giving the department time to conduct a review of the candidate’s progress, if such a review is deemed necessary. Each department or school determines the extent of this review.
3.4.2.1 Extension of Pre-Tenure Probationary Period (Extending the Tenure Clock)

A one-year probationary period extension is automatically granted to either parent (or both if both parents are tenure-track faculty members) in recognition of the demands of caring for a newborn child or a child under five newly placed by adoption or foster care. The request should be made within a year of the child’s arrival in the family.

An extension of the probationary period may also be approved on a discretionary basis for other extenuating non-professional circumstances that have a significant impact on the faculty member’s productivity, such as a serious personal illness or major illness of a member of the immediate family. In rare cases, extraordinary professional circumstances not of the faculty member’s own making may be acceptable justification for a probationary period extension, for example exceptional delays in providing critical equipment, laboratory renovations, or other elements of the committed start-up package essential to establishing a viable research program.

Faculty members who benefit from this policy are expected to fulfill their usual responsibilities during the probationary period extension unless they are also granted a period of modified duties or unless other arrangements are made. (See chapter three, “Modified Duties.”)

A probationary period extension is granted in one-year increments. A cumulative total of two years is usually the maximum probationary period extension for any combination of reasons. Requests should be made within a year of the qualifying event (such as the arrival of a child in the family) or extenuating circumstance (such as an illness). The provost may approve exceptions to these limitations.

Faculty members may only be evaluated two times for promotion and tenure or continued appointment. The two evaluations may each be in a non-mandatory year, but in the case of a second non-mandatory negative decision, the faculty member will not be allowed a third evaluation. If the second evaluation results in a negative decision, a one-year terminal appointment is offered.

Requests for a probationary period extension are submitted in writing to the department head, chair, or school director. (A form is available on the provost’s website.) Approval is automatic for new parents. Documentation of medical reasons (other than childbirth or adoption) is required prior to approval; documentation of other extenuating circumstances may also be required. Approvals by the department head, chair, or school director, and dean, and provost are required for probationary period extensions. The faculty member may appeal denial of the request to the next higher level in their organizational reporting structure.

It is very important that all individuals and committees participating in tenure reviews understand that any individual who receives a probationary period extension must be held to the same standard—not a higher or more stringent one—to which other candidates without such an extension are held. This is also true in the case where the candidate’s dossier is considered on the original schedule for review. However, in this instance where an approved extension was
granted but not utilized, the tenure review is not considered mandatory and can be conducted again in the subsequent year without penalty. A probationary extension usually extends the time frame for each subsequent review and reappointment during the probationary period. For example, an extension granted prior to the fourth-year review and reappointment typically delays that review by one year.

3.4.3 Guidelines for the Calculation of Prior Service
At the time of a faculty member’s initial appointment, the department head, chair, or school director notifies the new faculty member of their standing regarding the tenure system, including when the appointment will be considered for renewal and length of the probationary period until mandatory consideration for tenure.

Credit for prior service toward the probationary period may be granted for appropriate service in another accredited four-year college or university but only if the faculty member requests such credit. In such a request, the faculty member presents all prior service undertaken after the completion of the terminal degree appropriate to the field. A maximum of three years may be credited toward probationary service at Virginia Tech. The request must be made in writing within one year of the initial appointment. The specification of credit for prior service toward the probationary period is subject to the approval of the provost on the recommendation of the department head or chair and the dean.

3.4.4 General Expectations for Promotion and Tenure
In accordance with their assignments and as outlined in the “Virginia Tech Guidelines for Promotion and Tenure Dossier” document available from the provost’s office, candidates for promotion and/or tenure will be evaluated in the following categories: teaching, scholarship, and service. While candidates are not expected to have equal levels of commitment or equal responsibilities in all these areas, scholarship is expected of all tenure-track faculty members to a degree and in a discipline appropriate for their assignment.

Teaching (Includes advising/mentoring): Teaching is a multifaceted activity that includes formal and informal advising/mentoring. In any assessment of a candidate for promotion and/or tenure, both the quality and the quantity of the individual's achievements in teaching and advising/mentoring should be considered. Those evaluating candidates for promotion and/or tenure should give special consideration to teaching effectiveness: faculty members must demonstrate the ability to evaluate scholarship applicable to their field and effectively teach their discipline to students. If applicable to the candidate’s appointment, teaching may include didactic lecture classes and laboratory settings as well as integrated component of clinical practice.

Scholarship (Includes research, creative activities, and Extension activities): Scholarship is broadly defined at Virginia Tech as the discovery, transmission, and/or application of knowledge. Scholarship takes many forms, including but not limited to research, creative activity, and Extension activities. While both the quality and quantity of a candidate’s achievements should be examined, quality should be the primary consideration. Quality should be defined largely in terms
of the work’s importance in the progress or redefinition of a field or discipline, the establishment of relationships among disciplines, the improvement of practitioner performance, or the creativity of the thought and methods behind it. To be awarded tenure, in addition to demonstrating productivity as a scholar, a candidate must provide evidence that their scholarship has enhanced their discipline, which is typically demonstrated by a growing impact nationally or internationally and the potential for greater impact in the future. Promotion to the rank of professor requires evidence of ongoing or renewed productivity and the realization of a candidate’s potential for greater impact nationally or internationally, including a description of how their scholarship has influenced their field.

Service (Includes engagement, university service, professional service, medical service, inclusion and diversity, and additional outreach and Extension activities): In the spirit of Ut Prosim (That I may serve) and the land-grant mission, faculty members are expected to use their knowledge, creativity, and expertise to improve the human condition and engage the communities of which they are a part. Candidates must demonstrate their contributions to the governance, development, and vitality of the university, their academic professions, and other relevant communities at the local, state, national, and/or international levels. The quality and effectiveness of healthcare delivery, including activities in the presence of learners and outreach and Extension activities that are not considered scholarship should also be documented and considered as service.

The unique features of every candidate’s department or school, discipline, and assignment must be considered in any evaluation for promotion and/or tenure. Each department or school (or college, when college-wide guidelines are applied) is required to have “Expectations Guidelines for Promotion and/or Tenure.” Expectations guidelines account for disciplinary and programmatic differences unique to and within the department(s) and school(s) and specify what is required of their faculty members to fulfill the general expectations outlined above. Departments or schools, or colleges should carefully assess and state the overall standards of professional performance and contribution they consider minimally acceptable for the awarding of promotion and/or tenure. Expectations must be adhered to at every stage of the promotion and/or tenure process. Colleges that adopt a college-wide set of promotion and/or tenure guidelines will ensure that the “Expectations Guidelines for Promotion and/or Tenure” account for differences within and across departments and schools.

Besides consideration of specific professional criteria, evaluation for promotion and/or tenure should include consideration of the candidate’s integrity, professional conduct, and ethics. To the extent that such considerations are factors in reaching a negative recommendation, they must be documented as part of the formal review process and included in the candidate’s notification.

Every faculty member should maintain a current curriculum vitae, with copies filed in the department and college (or equivalent academic units, as appropriate). The candidate prepares a dossier that includes an executive summary; the candidate’s statement; documentation of performance in the areas of teaching, scholarship, service, and other activities relevant to the candidate’s assignment; and a list of work under review or in progress. The dossier is completed by the inclusion of recommendation statements, both internal and external, which are added as
the dossier is reviewed at the department and college levels. For faculty who present significant interdisciplinary or multidisciplinary teaching, research, outreach, or Extension activities as part of their record, the dossier should include one evaluation letter from the director, coordinator, or leader of the interdisciplinary or multidisciplinary program.

The promotion and tenure guidelines and a standard dossier cover page are available on the provost’s website. All candidate dossiers must be submitted to the University Promotion and Tenure Committee according to the guidelines on the provost’s website. The department head or chair, or the department committee, are responsible for ensuring that the dossier conforms to these guidelines.

The criteria by which faculty with part-time appointments are evaluated for tenure are the same as the criteria by which full-time faculty are evaluated. Promotion and tenure committees consider years of full-time equivalent service when reaching decisions, excluding any approved probationary period extensions granted under the extending the tenure clock policy.

3.4.4.1 Departmental Evaluation for Promotion and Tenure

**Determination of Candidates:** In their promotion and/or tenure guidelines, each department will have a process for determining which candidates are to be considered for promotion and/or tenure, including those faculty members in the final year of probationary service. Candidates should be identified in the fall semester one year prior to applying for promotion and/or tenure.

Department Committee Composition: Each department must have one or more committees with appropriate faculty representation to evaluate candidates for promotion and tenure, tenure at the currently held rank, and promotion to professor, and make recommendations to the department head or chair. While the process of selecting committees may vary between departments, significant elements of faculty choice, as determined through departmental governance, must be part of the selection process. Some possible methods for committee selection include a combination of elected and appointed representatives; an elected slate significantly larger than the committee size, allowing the department head or chair to appoint the committee from the slate; or a committee elected by the faculty. A minimum committee size of five members is most appropriate to achieve adequate representation and effectiveness of committee operations.

Department Committee Evaluation of Candidate: The committee chair or department head or chair furnishes the committee with a dossier for each candidate. After evaluating each candidate’s dossier based on criteria established in the department’s promotion and/or tenure “Expectations Guidelines” the committee votes and writes a recommendation letter for each candidate, including the division of the vote. The committee’s letter contains the evaluation of the candidate’s performance in each relevant area and provides a recommendation for promotion and tenure, tenure at the currently held rank, or promotion to professor. In the absence of a unanimous recommendation by the committee, the division of the vote must be explained. A minority letter may be attached to the committee’s recommendation letter. All letters must be sent to the head or chair and become part of the dossier.
Given their responsibility to make a separate and independent recommendation on each case, department heads or chairs may not serve as members of department committees: program directors or area chairs may. A department head or chair may convene the committee, charge the committee with its responsibilities, and discuss the cases. However, after the discussions with the department head or chair, the committee must discuss the merits of the candidates, frame its recommendations, and take the final vote without the head or chair in attendance and without influence by the head or chair.

**Department Head, Chair, or School Director Evaluation of Candidate:** The head or chair evaluates each candidate’s dossier, including the committee’s letter, based on criteria established in the department’s promotion and/or tenure “Expectations Guidelines” and writes a recommendation letter for each candidate. The head or chair’s letter, which may draw from the committee’s letter or letters, contains the evaluation of the candidate’s performance in each relevant area and provides a recommendation for promotion and tenure, tenure at the currently held rank, or promotion to professor. The letter from the head or chair becomes part of the dossier and should follow the guidelines established by the provost, which are available on the provost’s website. If the recommendation for promotion and/or tenure varies from the recommendation of the department committee, the reasons for that variance must be specified, including references to the department’s “Expectations Guidelines.” The department head or chair will share their letter with the department promotion and tenure committee as soon as it is available.

In all cases of a tenure decision in the final year of probationary service, the head, chair, or school director sends the dossier of every candidate to the dean, even when both the head, chair, school director and the committee have made negative recommendations.

In all other cases, the head, chair, or school director sends the dossier of every candidate to the dean, except if the committee’s recommendation is negative and the head or chair concurs. Under those circumstances, the head, chair, or school director declares a final decision and no further review is carried out.

The dossiers that the head or chair sends to the dean are accompanied by a statement describing the formation and procedures of the department committee and a summary of the number of candidates considered by the committee in each category: mandatory, non-mandatory-year tenure, and promotion at each rank). The division of the department committee’s vote must be added to the dossier, but otherwise remains confidential.

**3.4.4.2 College Evaluation for Promotion and Tenure**

**College Committee Composition:** Each college must have a committee with appropriate faculty representation to review the recommendations on promotion and tenure sent by the department head, chair, or school director. While the process of selecting committees may vary between colleges, rules governing eligibility and selection of college committee members and the committee chair, as well as operating guidelines for the committee’s deliberations, must be documented and formally approved by the faculty. Significant elements of faculty choice must be
part of the selection process. Some possible methods for committee selection include election by the college faculty; appointment by an elected college executive committee; a combination of elected and appointed (by the dean or college executive committee) representatives; or an elected slate significantly larger than the required committee size, thus allowing the dean or college executive committee to appoint the committee from the elected slate approved by the faculty. However, given their responsibility to make a separate and independent recommendation on each case, the dean may not serve as chair of the committee.

As far as possible, each department within the college should be represented on the committee. The dean may appoint up to three tenured faculty members to serve on the college committee to assure appropriate representation of disciplines or very large departments, participation by members of underrepresented groups, or other critical considerations to help assure fairness of the process in both fact and perception. Appointments by the dean may not constitute more than a third of the committee’s total membership.

The committee may include department heads, chairs, or department-level promotion and tenure committee members. If department heads or chairs serve on college committees, their total number must be less than that of other faculty members.

The appointments of faculty members on the committee should be staggered to assure continuity from one year’s deliberation to the next. If possible, members should not serve more than two successive terms (three-year terms are typical).

The college faculty representatives to the University Promotion and Tenure Committee must attend college promotion and tenure deliberations as non-voting observers but should not participate or attempt to influence college-level recommendations.

**College Committee Evaluation of Candidate:** The committee reviews the cases of all candidates recommended by the department committee and/or head or chair as well as cases in their final year that receive negative recommendations by both a department committee and a head or chair.

The purpose of the review is to verify that the department recommendations for promotion and/or tenure are consistent with the evidence, reflect college-wide standards, and conform to the college’s expectations of the candidate’s future success.

After the review, the committee votes and writes a recommendation letter for each candidate that summarizes its evaluation, including the division of the vote. If the recommendation for promotion and/or tenure varies from that received from the department committee or the department head or chair, reasons for that variance must be specified, including references to the relevant departmental “Expectations Guidelines for promotion and/or tenure. In the absence of a unanimous recommendation by the committee, the division of the vote must be explained. A minority letter may be attached to the committee’s recommendation letter. All letters must be sent to the dean and become part of the dossier.
If the committee includes department heads, chairs, school directors, or department-level promotion and tenure committee members, none of these members may vote on cases from their departments, since each has already had an opportunity to vote or make a recommendation on those candidates. The dean does not vote on committee recommendations.

The college committee may ask the department head or chair, the candidate, and/or a representative(s) of the department committee to appear before the college committee to present additional information or clarify recommendations.

The dean may participate in committee discussions and serve in an advisory capacity to the committee to ensure compliance with college and university procedures. However, after the discussions with the dean, the committee must discuss the merits of the candidates, frame its recommendations, and take the final vote without the dean or other college-level personnel in attendance and without influence by the dean.

**Dean’s Evaluation of Candidate:** The dean reviews the cases of all candidates considered by the college committee. The purpose of the dean’s review is to verify that the department and college committee recommendations for promotion and/or tenure are consistent with the evidence, reflect college-wide standards, and conform to the college’s expectations of the candidate’s future success.

The dean writes a separate recommendation letter for every case sent to the provost. If the dean’s recommendation for promotion and/or tenure varies from the recommendation made by the college committee, the reasons for that variance must be specified, including references to the relevant departmental “Expectations Guidelines” for promotion and/or tenure. Whenever the dean does not concur with the committee’s recommendation, the committee is so notified. In instances of concurrence, the dean’s letter may include additional points not raised in earlier evaluations. The dean may share their letter with the committee and will add it to the dossier.

For every promotion and/or tenure case whether in the final year of probation (mandatory), non-mandatory-year tenure, and/or promotion, if either the college committee’s or the dean’s recommendation is positive, the dossier is sent to the provost. If the college committee’s recommendation is negative and the dean concurs, the dean declares a final decision and no further review is conducted.

The dossiers that the dean sends to the provost must be accompanied by a statement describing the formation and procedures of the college committee and a summary of the number of candidates considered by the committee in each category (mandatory tenure, non-mandatory-year tenure, and promotion at each rank). The division of the college committee’s vote must be added to the dossier, but otherwise remains confidential.

**3.4.4.3 University Evaluation for Promotion and Tenure**
Details of the procedures followed by the University Promotion and Tenure Committee are maintained on the provost’s website (see “Promotion and/or Tenure Procedures for University
Committee Deliberations and Notifications”), those procedures are derived from the policies and standards presented below and must conform to the Faculty Handbook.

University Promotion and Tenure Committee Composition: The University Promotion and Tenure Committee is appointed and chaired by the provost. The committee is composed of the college deans, a tenured faculty representative from each college, a tenured faculty member at-large, and the provost. The faculty subcommittee of the University Promotion and Tenure Committee includes the college faculty representatives plus the faculty member-at-large. The provost, who is a non-voting member, chairs both the full committee and faculty subcommittee. The vice provost for faculty affairs serves as resource and scribe for committee deliberations.

Significant elements of faculty choice must be part of the selection of the faculty subcommittee; therefore, each college faculty, through means deemed suitable by them, nominates two faculty members for each vacancy, from which the provost selects one. The Faculty Senate nominates two faculty members for the at-large appointment, from which the provost selects one. The selection of the faculty members should be based on demonstrated professional excellence. The faculty members of the committee hold rotating terms of three years. Regardless of the size of the committee, the faculty must always have a majority of the potential votes.

Guidelines for submission of candidates’ dossiers are available on the provost’s website.

University Promotion and Tenure Committee Evaluation of Candidate: The committee reviews the qualifications of each candidate recommended for promotion and/or tenure by the college committee and/or the dean.

The purpose of the review is to verify that the recommendations for promotion and/or tenure are consistent with the evidence, reflect university-wide standards, and conform to the university’s expectations of the candidate’s future success.

The faculty sub-committee initially discusses all the cases with the provost in attendance. Committee members provide a brief summary of the cases from their college to begin the committee discussion, though they are not expected to champion or defend cases. After the discussions with the provost, the faculty subcommittee must be given a period of time to discuss the cases in the absence of the provost and all other university-level personnel. The provost then rejoins the subcommittee and asks the faculty to rate the cases to identify those they would like to discuss further with the deans. Deans are informed of which cases the faculty subcommittee would like to discuss further and the specific concerns the subcommittee has in each case.

The full committee then convenes. The deans present information based on faculty subcommittee concerns. The committee then rates the cases to clarify which cases require further discussion. Deans abstain from rating the candidates in their colleges, as the dean’s statement, which is included in the dossier, serves as their estimation of the case’s strength. The provost shares the result of the rating, after which the full committee discusses the cases. The committee adjourns and reflects upon the group discussion.
Upon reconvening, the provost invites committee members to comment on any case. The full committee then votes, with deans abstaining from voting on any candidates from their colleges. Similarly, faculty members serving on the committee do not vote on any case on which they previously voted.

The vote must occur using a secret ballot. Though the provost shares the result of the vote with the committee, committee members must keep the results confidential. The majority vote of the committee reflects either a positive or negative recommendation to the provost. A tie vote is considered a negative recommendation.

Following the committee’s recommendation on each candidate to the provost, the provost makes recommendations to the president, informing the committee of those recommendations, including the basis for any non-concurrence with committee recommendations. The provost informs the president of any variation between the provost's recommendations and those of the committee.

The president makes recommendations to the Board of Visitors from among those candidates reported by the provost, with the Board of Visitors being responsible for the final decision.

The provost notifies the appropriate dean of any negative decision reached by the provost, the president, or the Board of Visitors. The dean, when notifying the faculty member in writing, notes appeal options.

3.4.4.4 Candidate Notification
At each level of review in the process, the candidate must be notified of the result of the review, whether positive or negative. The department head, chair, or school director notifies the candidate of the result of the departmental review, and the dean notifies the candidate of the result of the college level review. Notifications will only indicate whether the candidate’s case moved on to the next level of review or not; they will not include the results of votes, the names of external evaluators, statements from evaluations, or excerpts from committee or administrative letters.

Notification of a negative recommendation for promotion and/or tenure must include all substantive reasons for that recommendation, including references to the relevant department and/or college promotion and/or tenure expectations guidelines. Notification of a negative recommendation will occur within ten university business days after the completion of committee and administrator deliberations. Notification must include options for appeal. Exceptions to the time frame must be agreed upon by all parties. In cases with a negative recommendation from the provost, the provost does not forward the case to the president until the candidate has been notified and has had time to appeal. In cases with a final positive recommendation by the president, the provost notifies the appropriate dean who informs the candidate in writing of the reasons for the decision.
3.4.5 Appeals of Decisions on Non-Reappointment, Tenure, or Promotion (for grievances see below: Faculty Grievance Policy and Procedures)

**Appeal.** A faculty member who is notified of a negative decision following an evaluation for a term reappointment during the probationary period, for a tenured appointment, or for promotion may appeal for review of the decision under conditions and procedures specified in this section. The appellant has a right to an explanation of the reasons for the denial.

An appeal must be filed, in writing, within 10 university business days of formal notification of the decision, which shall explain the appeal procedures.

An appeal must be based on the following claims only: department criteria established in the relevant department’s promotion and/or tenure guidelines were not appropriately applied; material from a dossier was unavailable to, or disregarded by, reviewers through no fault of the candidate; or information in the dossier was not considered, or that the decision was influenced by improper consideration.

Administrators and committees hearing an appeal must limit the scope of their recommendations to the claims presented above: in particular, they must not substitute their own judgment on the merits of the case for that of the body or individual responsible for the decision under appeal. The recommendations should address the allegations in the appeal with specificity and cite appropriate evidence.

A faculty member can appeal the decision at more than one level. There is no appeal of the president’s recommendation to the Board of Visitors or the board’s final decision.

Appeals should be resolved as quickly as possible without compromising thoroughness of review. Whenever possible, the appeal should be resolved in time to be reviewed at the first meeting of the Board of Visitors in the fall semester.

A faculty member with questions or concerns about the appeal process or who believes that the procedures described in this section have been improperly followed may, at any point, seek advice from the Faculty Senate Committee on Reconciliation.

**Grievance.** Additionally, faculty have the option to grieve procedural violations of the promotion and tenure process—including violations of the appeal process presented in this section—after a negative decision on an appeal or instead of filing an appeal in the first place. Since the grievance procedures allow the grievant to state the grievance they believe they have experienced and the relief they seek, it has a wider range of possible outcomes than the appeal process. However, because it is a slower process that may not be completed until the promotion and/or tenure cases in a given year have been decided, and because faulty cannot grieve “items falling within the jurisdiction of other university policies and procedures,” a grievance should be thought of as a means for faculty to seek an outcome they cannot seek through the appeal process. The
grievance process is described in chapter three below, “Faculty Grievance Policy and Procedures.”

3.4.5.1 Appeal of Probationary Non-Reappointment Decision
Faculty members on probationary term appointments should make no presumption of reappointment. The department head, chair, or school director with the advice of the department/school personnel committee or the faculty development committee determines non-reappointment. Notice of non-reappointment is furnished according to the schedule in chapter two, “Retirement, Resignation, and Non-Reappointment.”

If the negative decision is based on evaluation of the faculty member’s performance, including perceived lack of potential for further professional development, the faculty member may appeal the decision to the dean of the college. If the dean sustains the departmental decision, the faculty member may request, through the dean, a further and independent review of the decision by the properly constituted college committee on promotion and tenure.

The faculty member presents the appeal in writing as specified in chapter three, “Appeals of Decisions on Reappointment, Tenure, or Promotion.” The faculty member has the right to appear before the committee to present arguments. The college committee makes a recommendation to the dean, who informs the faculty member of the committee’s recommendation and the dean's subsequent decision. The dean's decision closes the appeal process, unless it varies from the college committee’s recommendation, in which case the faculty member may appeal to the provost for a final decision. The provost’s decision cannot be appealed.

3.4.5.2 Appeal of Promotion and/or Tenure Decision (and summary table)
Appeal of negative department or college decisions: Because all tenure cases evaluated in the final year of probation (mandatory year), even those given a negative recommendation by the department committee and the head or chair or school director, receive a full college level review, there is no appeal of a negative tenure decision at the department level. Cases evaluated in the final year of probation that receive a negative recommendation by the college committee and dean may appeal to the University Promotion and Tenure Committee via the provost.

Cases reviewed a second time within the probationary period whether promotion and/or tenure, if the committee and the relevant administrator both make negative recommendations, the candidate may appeal that negative decision to the next level in the process. The faculty member has the right to appear before the committee considering the appeal and present arguments.

If either the college committee or the dean grants the appeal of a negative department decision, the case resumes normal consideration, beginning with the college committee and dean. If either the University Promotion and Tenure Committee or the provost grants the appeal of a negative college decision, the case resumes normal consideration, beginning with the University Promotion and Tenure Committee and the provost. At either the college or university level, if the committee
and the relevant administrator both make negative recommendations, the appeal is denied and no further appeal is provided.

Appeal of negative university decisions: Because all recommendations from the University Promotion and Tenure Committee and the provost are forwarded to the president, candidates may appeal negative recommendations of either or both to the Faculty Senate Review Committee. The faculty member has the right to appear before the committee to present arguments. The Faculty Review Committee investigates the case and makes a recommendation to the president. The Faculty Senate Review Committee makes a recommendation to the president. The president makes a recommendation to the Board of Visitors whose decision is final and cannot be appealed.

Table of appeal options for promotion and tenure cases: the following table summarizes the progression of cases (whether promotion and tenure, tenure only, or promotion only) that receive negative recommendations from either a committee, an administrator, or both, including appeal options. The table is for reference only.

### Probationary Period

<table>
<thead>
<tr>
<th>Decision</th>
<th>Next Step</th>
</tr>
</thead>
<tbody>
<tr>
<td>Negative decision after <em>first</em> review during probationary period</td>
<td>No appeal</td>
</tr>
<tr>
<td>Negative decision on <em>second</em> review during probationary period</td>
<td>May appeal to next higher level</td>
</tr>
<tr>
<td>Appeal granted by next higher level</td>
<td>Moves to next level in process for normal consideration</td>
</tr>
</tbody>
</table>

### Final/mandatory year

<table>
<thead>
<tr>
<th>Decision</th>
<th>Next Step</th>
</tr>
</thead>
<tbody>
<tr>
<td>Negative recommendation by department committee and by department head or chair</td>
<td>Moves to college committee and dean</td>
</tr>
<tr>
<td>Negative recommendation by department committee; positive recommendation by department head or chair</td>
<td>Moves to college committee and dean</td>
</tr>
</tbody>
</table>
## Positive recommendation by department committee; negative recommendation by department head or chair

Moves to college committee and dean

## Negative recommendation by college committee and dean

May appeal to University Promotion and Tenure Committee (through the provost)

## Appeal granted by the University Promotion and Tenure Committee

Moves to University Promotion and Tenure Committee (through the provost)

## Negative recommendation by college committee; positive recommendation by dean

Moves to University Promotion and Tenure Committee and provost

## Positive recommendation by college committee; negative recommendation by dean

Moves to University Promotion and Tenure Committee and provost

## Negative recommendation by the provost

May appeal to Faculty Review Committee, recommendation is advisory to the president.

## Negative recommendation by president

No appeal

## Negative decision by the Board of Visitors

No appeal

### 3.5 Annual Evaluation, Post-Tenure Review, and Periodic Review of College and Departmental/School Administrators

#### 3.5.1 Annual Evaluation and Salary Adjustments

All departments are required to have written guidelines outlining the process and criteria used in faculty evaluations. The adoption of such guidelines promotes consistency and transparency in this important aspect of faculty life.

President annually adjusts the salary of University Distinguished Professors after consultation with the provost and dean of the relevant college.

The guidelines and procedures for the annual review of Alumni Distinguished Professors are established by the president and/or provost who are responsible for their annual evaluations.

Every faculty member’s professional performance is evaluated annually, and written feedback is provided separately from confirmation of any merit adjustments. The process begins with submission of a faculty activity report (FAR). All non-temporary faculty members must submit a FAR annually. These reports form part of the basis for performance evaluations, awarding merit adjustments, and promotion, tenure, and post-tenure reviews.
Department heads, chairs, and school directors are responsible for conducting annual faculty evaluations, either independently or in consultation with an appropriately charged committee in accordance with departmental/school procedures. All evaluations must be in writing and include a discussion of contributions and accomplishments in all areas of the faculty member’s responsibilities (e.g., teaching, research and scholarship, service, outreach, diversity and advising, as appropriate), comments on the faculty member’s plans and goals, and any recommendations for improvement or change. Faculty members should receive their written evaluations within 90 days of submission of required materials, and they acknowledge receipt by signing and returning a copy for their departmental/school file, or the electronic equivalent. Acknowledging receipt of the evaluation does not imply agreement. If a faculty member substantially disagrees with the evaluation, a written response may be submitted to the department head, chair, or school director for inclusion in the personnel file.

In addition to their annual evaluation letters, all pre-tenure faculty members receive at least two thorough reviews during their probationary period and written feedback on their progress toward tenure by their departmental/school promotion and tenure committee prior to reappointment in accordance with guidance included in chapter three, “Probationary Period.”

Faculty members with part-time appointments are reviewed on the annual review cycle used for all faculty members in the department. For the purposes of annual review, the fraction of the appointment must be taken into account when considering the appropriate level of achievement in that year.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the department head, chair, or school director and are reviewed by the dean, the provost, and the president. Because salary adjustments are determined administratively on an annual basis and based significantly on the quality of the faculty member’s response to assigned responsibility, they do not necessarily reflect an accurate measure of the full scope of the faculty member’s professional development as evaluated by relevant committees in the tenure and promotion process.

The salary adjustments of continuing faculty members are approved by the Board of Visitors, and each faculty member is informed in writing of the board’s action as soon as possible.

3.5.2 Unsatisfactory Performance
For tenured and pre-tenure faculty members, failure to meet the minimum expectations and standards the department has stipulated for its faculty results in an "unsatisfactory" rating. Written notification of an unsatisfactory rating and the considerations upon which it was based is given to the faculty member, with copies to the dean and provost. A single unsatisfactory evaluation indicates a serious problem, which should prompt remedial action. Faculty members may respond in writing with a letter to the head, chair, or school director for inclusion in their personnel file, or they may seek redress through either the reconciliation or grievance procedures. Two successive
annual ratings of unsatisfactory performance for a tenured faculty member result in a post-tenure review.

### 3.5.3 Post-Tenure Review

Nothing in this section should be interpreted as abridging the university's right to proceed directly to dismissal for cause as defined in chapter three, “Dismissal for Cause,” or the right of individual faculty members to pursue existing mechanisms of reconciliation and redress.

A post-tenure review is mandatory whenever a faculty member with tenure receives two consecutive annual evaluations of unsatisfactory performance. Annual reviews for years spent on leave without pay are disregarded for the purpose of this calculation. The departmental/school promotion and tenure committee conducts the review unless the same committee participated in the original unsatisfactory annual evaluations. In this case, the department elects a committee to conduct the review.

Upon recommendation of the head, chair, or school director and with the approval of the dean, a post-tenure review may be waived or postponed if there are extenuating circumstances (such as health problems).

The purpose of a post-tenure review is to focus the perspective of faculty peers on the full scope of a faculty member's professional competence, performance, and contributions to the department, college, and university missions and priorities.

The faculty member has both the right and the obligation to provide a dossier with all documents, materials, and statements deemed relevant and necessary for the review. Ordinarily, such a dossier includes at least the following: an updated curriculum vitae, the past two or more faculty activity reports, teaching assessments, and a description of activities and accomplishments since the last faculty activity report. The faculty member is given a period of no less than four weeks to assemble the dossier for the committee. The head, chair, or school director supplies the review committee with the last two annual evaluations, all materials that were considered in those evaluations, any further materials deemed relevant, and other materials the committee requests. Copies of all materials supplied to the committee are given to the faculty member. The faculty member has the right to provide a written rebuttal of evidence provided by the head, chair, or school director.

The committee weighs the faculty member's contributions to the discipline, the department, and the university through learning, discovery, and engagement. The burden of proving unsatisfactory performance is on the university. The committee prepares a summary of its findings and makes a recommendation to the head, chair, or school director, with copies to the dean and provost. Final action and notification of the faculty member is the responsibility of the head, chair, or school director and dean, with the concurrence of the provost.

The review may result in one of the following outcomes:
Certification of satisfactory performance: The committee may conclude that the faculty member's competence and professional contributions are satisfactory to meet the department's minimum expectations, thus failing to sustain the assessment of the head, chair, or school director. The review is then complete. An unsatisfactory rating in any subsequent year is counted as the first in any future sequence.

Certification of deficiencies: The committee may concur that the faculty member's competence and/or professional contributions are unsatisfactory to meet the department's minimum expectations. The committee may recommend dismissal for cause, a sanction other than dismissal for cause, or a single period of remediation not to exceed two years.

Remediation: If a period of remediation is recommended, the committee specifies in detail the deficiencies it noted, defines specific goals and measurable outcomes the faculty member should achieve, and establishes a timeline for meeting the goals. The head, chair, or school director meets with the faculty member at least twice annually to review the individual's progress. The head, chair, or school director prepares a summary report for the committee following each meeting and at the end of the specified remediation period, at which time the committee either certifies satisfactory performance or recommends dismissal for cause or a sanction other than dismissal for cause following the procedures described below.

Sanction other than dismissal for cause: A departmental/school recommendation to impose a severe sanction, as defined in chapter three, “Imposition of a Severe Sanction” shall be referred to the college-level promotion and tenure committee, which reviews the case as presented to the departmental/school committee, provides an opportunity for the faculty member to be heard, and determines whether the recommendation is consistent with the evidence. The college-level committee may reject, uphold, or modify the specific sanction recommended by the departmental/school committee. If the college-level committee also recommends imposition of a severe sanction, then the same procedures used for dismissal for cause guides the process. The reviews conducted by the department and college committees satisfy the requirement in step two in chapter three, “Dismissal for Cause,” for an informal inquiry by an ad hoc or standing personnel committee. Thus, in the case of a post-tenure review, this step is not repeated. If a severe sanction is imposed or ultimately rejected, then the post-tenure review cycle is considered complete. An unsatisfactory rating in any subsequent year is counted as the first in any future sequence.

Dismissal for cause: If dismissal for cause is recommended, the case shall be referred to the college-level promotion and tenure committee as described in chapter three, “College Evaluation for Promotion and Tenure,” which reviews the case as presented to the departmental/school committee and determines whether the recommendation is consistent with the evidence. If the college-level committee upholds the recommendation for dismissal, then the procedures specified in chapter three, “Dismissal for Cause,” begin immediately. The committee review satisfies the requirement in chapter three for an informal inquiry by a standing personnel committee.
3.5.4 Periodic Review of Academic Administrators: College Deans, Dean of University Libraries, Dean of the Honors College, Dean of Graduate Education, Senior Administrators, and Academic Vice Presidents

Note: See chapter seven for periodic review of A/P senior administrators who report to the provost.

In addition to an annual performance evaluation, and in accordance with Policy 6105, “Periodic Evaluation of Academic Deans and Vice Presidents,” academic deans, the dean of University Libraries, the dean of the Honors College, dean of graduate education, and academic vice presidents are subject to reviews every five years. If the review of a dean cannot be conducted in the fifth year as would usually be the case, the provost informs the officers of the relevant college or University Libraries faculty association as to the reason for the delay. A review may also be initiated at any time by the provost and/or at the request of at least one-third of the tenure-track faculty in the college, or in the case of University Libraries, one-third of the continued appointment faculty. If the review of a vice president who reports to the provost cannot be conducted in the fifth year, the provost notifies the deans and the chairs of the college and University Libraries faculty associations as to the reason for the delay. In the semester prior to a periodic review, the faculty association will be notified of the review and the association may schedule a meeting with the provost to discuss the upcoming review.

3.5.5 Annual and Periodic Review of Department Heads, Chairs, and School Directors

Policy 6100, “Department Head or Chair Appointments” outlines the review process for academic department heads, chairs, and school directors. In addition, in consultation with the faculty, colleges should adopt more detailed a set of guidelines and procedures in accordance with the principles outlined in Policy 6100 so that reviews may be conducted consistently and appropriately across the college for those serving in academic leadership roles.

Policy 6100, “Department Head or Chair Appointments,” outlines the review process for academic department heads or chairs. In addition, colleges should have adopted more detailed procedures in accordance with the broad guidelines below so that reviews may be conducted consistently and appropriately across the college for those serving in academic leadership roles.

The purpose of the periodic review is to support the success of the university's academic units by providing developmental feedback to promote fair and effective academic leadership. Reappointment of an individual to academic department head, chair, school director, academic dean, or academic vice president must be preceded by a periodic review conducted in accordance with guidelines outlined in Policy 6105 or in Policy 6100.

3.6 Imposition of a Severe Sanction or Dismissal for Cause*

*Note: The procedures specified follow closely, but differ in occasional detail from, the "1976 Institutional Regulations on Academic Freedom and Tenure" approved by Committee A of the American Association of University Professors (AAUP).
3.6.1 Adequate Cause

Adequate cause for imposition of a severe sanction or dismissal is related, directly, and substantially, to the fitness of faculty members in their professional capacity as teachers and scholars. Imposition of a severe sanction or dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights.

**Adequate cause includes:** violation of professional ethics (see chapter two, “Professional Responsibilities and Conduct”); incompetence as determined through post-tenure review; willful failure to carry out professional obligations or assigned responsibilities; willful violation of university and/or government policies; falsification of information relating to professional qualifications; inability to perform assigned duties satisfactorily because of incarceration; or personal deficiencies that prevent the satisfactory performance of responsibilities (e.g., dependence on drugs or alcohol).

Reason to consider the imposition of a severe sanction or dismissal for cause is usually determined by a thorough and careful investigation by an appropriately charged faculty committee (as in the case of allegations of ethical or scholarly misconduct, or through a post-tenure review) or by the relevant administrator (for example, the department head, chair, or school director, compliance officer, internal auditor, or Virginia Tech Police). Generally, these investigations result in a report of findings; some reports also include recommendations for sanctions. The report is directed to the relevant administrator for action; it is also shared with the faculty member. Imposition of a severe sanction or initiation of dismissal for cause proceedings, if warranted, follows the procedures set forth below.

3.6.2 Imposition of a Severe Sanction

**Definition and examples:** A severe sanction generally involves a significant loss or penalty to a faculty member such as, but not limited to, a demotion in rank and/or a reduction in salary or suspension without pay for a period not to exceed one year, imposed for unacceptable conduct and/or a serious breach of university policy.

Routine personnel actions such as a recommendation for no or a below-average merit increase, conversion from a calendar year to an academic year appointment, reassignment, or removal of an administrative stipend do not constitute “sanctions” within the meaning of this policy. A personnel action such as these may be a valid issue for grievance under procedures defined in the Faculty Handbook.

**Process for imposing a severe sanction:** The conduct of a faculty member, although not constituting adequate cause for dismissal, may be sufficiently grave to justify imposition of a severe sanction. Imposition of a severe sanction follows the same procedures as dismissal for cause beginning with step one. If the matter is not resolved at the first step, a standing or ad hoc faculty committee conducts an informal inquiry (step two). The requirement for such an informal inquiry is satisfied if the investigation was conducted by an appropriately charged faculty committee (as would be the case with an alleged violation of the ethics or scholarly misconduct.
policies) and, having determined that in its opinion there is adequate cause for imposing a severe sanction, refers the matter to the administration.

3.6.3 Dismissal for Cause

The following procedures apply to faculty members with tenure or for dismissal of a tenure-track faculty member before the end of their current contract. Dismissal is preceded by:

**Step one:** Discussions between the faculty member, department head, chair, or school director, dean, and/or provost, looking toward a mutual settlement.

**Step two:** Informal inquiry by a standing (or, if necessary, ad hoc) faculty committee having concern for personnel matters. This committee attempts to affect an adjustment and, failing to do so, determines whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the president’s decision whether to proceed.

**Step three:** The furnishing by the president (in what follows, the president may delegate the provost to serve instead) of a statement of specific charges, in consultation with the department head, chair, or school director and dean. The statement of charges is included in a letter to the faculty member indicating the intention to dismiss, with notification of the right to a formal hearing. The faculty member is given a specified reasonable time limit to request a hearing; that time limit is no less than 10 days.

**Procedures for conducting a formal hearing, if requested:** If a hearing committee is to be established, the president asks the Faculty Senate, through its president, to nominate nine faculty members to serve on the hearing committee. These faculty members are nominated based on their objectivity, competence, and regard. They must have no bias or untoward interest in the case and be available at the anticipated time of the hearing. The faculty member and the president each have a maximum of two challenges from among the nominees without stated cause. The president then names a five-member hearing committee from the remaining names on the nominated slate. The hearing committee elects its chair.

Pending a final decision on the dismissal, the faculty member is suspended only if immediate harm to him or herself or to others is threatened by continuance. If the president believes such suspension is warranted, consultation takes place with the Faculty Senate Committee on Reconciliation concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.

Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the
charges or asserting that the charges do not support a finding of adequate cause. In such a case, the hearing committee evaluates all available evidence and makes its recommendation based on the evidence in the record.

The committee, in consultation with the president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentation or other evidence. The administration cooperates with the hearing committee in securing witnesses and evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements from unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The president and the faculty member are notified of the recommendation in writing and are given a written copy of the recording of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity to respond.

**Appeal to the Board of Visitors:** If the president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board). The board’s review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the committee with specific objections. The committee then reconsiders, taking into
account the stated objections and receiving new evidence if necessary. The board makes a final decision only after studying the committee’s reconsideration.

Notice of termination/dismissal: In cases where gross misconduct is decided, termination is usually immediate. The standard for gross misconduct is behavior so egregious that it evokes condemnation by the academic community generally and is so utterly blameworthy as to make it inappropriate to offer additional notice or severance pay. The first faculty committee that considers the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty member with tenure receives up to one year of salary or notice, and (b) a probationary faculty member receives up to three months’ salary or notice. These terms of dismissal begin on the date of final notification of dismissal.

3.7 Faculty Grievance Policy and Procedures

The following procedures are provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by tenured or tenure-track faculty members.

3.7.1 Ombuds, Mediation Services, and Faculty Senate Committee on Reconciliation

Informal dialogue: It should be possible to resolve most faculty concerns or complaints through informal communication among colleagues working together in the academic enterprise. Accordingly, a faculty member who feels there is a grievance is encouraged to take it to the immediate supervisor in the collegial spirit of problem solving rather than as a confrontation between adversaries.

University Ombuds: Any member of the university community may visit the university Ombuds Office. The Ombuds listens and explores options for addressing and resolving concerns or complaints. The Ombuds Office does not have the authority to make decisions or to reverse any decision made or actions taken by university authorities. The Ombuds Office supplements, but does not replace, the university's existing resources for conflict resolution and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Ombuds Office will not accept legal notice on behalf of the university, and information provided to the Ombuds Office will not constitute such notice to the university. Should someone wish to make the university formally aware of a particular problem, the Ombuds Office can provide information on how to do so. The only exception to this pledge of confidentiality is where the Ombuds Office determines that there is an imminent risk of serious harm, or if disclosure is required by law.

To preserve independence and neutrality, the Ombuds Office reports directly to the president. The Ombuds Office does not keep permanent records of confidential communications.

Faculty Senate Committee on Reconciliation: At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Faculty Senate Committee on
Reconciliation in fashioning an equitable solution. Contacting the Faculty Senate Committee on Reconciliation is not required in filing a grievance, but it may be useful if the grievant feels that the issue may be amenable to, but will require time for, negotiation; or if the grievant is unsure whether the concern is a legitimate issue for a grievance; or if personal relations between the parties involved in the grievance have become strained.

For a potential grievance issue to qualify for consideration by the Faculty Senate Committee on Reconciliation, the grievant must contact the chair of the Faculty Senate Committee on Reconciliation within 30 calendar days of the time when the grievant knew or should have known of the event or action that is the basis for the potential grievance, just as if beginning the regular grievance process. If the grievant requests assistance from the Faculty Senate Committee on Reconciliation, that committee requests a postponement of the time limits involved in the formal grievance procedure while it deals with the case. The request is submitted in writing to the vice provost for faculty affairs by the chair of the Faculty Senate Committee on Reconciliation. Also, the grievant should reach an understanding with the Faculty Senate Committee on Reconciliation of the time frame planned for that committee’s work on the case, such time not to exceed 60 calendar days.

Faculty members may also consult the Faculty Senate Committee on Reconciliation about serious disagreements with immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the committee contacts the relevant administrator to determine if there is an interest and willingness to explore informal resolution of the dispute; it is not necessary to notify the Office of the Executive Vice President and Provost.

Mediation:
Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of mediators: Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting mediation: Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. In the event that the parties are
not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

3.7.2 The Formal Grievance Procedure
If the assistance of the Faculty Senate Committee on Reconciliation is not desired or is not requested; or if that committee determines that it cannot provide assistance in the matter; or if the grievant finds that the length of time the Committee on Reconciliation plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of that committee, the grievant may pursue the issue as a formal grievance through the following procedure. Department heads, chairs, or school directors, deans, directors, and other administrative faculty will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of the case.

**Step one:** The grievant must meet with the immediate supervisor (usually the department head, chair, or school director) within 30 calendar days of the date that grievant knew or should have known of the event or action that is the basis for the grievance and orally identifies the grievance and the grievant’s concerns. The supervisor provides an oral response to the grievant within five weekdays following the meeting. If the supervisor’s response is satisfactory to the grievant, that ends the matter.

**Step two:** If a satisfactory resolution of the grievance is not achieved by the immediate supervisor’s oral response, the grievant may submit a written statement of the grievance and the relief requested to the immediate supervisor. This statement must be on the faculty grievance form, must define the grievance and the relief requested specifically and precisely, and must be submitted to the immediate supervisor within five weekdays of the time when the grievant received the immediate supervisor’s oral response to the first step meeting. Faculty grievance forms are available on the provost’s Faculty Forms page. Within five weekdays of receiving the written statement of the grievance, the immediate supervisor, in turn, gives the grievant a written response on the faculty grievance form, citing reasons for action taken or not taken. If the written response of the immediate supervisor is satisfactory to the grievant, that ends the matter.

**Step three:** If the resolution of the grievance proposed in the written response by the immediate supervisor is not acceptable, the grievant may advance the grievance to the next level of university administration by checking the appropriate place on the faculty grievance form, signing and sending the form to the next level administrator within five weekdays of receiving the written response from the immediate supervisor. The next level of administration for college faculty is usually the college dean. The administrator involved at this next level is hereafter referred to as the second-level administrator. Following receipt of the faculty grievance form, the second-level administrator, or designated representative, meets with the grievant within five weekdays. The
second-level administrator may request the immediate supervisor of the grievant be present; the grievant may similarly request that a representative chosen from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the second-level administrator does not have legal counsel present. The second-level administrator gives the grievant a written decision on the faculty grievance form within five weekdays after the meeting, citing reasons for the decision. If the second-level administrator’s written response to the grievance is satisfactory to the grievant it ends the matter.

**Step four:** If the resolution of the grievance proposed in the written response from the second-level administrator is not acceptable, the grievant may advance the grievance within five weekdays to the level of the provost, including consideration by an impartial hearing panel of the Faculty Senate Review Committee.

Upon receiving the faculty grievance form requesting step four review, the provost, or appropriate designated representative, acknowledges receipt of the grievance within five weekdays and forwards a copy of the Procedures of the Faculty Senate Review Committee to parties in the grievance process. The provost immediately forwards a copy of the grievance to the president of the Faculty Senate, who also writes to the grievant to acknowledge receipt of the grievance within five weekdays of receipt of the faculty grievance form from the provost.

The grievant may petition the provost to bypass the Faculty Senate Review Committee and rule on the grievance. If the provost accepts the request, there is no subsequent opportunity for the grievance to be heard by a hearing panel. The provost's decision, however, may be appealed to the president, as described in step five. If the provost does not accept the petition, the Faculty Senate Review Committee hears the grievance as outlined in these procedures.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

**Hearing panel:** A hearing panel consists of five faculty members appointed by the chair of the Faculty Senate Review Committee from among the members of the Faculty Senate Review Committee. The chair of the Faculty Senate Review Committee polls all appointees to ensure that they have no conflict of interest in the case. Both parties to the grievance may challenge one of the appointments, if they so desire, without need to state cause, and the chair of the Faculty Senate Review Committee appoints the needed replacement or replacements. Other replacements are made only for cause. The chair of the Faculty Senate Review Committee rules on issues of cause.

To ensure uniformity in practice, the chair of the Faculty Senate Review Committee or designee serves as the non-voting chair of each hearing panel. If the chair of the Faculty Senate Review Committee has a conflict of interest concerning a case, the chair appoints a disinterested third party from among the members of the Faculty Senate Review Committee not already appointed to the hearing panel for the case to serve as chair of the hearing panel.
Hearings: After a hearing panel is appointed, the chair of the Faculty Senate Review Committee requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Faculty Senate president. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling. The hearing is then reconvened as appropriate.

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak on their behalf if so requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsels are present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel.

Findings and recommendations: The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Faculty Senate president. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the provost, the grievant, and the chair of the Faculty Senate Review Committee.

Provost’s action: The provost meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant about the prospects for disposition of the case. Within 10 weekdays of that meeting, the provost sends to the grievant the decision in writing concerning the disposition of the grievance. If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel that ends the matter.

Step five: If the provost’s decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the president within 20 calendar days. The president’s decision is final.

3.7.3 Timeliness of Grievance and Procedural Compliance (see chart below)
A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time when the event or action should have been known and is the basis for the grievance. The university administration is not required
to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution was accepted as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the enforcement of the most recently proposed resolution. The finding on the matter by the chair of the Faculty Review Senate Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee (or the vice president of the senate if the president is also chair of the Faculty Senate Review Committee) is convened to rule on the question, as in disputes about the validity of issues qualifying for the grievance procedure. The special committee has the following options. It can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a significant procedural violation did occur. If the administrator committed a significant procedural violation, the grievance automatically qualifies for advancement to the next step in the grievance process. If the grievant committed a significant procedural violation, the grievance process ends at that point with the last proposed resolution established as the final disposition of the case.

3.7.4 Valid Issues for Grievance
For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation; unreasonable merit adjustment or salary level; excessive teaching load/work assignments; substantive violations of promotion and tenure procedures including the appeal process (see appeal process in chapter three, “Appeals of Decisions on Reappointment, Tenure, or Promotion”); reprisals; substantive error in the application of policy; and matters relating to academic freedom.
Issues not open to grievance: While most faculty disputes with the university administration may be dealt with by this grievance policy, the following issues may not be made the subject of a grievance: determination of policy appropriately promulgated by the university administration or the university governance system; those items falling within the jurisdiction of other university policies and procedures (for example, complaints of unlawful discrimination or harassment, or an appeals of non-reappointment, promotion and/or tenure) related to the merits of a promotion and/or tenure decision; the contents of personnel policies, procedures, rules, regulations, ordinances, and statutes; the routine assignment of university resources (e.g., space, operating funds, parking, etc.); usual actions taken, or recommendations made, by administrators or committee members acting in an official capacity in the grievance process; termination of appointment by removal for just cause, non-reappointment, or abolition of position; or allegations of misconduct in scholarly activities.

Adjudication of disputes on the validity of issues qualifying for consideration under the faculty grievance procedures: If a university administrator rules that an issue does not qualify for the grievance process, the grievant may write to the chair of the Faculty Senate Review Committee within five weekdays of receiving such notification and request a ruling from a special committee consisting of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

3.7.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost's Faculty Forms page.)

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from the assigned work location at the time the event or action is discovered and is the basis for a grievance, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing.
to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such a time as the grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers there is a grievance about actions by an administrator above the level of immediate supervisor that directly involve the faculty member, or with actions by an administrator not in the department that directly involve the faculty member, the grievant initiates the grievance process by seeking the intervention of the immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in the usual fashion.

A grievance filed by a faculty member concerning an action of the provost is handled by the chair of the Faculty Senate Review Committee and a regular impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the president for ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of the president of the university is dealt with by a special panel appointed by the provost in consultation with the president of the Faculty Senate.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations, or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.
3.7.6 Overview of the Formal Grievance Process for Tenured and Tenure-Track Faculty

Below is an abbreviated overview of the grievance process and deadlines. Refer to chapter three, “The Formal Grievance Procedure,” for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of the grievant and the administrator involved in that step. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)

Overview of the Formal Grievance Process for Tenured and Tenure-Track Faculty

<table>
<thead>
<tr>
<th>Step One</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 30 days of the event</td>
<td>1a.</td>
<td>Grievant meets with immediate department head, chair, school director, or supervisor.</td>
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<tr>
<td>Within 5 weekdays of 1a.</td>
<td>1b.</td>
<td>Department head, chair, or school director provides verbal response.</td>
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<td></td>
<td>1c.</td>
<td>If department head, chair, or school director’s response is satisfactory to grievant, that ends the matter.</td>
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<tr>
<td></td>
<td>1d.</td>
<td>If department head, chair, or school director’s response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
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<tr>
<th>Step Two</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays of 1d.</td>
<td>2a.</td>
<td>Grievant submits written grievance to department head, chair, or school director.</td>
</tr>
<tr>
<td>Within 5 weekdays of 2a.</td>
<td>2b.</td>
<td>Department head, chair, or school director responds in writing on grievance form.</td>
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<tr>
<td></td>
<td>2c.</td>
<td>If department head, chair, or school director’s response is satisfactory to grievant, that ends the matter.</td>
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<tr>
<td></td>
<td>2d.</td>
<td>If department head, chair, or school director’s response is not satisfactory to grievant, move to step three within 5 weekdays.</td>
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<tr>
<td>Step Three</td>
<td>Step Number</td>
<td>Description</td>
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<tr>
<td>Within 5 weekdays of 2d.</td>
<td>3a.</td>
<td>Grievant advances grievance form to the second-level administrator (usually dean).</td>
</tr>
<tr>
<td>Within 5 weekdays of 3a.</td>
<td>3b.</td>
<td>Dean meets with grievant; dean may request department head, chair, or school director to be present.</td>
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<tr>
<td>Within 5 weekdays of 3b.</td>
<td>3c.</td>
<td>Dean responds in writing on grievance form.</td>
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<tr>
<td></td>
<td>3d.</td>
<td>If the dean’s written response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>3e.</td>
<td>If the dean’s written response is not satisfactory to grievant, move to step four within 5 weekdays.</td>
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<tr>
<th>Step Four</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays of 3e.</td>
<td>4a.</td>
<td>Grievant advances grievance form to the provost.</td>
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<tr>
<td>Within 5 weekdays of 4a.</td>
<td>4b.</td>
<td>Provost acknowledges receipt of grievance and forwards copy to Faculty Senate president to receive recommendation of an impartial hearing panel of the Faculty Senate Review Committee.</td>
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<tr>
<td>Within 5 weekdays of 4b.</td>
<td>4c.</td>
<td>Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.</td>
</tr>
<tr>
<td>Within 15 weekdays of 4b.</td>
<td>4d.</td>
<td>Faculty Senate Review Committee chair appoints hearing panel from among Faculty Senate Review Committee members; panel holds its initial meeting with both principals.</td>
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<tr>
<td>Within 45 weekdays of 4d.</td>
<td>4e.</td>
<td>The hearing panel concludes its work and makes recommendations to the provost and grievant.</td>
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Within 10 weekdays of 4e.  
4f.  The provost meets with grievant.

Within 10 weekdays of 4f.
4g.  The provost notifies grievant in writing of the decision.

4h.  If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendation of the hearing panel, that ends the matter.

4i.  If the provost’s decision is not acceptable to the grievant and not consonant with the recommendation of the hearing panel, move to step five within 20 calendar days.

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<tr>
<th>Step Five</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 20 calendar days of 4i.</td>
<td>5a.</td>
<td>Grievant appeals in writing to the president.</td>
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<td></td>
<td>5b.</td>
<td>The president’s decision is final.</td>
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### 3.8 Study-Research Leave

Study-research leave may be granted to faculty members for research and/or advanced study necessary to enhance the competencies of those faculty members to conduct their obligations to the university.

Full-time tenured faculty members with the rank of associate professor or higher, having accrued a minimum of six years of service, are eligible for study-research leave. Requests may be submitted prior to completion of six years of service, but faculty members must have tenure and have completed the sixth year before the leave period begins.

Following a period of study-research leave, an additional six years of full-time service are necessary before a faculty member is eligible for another leave. Time spent on study-research leave, educational leave, or leave without pay is not considered in compiling minimum service requirements for further leaves.

As part of the commonwealth’s educational leave program, recipients of study-research leaves are provided with partial salary (not to exceed one-half salary). Full employee benefits remain in
force while faculty members are on study-research leaves. Calendar year faculty on study-research leave earn annual leave at a rate of half their usual annual leave earnings.

Instead of a proposal for leave of a full academic or calendar year, faculty members may propose a sequence of semester leave periods at half-salary over several years, not to exceed in total one academic year (for a faculty member on academic year appointment) or 12 months (for a faculty member on calendar year appointment). If such a sequence of leaves is undertaken, all intervening periods of full-time appointment at Virginia Tech accrue toward the six-year minimum service required before eligibility for another study-research leave or sequence of leaves.

Alternatively, following completion of any study-research leave, faculty members may propose a single semester of study-research leave at half-salary following three years of full-time service to the university.

Recipients of a study-research leave may receive additional compensation from other approved sources up to a total equal to their annual salary from the university. Faculty members may receive the additional half salary from sponsored grants or contracts, resulting in a one-year period at full salary from university sources; the appropriate level of effort must be expended on grant-related activities. They may also obtain additional funds from external sources to cover expenses for travel, research, administrative assistance, and the purchase of relevant materials. Documentation of all external earnings and expected payments is required and must be reviewed and approved by the department head, chair, or school director and provost. Engagement in consulting activities must be consonant with existing university policy.

The request for study-research leave is made in the fall and, if approved, is taken the following academic year. Requests for study-research leave should be submitted to the department head, chair, or school director by November 1 for processing through the college, provost, and consideration by the Board of Visitors at the March (or spring) meeting of the board. Requests are forwarded to the board, subject to recommendation of the department head, chair, or school director, dean, and the provost, with consideration of the need for effective continuation of the department’s program. Specific leave request due dates are established annually and made available in the Calendar of Important Dates found on the provost’s Faculty Forms page.

Listed below are changes to an approved study research leave that require department, college, and provost approval but do not require additional review by the Board of Visitors:

- Postponement of study-research leave for up to 1 year;
- Change from a full year study-research leave to a half-year leave (or vice-versa);
- Change in the location of the study-research leave;
- Cancellation of study-research leave.

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave or repay the university the salary received plus interest. If less than this required period of service is met, repayment is required proportional
to the compensation provided by the university during the leave period. The faculty member, before undertaking the leave, must sign a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and department head, chair, or school director summarizing accomplishments.

3.9 Research Assignment
Research assignment is a special category of study-research leave that is awarded to a tenured academic faculty member for one semester of intensive study or research that increases the quality of the individual’s professional stature and future contributions to the university. It may be taken in lieu of an ordinary yearlong study-research leave.

Full-time tenured faculty members with the rank of associate professor or higher, having accrued a minimum of six years of service, are eligible for research assignment leave. Following such a leave, an additional six years of full-time service is necessary before a faculty member may be considered for another research assignment. Requests may be submitted prior to completion of six years of service, but faculty members must have completed the sixth year before the leave period begins. Faculty members on calendar year appointments may take research assignment leave for up to six months.

Approval for research assignment provides the faculty member with full salary and related benefits for the period of the leave; faculty members may not take on additional responsibilities for outside income except as allowed by the university’s consulting policy. Modest stipends associated with competitive visiting scholar programs at other institutions, competitive national or international fellowships, the Fulbright Scholar Program, and similar prestigious opportunities to support study and/or scholarly research may be approved where there is clear benefit to the faculty member and the university. Similarly, externally funded reimbursements or allotments for travel, temporary relocation, and other expenses associated with the proposed research assignment may be approved. Documentation of all external earnings and expected payments is required and must be reviewed and approved by the department head, chair, or school director and provost. When a faculty member proposes a period of paid employment greater than 50% of the annual salary in a corporate or governmental setting, leave without pay or a contract through the Intergovernmental Personnel Act may be more appropriate than a research assignment.

The primary privilege of a research assignment is entire relief from teaching and administrative duties for one semester. A secondary privilege is that the assignment may be carried out at any location approved by the dean, although research programs that require facilities, University Libraries resources, or collaborations not available at the university are given special consideration.

An application for research assignment should be submitted to the appropriate department head, chair, or school director by November 1 of the academic year preceding that in which the research assignment will be made. Application forms are available from the provost’s Faculty Forms page. The application should be in the form of a letter, which includes a detailed description of the
proposed research or other scholarly project, the location of that activity, and the relevance of the proposed activity in contributing to the faculty member’s own scholarly research program. The department head, chair, or school director reviews the application and forwards it with a recommendation to the college dean by mid-November indicating the provisions that will be made to accommodate the faculty member’s teaching and advising responsibilities. The dean is expected to weigh fiscal and academic load considerations to assure an equitable distribution of the awards. The dean forwards research assignment requests to the provost by mid-December. The provost reviews the recommendations, communicates with the deans, and announces the results to each candidate, following approval by the Board of Visitors. Specific leave request due dates are established annually and made available in the Calendar of Important Dates found on the provost’s Faculty Forms page.

Specific leave request due dates are established annually and available in the Calendar of Important Dates on the provost’s website. Listed below are changes to an approved research assignment that require department, college, and provost approval but do not require additional review by the Board of Visitors:

- Postponement of research assignment for up to 1 year;
- Change from a full year research assignment to a half-year leave (or vice versa);
- Change in the location of research assignment;
- Cancellation of the research assignment.

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave. If less than this required period of service is met, repayment is required of a proportion of the compensation provided by the university during the leave period. The faculty member, before undertaking the research assignment, must sign a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and department head, chair, or school director summarizing accomplishments.

3.10 Modified Duties

The university recognizes the need for all tenured and tenure-track faculty members to balance the commitments of family and work. Special family circumstances, for example, birth or adoption of a child, severe illness of an immediate family member, or even issues of personal health, can cause substantial alterations to one’s daily routine, thus creating a need to construct a modified workload and flexible schedule for a period of time.

Since the circumstances may vary widely for faculty members at different stages of their careers and with different family and workload situations, this policy does not prescribe the exact nature of the accommodation. In many cases, it may be a reduction or elimination of a teaching assignment while the faculty member continues to meet ongoing, but more flexible research and graduate student supervision obligations. In general, the university’s commitment is to work with a faculty member to devise a modified workload and schedule that enables the faculty member
to remain an active and productive member of the department. Because there is no reduction in salary, the faculty member is expected to have a set of full-time responsibilities.

An eligible faculty member is encouraged to speak with the department head, chair or school director as soon as possible about the need for modified duties to ensure the maximum amount of time for planning. A department chair, in conjunction with the dean, is responsible for working with a faculty member to ensure a fair plan for modified duties is implemented, if possible, budgetary constraints are considered, and student or other needs are met. The policy does not create an entitlement if there are legitimate business-related reasons for denying the request. Final decisions about the nature of the modified duties are the responsibility of the department head, chair, or school director in consultation with the dean.

The provisions of this policy cannot adequately address all individual circumstances. Sick leave (including disability), leave without pay, or permanent reduction in appointment to part-time status may be options to consider for longer-term or more demanding needs. This policy is not intended to provide release time from teaching for the purpose of allowing additional time for research. Reduction in teaching assignments for research purposes is the prerogative of the department and a function of the university’s program of study-research leaves.

**Extension of the probationary period** (see chapter three, “Extending the Tenure Clock”) is available to faculty members on tenure-track appointments who are confronted with extenuating personal or family circumstances, or birth or adoption of a child. The extension may be requested as a complement to a request for modified duties. However, the semester of modified duties does not automatically affect the tenure probationary period.

**Eligibility:** Modified duties may be requested by any faculty member in a full-time tenured or tenure-track appointment for the purpose of managing family responsibilities or, in exceptional cases, personal health issues not addressed by sick leave. The policy applies to eligible faculty upon employment.

**Guidelines:** The period of modified duties is one semester, or an equivalent amount of time for those faculty members whose responsibilities are not tied directly to teaching on the academic calendar.

Modification of duties should not result in additional duties during the subsequent semester, e.g., the faculty member should not be asked to make up the released teaching before or after the semester of modified duties. The faculty member cannot be employed by another institution during the period of modified duties, nor can the release time be used for extensive professional travel or other increased professional activities (including consulting) that do not meet the goals of the policy.

Medical documentation is required if the period of modified duties is requested related to a health issue not addressed by sick leave.
A semester of modified duties should be considered in addition to, not as a substitute for, sick leave, family leave and paid parental leave available to those giving birth or adopting during the period of the appointment (i.e., during the academic year for those on academic year appointments, or any time for those on calendar year appointments). There are no work expectations for individuals on approved sick or family leave.

Requests for outside consulting during the period of modified duties are not usually approved.

A faculty member should submit a request for modified duties as early as possible so the department can plan appropriately. The request form is available on the provost’s Faculty Forms page. The plan of proposed activities is developed in consultation with the department head, chair, or school director and the dean. The duties can be department-based, college-based, or a combination.

Subject to available funding, the Office of the Executive Vice President and Provost provides an allotment to the faculty member’s unit to replace teaching (or to use in other ways relevant to the modification of duties) that is lost through the granting of a term of modified duties. Additional support from departments, schools, and colleges is strongly encouraged, and should be noted in the request.

Approval of the department head, chair, school director, dean, and provost is required. If the department head, chair, or school director does not support the request, the reasons for denial are provided in writing, and the request is automatically forwarded to the dean for further review. The decision of the dean is final.

CHAPTER FOUR
LIBRARIES FACULTY WITH CONTINUED APPOINTMENT OR ON THE CONTINUED APPOINTMENT-TRACK

4.0 Employment Policies for University Libraries Faculty with Continued Appointment or on the Continued Appointment-Track
4.1 University Libraries Faculty with Continued Appointment or on the Continued Appointment-Track

As the primary means through which students and faculty gain access to the storehouse of organized knowledge, the University Libraries perform a unique and indispensable function in the educational process. In this function, faculty members of the University Libraries share many of the professional concerns of their colleagues in all colleges. The university recognizes the need to protect the academic freedom of librarians in their responsibility to ensure the availability of
information and ideas, no matter how controversial, so that teachers may freely teach, and students may freely learn.

Continued appointment is the equivalent of tenure in the university’s colleges. Faculty members in the University Libraries may hold continued appointment or may be on the continued appointment-track; just as college faculty may be tenured or on the tenure-track (see chapter three). Provisions for term (fixed period) appointments during a probationary period are parallel to those for members of the college faculty. Evaluation for continued appointment (in contrast to term appointment) is made no later than the sixth year of such a probationary period.

A University Libraries faculty member with continued appointment will have continued employment until retirement with termination of employment based only on unsatisfactory performance, proof of misconduct, discontinuance, or reduction in a segment of the university's research or educational program, or University Libraries reorganization because of changing patterns of University Libraries service or technological advances.

If a position held by a University Libraries faculty member with continued appointment is eliminated or changes to such a degree that the incumbent can no longer fulfill the requirements, every effort will be made to reassign the faculty member to another position. If the position of a University Libraries faculty member with continued appointment is terminated, it will not be re-established and refilled within a period of two years unless the appointment has been offered to and declined by the faculty member who was originally displaced.

Tenure awarded to faculty of the University Libraries before July 1, 1983, continues to be recognized.

The Library Faculty Association and the dean of University Libraries have developed procedures for probationary appointment, continued appointment, and promotion for faculty of the University Libraries, including evaluative criteria, to instill the highest professional standards in the University Libraries faculty. These procedures are contained in Procedures on Promotion and Continued Appointment in University Libraries.

The University Promotion and Continued Appointment Committee reviews recommendations for continued appointment and for promotion in rank above the level of assistant professor and makes recommendations to the provost.

The University Promotion and Continued Appointment Committee is comprised of representatives from the libraries and colleges who serve in staggered terms. The schedule of these appointments can be found on the provost’s Promotion & Tenure page.

4.2 University Libraries Faculty Ranks
Specification of faculty rank in the University Libraries does not imply a particular rank in any college department. University Libraries faculty may be invited to hold concurrent adjunct status
in a college department in order to formally recognize their contributions to the undergraduate or graduate program.

### 4.2.1 Instructor
The rank of instructor is for University Libraries faculty whose positions have been designated for continued appointment-track and who have not completed the terminal degree. Annual appointments may be renewed within the limits of a probationary period. Ordinarily, continued appointment would not be awarded at the instructor rank, although time spent at this rank counts in the probationary period leading to continued appointment. A master’s degree or significant professional experience is the minimum expectation for appointment at this rank. Specification of faculty rank in the University Libraries does not imply a particular rank in any college department. University Libraries faculty may be invited to hold concurrent adjunct status in a college department in order to formally recognize their contributions to the undergraduate or graduate program.

The dean of University Libraries with approval of the provost and president may recommend instructors in University Libraries for promotion to assistant professor. Final approval rests with the Board of Visitors.

Promotion of University Libraries faculty to the ranks of associate or professor is conducted in accordance with procedures in chapter four, “Evaluation Procedures for Promotion and Continued Appointment.”

### 4.2.2 Assistant Professor
The rank of assistant professor is the usual rank of initial appointment for faculty on the continued appointment-track. Appointment to the rank of assistant professor carries with it professional responsibilities in learning, discovery, and engagement. An assistant professor may be assigned responsibility for teaching graduate courses and for supervising master’s theses and dissertations, as well as serving on graduate student committees. The terminal degree appropriate to the field is expected for appointment to this rank. (Further information regarding appropriate credentials for teaching faculty is in chapter two, “Faculty Credentialing Guidelines,” and on the provost’s Faculty Credentials page.)

### 4.2.3 Associate Professor
In addition to the requirements for assistant professor, a person appointed as associate professor must have demonstrated substantial professional achievements by evidence of an appropriate combination of outstanding teaching, creative scholarship, and recognized performance in University Libraries, or related academic and professional service.

### 4.2.4 Professor
In addition to the requirements for associate professor, appointment to the rank of professor is contingent upon national recognition as an outstanding scholar and educator.
4.2.5 Emeritus or Emerita Designation
The title of emeritus or emerita is conferred on retired professors, associate professors, administrative officers, and faculty with continued appointment who have given exemplary service to the university, and who the president specifically recommends to the Board of Visitors for approval. Their names are listed on the appropriate university website(s). The “Emeritus or Emerita Designation” in Chapter Two provides further guidance to appropriate supervisors, dean, and retiring faculty members concerning emeriti status and continued involvement in the life of the university.

4.3 Appointments with Continued Appointment
An offer of faculty appointment with continued appointment may be made with the review and approval of the appropriate supervisor, the library Promotion and Continued Appointment Committee, the University Libraries dean, a subcommittee of the university promotion and Continued Appointment committee, the provost, and the president. Ultimately, final approval rests with the Board of Visitors.

The dean forwards to the provost and president for their consideration and decision: the candidate’s application package, including cover letter, curriculum vitae, and at least two letters of reference which address the appointment of rank and continued appointment; documentation of the library Promotion and Continued Appointment committee’s approval of rank and continued appointment and concurrence of the dean with as much supporting evidence as deemed appropriate; and a brief overview of the search itself including how many candidates applied, were interviewed, and what is the compelling case for the candidate.

In general, faculty recruited from a comparable university should be recommended for a position at Virginia Tech at a similar level to continued appointment. If the recommended appointment involves a promotion or the initial awarding of a continued appointment, the case must be strongly justified. If an individual is coming from a university with a less extensive research mission, the case must be strongly justified.

4.3.1 Part-Time Continued Appointment and Continued Appointment-Track Appointments
While continued appointment and continued appointment -track appointments are usually full-time, Virginia Tech recognizes the importance of allowing flexibility in the percent of employment so that faculty members can better manage the balance between their professional work and family or personal obligations over a defined period of time, or perhaps permanently. This policy is intended to encourage departments to accommodate reasonable requests for part-time appointments; however, part-time appointments are not an entitlement, and requests may be turned down when the faculty member and the department cannot agree upon a workable plan.

When conducting a search for a continued appointment track position, departments continue to advertise for full-time continued appointment or continued appointment -track positions and must have funding for a full-time hire. Advertisements include information about university policies for
flexible appointments. If desired, the faculty member requests and negotiates a part-time appointment at or after the point of hire if acceptable to the department.

Continued appointment-track faculty members may request a part-time appointment only for reasons of balancing work and family such as the arrival or care of a child, the care of a family member, or for personal circumstances related to the health of the faculty member. In addition, they may request a term part-time appointment only (with specific starting and ending dates) allowing the issue to be revisited on a defined cycle. While such term appointments can be renewed throughout the probationary period, a permanent part-time appointment may not be granted until continued appointment is awarded.

Faculty members with continued appointment may request either term or permanent part-time appointments for reasons stated above, or to balance work at Virginia Tech with professional practice or significant community or public service, for example, a faculty member who wishes to serve as a consultant in addition to an appointment at Virginia Tech; a faculty member who wishes to engage in entrepreneurial activity outside of university responsibilities; or a faculty member who runs for public office for a limited term and wishes to reduce the workload at Virginia Tech for that period. Other reasonable justifications may be considered if approved by the department head or chair, University Libraries dean, and provost.

4.3.1.1 Part-Time Term Continued Appointment and Continued Appointment-Track Appointments

Part-time continued appointment and continued appointment-track appointments are either term or permanent. Term part-time appointments are in increments from one semester up to two years. During the duration of a part-time term appointment, terms of the appointment are only changed via the agreement of all parties. A term agreement must specify the date on which the faculty member is expected to return to full-time status. Renewal of a term appointment should be negotiated no less than three months before the end of the current term so that the department can plan accordingly. For term part-time appointments, departments can use the salary savings to replace the work of the faculty member on the part-time appointment.

Only the faculty member may initiate a request for conversion from full-time to part-time appointment. The reasons for the request for a change in the percentage of the appointment should be clearly stated. The appropriate supervisor should make a careful assessment of the needs of the department and works with the faculty member requesting a part-time appointment to facilitate the request whenever possible. The period for which this part-time appointment is granted shall be clearly stated (renewable terms from one semester up to two years, or permanent). The written agreement should include a careful and thorough statement of work expectations for the part-time appointment. Generally, faculty members continue to contribute to all areas of responsibility, but with reduced expectations for accomplishment proportional to the fractional appointment. Service responsibilities for faculty members on part-time appointments are proportional to their appointments. Faculty members on part-time appointments are not
excused from regular departmental, division, or university service because of the part-time appointments.

The written agreement for either an initial appointment or a conversion of a full-time appointment to part-time status and any subsequent renewal requires the approval of the faculty member, the appropriate supervisor, University Libraries dean and provost.

An initial term part-time appointment, either continued appointment or continued appointment-track, may be approved to accommodate a dual career hire if funding is not immediately available to support a full-time position, or if the faculty member seeks a part-time appointment consistent with the intent of this policy. The expectation is that the subsequent reappointment, if recommended, is for a full-time position, unless the faculty member requests a renewal of the term part-time appointment in accordance with these guidelines. A part-time appointment created for a dual career hire is approved through the usual approval processes for dual career hires. (See chapter two, “Dual Career Program.”)

Faculty members on part-time appointments, whether term or permanent, retain all rights and responsibilities attendant to their appointment as a continued appointment and continued appointment-track faculty member.

**4.3.1.2 Permanent Part-Time Continued Appointments**

For permanent part-time continued appointments with no end date, a return to a full-time appointment is not guaranteed. If holding continued appointment, the faculty member remains entitled to the continued appointment on the part-time basis only. However, an increase in the percentage of the appointment up to full-time may be renegotiated between the faculty member and appropriate supervisor if mutually agreeable and funds are available. The department and the dean determine the best way to cover the costs of the work in the case of conversion to a permanent part-time appointment.

Faculty members on part-time appointments, whether term or permanent, retain all rights and responsibilities attendant to their appointment as a continued appointment and continued appointment-track faculty member.

Part-time appointments are made for any fraction 50% or greater of a full-time appointment; faculty members receive proportional salary. Faculty members considering such appointments are strongly encouraged to meet with representatives in the benefits office in Human Resources to gain a clear understanding of the consequences of the change to their benefits. Office and laboratory space may be adjusted for longer term or permanent part-time appointments.

**4.4 Continued Appointment and Promotion**

The university has a tradition of upholding academic freedom. It endorses the “1940 Statement of Principles on Academic Freedom and Tenure” of the American Association of University
Members of the University Libraries faculty not holding appointments in a college department may be considered for continued appointment or for promotion in faculty rank in recognition of appropriate professional accomplishments as noted in the sections above.

4.4.1 Continued Appointment Eligibility

Like tenure, continued appointment is for the protection of the academic freedom of University Libraries faculty who are engaged in creating new programs and scholarship. Eligibility for continued appointment consideration is limited to faculty members holding regular faculty appointments of 50% percent to 100% percent in the University Libraries. Continued appointment is not granted to faculty members with temporary appointments. Individuals holding continued appointment who are appointed to administrative positions, however, retain the status and privileges of continued appointment.

4.4.2 Pre-Continued Appointment Probationary Period and Progress Reviews

The term “probationary period” (“pre- continued appointment”) is applied to the succession of term appointments, which an individual undertakes on a full- or part-time regular faculty appointment, and during which evaluation for reappointment and for an eventual continued appointment takes place. The beginning of the probationary period for faculty members on term appointments is taken as July 1 or August 10 of the calendar year in which their initial full-time appointment begins, depending on whether they are on a calendar year or academic year appointment, regardless of the month in which their services are initiated. (The probationary period for new faculty appointed for spring semester begins the following fall even though the spring contract period officially begins December 25.)

Under usual circumstances, library promotion and continued appointment committees review the professional progress and performance of pre- continued appointment faculty members twice during the probationary period, usually in their second and fourth or third and fifth years. The timing of the reviews depends upon the nature of the faculty member’s discipline and must be clearly indicated in written departmental policies. The terms of offer (TOFO) identify the initial appointment period. Pre-continued appointment reviews may be delayed if there is an approved extension as described below. Changes or variations in the standard review cycle must be documented in writing.

The initial review for a part-time faculty member should be no later than the third year of service (regardless of percentage of employment) to give early feedback on their progress. At least two reviews should be conducted for part-time faculty members during their probationary period; more are recommended. The anticipated schedule for such reviews for appointment and for the mandatory review for continued appointment should be documented in writing as part of the
agreement for the part-time appointment. Changes should be agreed upon and documented by the faculty member and the department.

Reviews are substantive and thorough. At a minimum, library promotion and continued appointment committees must review the faculty member’s relevant annual faculty activity reports, peer evaluations, and authored materials.

The pre-continued appointment reviews should analyze the faculty member’s progress toward promotion and continued appointment and offer guidance regarding future activities and plans. Pre-continued appointment faculty should be encouraged to develop a narrative about their scholarship goals with special emphasis on the place of their research and creative activity. Although this narrative may change across time, creating the context for their work can assist candidates in understanding how to continue to develop professionally in a national and international context in preparation for promotion and continued appointment. The dean or director, the mentor(s), and the library promotion and continued appointment committee should engage in discussions with instructors and assistant professors across the probationary period to encourage professional growth and development of the candidate’s scholarly work.

All reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for the faculty member’s division-level file. In addition, the Library Promotion and Continued Appointment Committee and the dean meet with the faculty member to discuss the review and recommendations. Individual faculty members are also encouraged to seek guidance and mentoring from senior colleagues. Pre-continued appointment faculty members bear responsibility for understanding expectations for promotion and continued appointment and for meeting those expectations.

The initial appointment for instructors and assistant professors (or those appointed to higher ranks) without continued appointment is ordinarily for a period of not less than two years. Multiple-year reappointments may be subsequently recommended.

The maximum total period for full-time probationary appointments is six years unless an approved extension is granted. Decision about continued appointment, if not made earlier, is made in the sixth year of the probationary appointment. If the continued appointment decision made in the sixth year is negative, a one-year terminal appointment is offered.

Pre-continued appointment faculty members may request a term part-time appointment as described in chapter four, “Part-Time Continued Appointment and Continued Appointment-Track Appointments,” for reasons of balancing work and family or personal health issues. In such cases, the probationary period is extended proportionately. For example, two years of service at 50% percent counts as one year of full-time service. The term appointment may be renewed. (A permanent part-time appointment may be requested and granted following award of continued appointment.)
In determining the mandatory continued appointment review year for those with partial appointments, general equivalency to full-time appointments is expected, so that approximately five years of full-time equivalent service is expected prior to the mandatory continued appointment review year if no continued appointment clock extensions have been granted; six years if one year of extension is granted, and seven years if two extensions are granted. (In summing partial years of service, a total resulting in a fraction equal to or less than .5 is rounded down, and a fraction greater than .5 is rounded up.) However, review for continued appointment must occur no later than the tenth year of service, resulting in somewhat less full-time equivalent service (4.5 years) for a faculty member with 50% percent appointment throughout all nine probationary years prior to review. If denied continued appointment following a mandatory review, a one-year terminal appointment is offered.

Faculty members on part-time appointments may request a continued appointment clock extension in accordance with procedures described in chapter four, “Extending the Continued Appointment Clock.” (Extensions are granted in one-year increments, not prorated by the part-time appointment percentage.) However, the extension is not approved if it results in a mandatory review date beyond the tenth year.

Up to three years of appropriate service at other accredited American four-year colleges and universities may be credited toward the six-year probationary period, as specified in chapter four, “Guidelines for the Calculation of Prior Service.”

A faculty member on probationary appointment who wishes to request a leave of absence consults with the dean about the effect of the leave on the probationary period, considering the professional development that the leave promises. The request for leave addresses this matter and the provost's approval of the leave request specifies whether the leave is to be included in the probationary period.

4.4.2.1 Extending the Continued Appointment Clock

A one-year probationary period extension is automatically granted to either parent (or both if both parents are continued appointment -track faculty members) in recognition of the demands of caring for a newborn child or a child under five newly placed for adoption or foster care. The request should be made within a year of the child’s arrival in the family.

An extension of the probationary period may also be approved on a discretionary basis for other extenuating non-professional circumstances that have a significant impact on the faculty member’s productivity, such as a serious personal illness or major illness of a member of the immediate family. In rare cases, extraordinary professional circumstances not of the faculty member’s own making may be acceptable justification for a probationary period extension, for example exceptional delays in providing critical equipment, laboratory renovations, or other elements of the committed start-up package essential to establishing a viable research program.
Faculty members who benefit from this policy are expected to fulfill their usual responsibilities during the probationary period extension unless they are also granted a period of modified duties or unless other arrangements are made. (See chapter four, “Modified Duties.”)

Probationary period extensions are granted in one-year increments. A cumulative total of two years is usually the maximum probationary period extension for any combination of reasons. Requests should be made within a year of the qualifying event or extenuating circumstance. The provost may approve exceptions to these limitations.

Faculty members may only be evaluated two times for promotion and tenure or continued appointment. The two evaluations may each be in a non-mandatory year, but in the case of a second non-mandatory negative decision, the faculty member will not be allowed a third evaluation. If the second evaluation results in a negative decision, a one-year terminal appointment is offered.

Requests for a probationary period extension are submitted in writing to the appropriate supervisor. (A form is available on the provost’s Faculty Forms page.) Approval is automatic for new parents. Documentation of medical reasons (other than childbirth or adoption) is required prior to approval; documentation of other extenuating circumstances may also be required. Approvals by the appropriate supervisor, dean, and provost are required for probationary period extensions. The faculty member may appeal denial of the request to the next higher level in their organizational reporting structure.

It is particularly important that all individuals and committees participating in continued appointment reviews understand that any individual who receives a probationary period extension must be held to the same standard—not a higher or more stringent one—to which other candidates without such an extension are held. This is also true in the case where the candidate’s dossier is considered on the original schedule for review. However, in this instance where an approved extension was granted but not utilized, the continued appointment review is not considered mandatory and can be conducted again in the subsequent year without penalty. A probationary extension also usually extends the time frame for each subsequent review and reappointment during the probationary period. For example, an extension granted prior to the fourth-year review and reappointment typically delays that review by one year.

4.4.3 Guidelines for the Calculation of Credit for Prior Faculty Service

At the time of a faculty member’s initial appointment to the University Libraries, the dean notifies the new faculty member of the faculty member’s status regarding continued appointment. Excepting temporary appointments with limited terms, the faculty appointees are given clear notice of when their appointments will be considered for renewal and, if on the continued appointment track, when consideration for continued appointment will be given.

In this latter calculation, appropriate full-time service in another accredited four-year American college or university is credited toward probationary service at Virginia Tech only if the appointed faculty member requests such credit.
In such a request, all prior service is presented if undertaken after the faculty member completes the terminal degree appropriate to the field. A maximum of three years may be credited toward probationary service at Virginia Tech. The request must be made in writing within one year of the initial appointment. The specification of credit for prior service toward the probationary period is subject to the approval of the provost on the recommendation of the dean of University Libraries.

4.4.4 Evaluation for Promotion and Continued Appointment

Promotion to a higher rank or an award of continued appointment may be granted to faculty members on a regular faculty appointment who demonstrate outstanding accomplishments in an appropriate combination of learning, discovery, engagement, and other professional activities. Every faculty member is expected to maintain a current curriculum vitae, with copies filed with the University Libraries. The curriculum vitae together with annual faculty activity reports, student or client evaluations, copies of publications, reference letters, and other similar documents comprise a dossier, which furnishes the principal basis for promotion and continued appointment decisions.

The evaluation of candidates for continued appointment closely parallels the process for tenure consideration for college faculty, and incorporates the same, or similar, elements of procedure whenever relevant or reasonable. Given the small number of faculty members on the continued appointment-track, their dossiers are reviewed at two levels (rather than three as required for college faculty): first by the University Libraries promotion and continued appointment committee and dean of University Libraries, and second by the University Promotion and Continued Appointment Committee and the provost.

Although some participants in the review process may serve at more than one level, participants may only vote once on a case. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Because the job descriptions and responsibilities of the candidates being considered do not conform to a single pattern or norm, it is not possible to set forth a statement of criteria with reference to which all recommendations for promotion or continued appointment must be made. Nevertheless, members of the general faculty seeking continued appointment or promotion in faculty rank are generally expected to have records of outstanding accomplishment in an appropriate combination of the following categories:

**Professional responsibilities:** Fulfilling the responsibilities of the position within the organizational unit by effective staff work, display of leadership, and a high degree of initiative.

**Research and scholarly activities:** Publishing in journals, presenting papers at professional meetings, developing other works of creative scholarship, organizing or chairing sessions at professional meetings, and fulfilling instructional responsibilities or graduate student advising.
**University activities:** Participating in the conduct of the activities of the administrative unit and the university. Such service takes innumerable forms, including serving on committees or in faculty governance positions, or participating in seminars or conferences.

**External activities:** Participating in local, state, regional, and national professional associations. Such participation includes activities such as holding office, serving on committees, conducting workshops, serving on panels, and attending conferences, conventions, or meetings.

**Awards and honors:** Receiving awards, grants, and honorary titles or being selected for membership in honorary societies.

Activities and accomplishments in other appropriate areas, beyond these five, may be included in dossiers and are considered.

University Libraries faculty are expected to develop within this framework the performance criteria that are most relevant to the responsibilities of those units. These criteria serve both as an aid to faculty development and as a set of measures that the University Promotion and Continued Appointment Committee may apply.

The criteria by which faculty with part-time appointments are evaluated for continued appointment is the same as the criteria by which full-time faculty are evaluated. Promotion and continued appointment committees consider years of full-time equivalent service when reaching decisions, excluding any approved probationary period extensions granted under the extending the tenure or continued appointment clock policy.

Besides consideration of specific professional criteria, evaluation for promotion or continued appointment should consider the candidate’s integrity, professional conduct, and ethics. To the extent that such considerations are significant factors in reaching a negative recommendation, they should be documented as part of the formal review process.

**4.4.4.1 Libraries Evaluation for Promotion and Continued Appointment**

The University Libraries has a committee with appropriate faculty representation to evaluate candidates for promotion and/or continued appointment. The library promotion and continued appointment committee makes recommendations to the dean of University Libraries. The dean may chair the committee or remain separate from the committee’s deliberations and subsequently receive its recommendations. (See guidelines in chapter four, “Composition of University Libraries Committees.”) The library promotion and continued appointment committee reviews the cases of candidates for promotion and/or continued appointment including those faculty members in the final probationary year. The dean furnishes the committee with a dossier for each candidate.
4.4.4.2 University Libraries Promotion and Continued Appointment Committee (Review Committee)

Rules governing eligibility and selection of members to serve on the University Libraries promotion and continued appointment committee (review committee), and operating guidelines for the review committee’s deliberations must be documented in written University Libraries-level policies, formally approved by the faculty.

The University Libraries faculty determine who is eligible to serve on the review committee from among faculty members with continued appointment.

The review committee may include appropriate supervisors; however, these members may not vote on cases from their departments since each has already had an opportunity to vote or make a recommendation on those candidates.

If possible, some significant element of faculty choice should be a part of the review committee selection procedure. Where small numbers make an election process impractical, the dean appoints the representative.

If University Libraries supervisors serve on the review committees, their total number is less than that of other faculty members.

Review committee appointments should be staggered to assure continuity from one year’s deliberation to the next. If possible, members should not serve for more than two successive terms.

Selection of the review committee chair is determined in accordance with policies approved by the libraries faculty.

The dean may be present at the review committee’s deliberations. The dean serves in an advisory capacity to the review committee to assure compliance with university procedures and fairness and equity of treatment of candidates. The dean does not vote on review committee recommendations but provides a separate recommendation to the provost.

Faculty members appointed to serve on the university-level promotion and continued appointment committee are encouraged to observe the deliberations of the University Libraries review committee to better prepare for their roles but should not participate or attempt to influence the review committee’s recommendations.

The library promotion and continued appointment committee (review committee) makes a recommendation on each candidate to the dean of University Libraries, including a written evaluation that assesses the quality of the candidate’s performance in each relevant area. The division of the vote is conveyed to the University Promotion and Continued Appointment Committee and the provost but must otherwise remain confidential outside the review committee.
In the absence of a unanimous recommendation, a minority report may be included. Whenever the dean does not concur with the committee’s recommendation, the committee is so notified.

Evaluation for continued appointment is mandated in the sixth year of probationary service unless the faculty member has given written notice of resignation from the faculty. If the review committee feels that the faculty member’s record does not warrant a continued appointment, there is an automatic review of the candidate’s dossier by the dean of University Libraries. If the dean concurs, the faculty member is notified by the dean, in writing, of the decision and the specific reasons for it.

The review committee may ask the candidate to appear before the committee to present additional information or clarification of recommendations.

4.4.4.3 Review and Recommendations by the Dean of University Libraries

The dean of University Libraries will send forward to the provost the complete dossier of every candidate for whom there is a positive recommendation from either the library promotion and continued appointment committee (review committee) or the dean, or both. The dean prepares separate letters of recommendation to be forwarded with the dossiers from their department. Whenever the dean does not concur with the library promotion and continued appointment committee’s recommendation, the review committee is so notified.

The dossiers that the dean sends to the provost are accompanied by a statement describing the formation and procedures of the review committee and a summary of the number of candidates considered by the University Libraries in each category. The division of the vote is conveyed to the university-level committee and provost but must otherwise remain confidential.

4.4.4.4 The University-level Committee Evaluation for Promotion and Continued Appointment

The University Promotion and Continued Appointment Committee (university-level committee) is appointed and chaired by the provost or the provost’s designee. The university-level committee reviews the qualifications of the candidates recommended for promotion and/or continued appointment by the dean of University Libraries. It also reviews those cases in which the dean does not concur with positive recommendations of the library promotion and continued appointment (review committee’s). (A university-level committee review of a case with differing recommendations by the library dean and the review committee is automatic and does not require an appeal.) The purpose of the review is to verify that the recommendations are consistent with the evidence, reflecting university standards, and that they are consistent with university objectives, programmatic plans, and budgetary constraints.

The university-level committee makes a recommendation on each candidate to the provost. The provost makes recommendations to the president, informing the university-level committee of those recommendations, including the basis for any non-concurrence with the university-level
committee’s recommendations. The provost informs the president of any variation between the provost’s recommendations and those of the university-level committee.

The president makes recommendations to the Board of Visitors. The Board of Visitors makes the final decision.

The provost notifies the dean of any negative decision reached by the provost, the president, or the Board of Visitors. The dean notifies the faculty member, in writing, and notes appeal options.

The University Promotion and Continued Appointment Committee (university-level committee) consists of the dean of the University Libraries; three University Library faculty members with continued appointment; and two faculty members at the associate or professor level with tenure in one of the colleges. The provost asks for nominations to the university-level committee from the University Libraries faculty. Where possible, some significant element of faculty choice should be part of the selection procedure.

All members of the university-level committee hold voting privileges. Regardless of the size of the committee, the faculty must always have at least a majority of the potential votes. Consistent with the principle that participants at all levels of the promotion and continued appointment review process vote only once on an individual case, the dean does not vote on cases from the University Libraries. Similarly, faculty members serving on the university-level committee do not vote on any case they previously voted on, should this circumstance occur.

Members of the university-level committee with continued appointment in the University Libraries hold staggered terms of three years; university-level committee members with tenure in a college hold staggered terms of two years; the provost makes the committee appointments. The provost or designee chairs the committee but does not vote.

All voting within the committee should be by written secret ballot; the division of any ballot must remain confidential.

**4.4.5 Appeals of Decisions on Reappointment, Continued Appointment, or Promotion**

A faculty member who is notified of a negative decision following evaluation for a term reappointment during the probationary period, for continued appointment, or for promotion may appeal for review of the decision under conditions and procedures specified in this section. The appellant has a right to an explanation of the reasons contributing to the denial.

Such an appeal must be filed, in writing, within 14 calendar days of formal notification of the decision, which shall refer to appeal procedures. The appeal can only be based on the grounds that certain relevant information was not provided or considered in the decision, or that the decision was influenced by improper consideration.
In their recommendations, administrators and committees hearing an appeal should address the standards outlined in the previous paragraph. In particular, they shall not substitute their own judgment on the merits for that of the body or individual that made the decision under appeal. The recommendations should address the allegations in the appeal with specificity and cite appropriate evidence.

Appeals should be resolved as quickly as possible without compromising fairness or thoroughness of review. Whenever possible, the goal should be to achieve a final resolution in time to accommodate the first meeting of the Board of Visitors in the fall semester.

A faculty member who believes that the appeal procedures described in this section have been improperly followed may, at any point, seek advice from the Faculty Senate Committee on Reconciliation and/or file a grievance in accordance with the grievance procedure in chapter four, “Faculty Grievance Policy and Procedures.”

4.4.5.1 Probationary Reappointment
Faculty members on probationary term appointments should make no presumption of reappointment. Procedures for term reappointment or the granting of continued appointment for members of the University Libraries faculty are developed in the University Libraries. A decision for non-reappointment to a term appointment, based primarily on performance evaluation, is final if reached by the library promotion and continued appointment committee (review committee) and is sustained by the dean of University Libraries, as appropriate. Notice of non-reappointment is furnished according to the schedule in chapter two, “Retirement, Resignation, and Non-Reappointment.” The specific reasons for the decision are provided to the faculty member in writing, if requested.

If the non-reappointment decision is reached by the dean in contradiction to the recommendation of the University Libraries library promotion and continued appointment committee, the faculty member may request that the non-reappointment decision be reviewed by the provost for a final decision.

The faculty member presents the appeal in writing as specified in chapter four, “Appeals of Decisions on Reappointment, Continued Appointment, or Promotion.” The provost may ask the University-level Promotion and Continued Appointment Committee to review the case and make recommendations as an aid to that decision.

4.4.5.2 Continued Appointment Decision
Occasionally faculty members are evaluated for continued appointment during the probationary period, but before the final probationary year. In such a case, there is no recourse to appeal or review of a negative decision, at whatever level it is reached, because of the certainty that the evaluation will be undertaken again within a limited time.

If a faculty member is denied continued appointment in a mandatory review by both the library promotion and continued appointment committee (review committee) and the dean of University
Libraries, the faculty member may appeal the negative decision in writing in accordance with provisions of this section. The appeal is submitted to the provost for review by the University-level Committee for Promotion and Continued Appointment, which shall make a recommendation to the provost for a final decision. No further appeal is provided. The University-level Committee for Promotion and Continued Appointment may choose to hear oral arguments. Substantive procedural violations may be addressed through the grievance process described in chapter four, “Faculty Grievance Policy and Procedures.”

Should the University-level Promotion and Continued Appointment Committee find reason to believe that the review committee’s evaluation was biased or was significantly influenced by improper considerations, the University-level Promotion and Continued Appointment Committee may request that the dean form a new ad hoc review committee. The ad hoc committee makes a recommendation to the University-level Committee for Promotion and Continued Appointment that requested its formation. The University-level Promotion and Continued Appointment Committee then makes a recommendation to the provost.

Should the provost not concur with a positive recommendation from the University-level Committee for Promotion and Continued Appointment, whether that recommendation culminates a usual review or an appeal, the faculty member is so notified in writing of the specific reason for the decision. The faculty member may appeal to the Faculty Senate Review Committee. That committee investigates the case and, if the differences cannot be reconciled, makes a recommendation to the president on the matter. The president’s decision is final.

4.4.5.3 Review of Progress Toward Promotion to Professor

Faculty awarded continued appointment at the rank of assistant or associate professor are required to go through at least one review of progress toward promotion. The review is required for faculty members promoted and awarded continued appointment during 2019-2020 and thereafter. This review will take place by the fifth year after continued appointment, or the last promotion was awarded. The faculty member can elect to submit a review prior to the fifth-year deadline; otherwise by the fifth year the faculty member will receive a notice to submit a review. All reviews of progress towards promotion will be conducted by the library promotion and continued appointment committee (review committee). The review committee will provide a recommendation letter to the candidate prior to the next promotion and continued appointment review cycle. Candidates undergoing a review of progress towards promotion will submit to the library promotion and continued appointment committee (review committee) documentation based on University Libraries policies highlighting the contributions and service since continued appointment or the last promotion was awarded. The review committee will provide feedback focusing on the faculty member’s progress toward promotion. The developmental guidance should focus on recommended future activities and plans that will position the faculty member for promotion. Review committee recommendation letters will be in writing; the faculty member will acknowledge receipt by signing and returning a copy of the letter to the personnel officer for departmental file. In addition, the faculty member may request a meeting with the review
committee to discuss the review and recommendations. Individual faculty members are also encouraged to seek guidance and mentoring from senior colleagues and/or supervisor(s).

4.4.5.4 Promotion Consideration and Decision

There is no specification for minimum or maximum time of service in any rank. A faculty member may request at any time consideration for promotion in rank if the library promotion and continued appointment committee (review committee) has not chosen to undertake such an evaluation. However, appeal of a negative promotion decision is provided only if the faculty member has been in rank for at least six years and if the faculty member has formally requested, in writing, consideration for promotion in a previous year. Candidates for promotion who have been denied by both the review committee and the dean of University Libraries may appeal to the provost, who asks the University-level Promotion and Continued Appointment Committee to consider the appeal. The faculty member presents the appeal in writing as specified in chapter four, “Appeals of Decisions on Reappointment, Continued Appointment, or Promotion.”

The university-level committee makes recommendations to the provost. If the university-level committee and the provost concur with the negative decision, the decision is final; if not, the president makes a final decision.

4.5 Annual Evaluation and Post-Continued Appointment Review

4.5.1 Annual Evaluation and Salary Adjustments

All departments are required to have written guidelines outlining the process and criteria used in faculty evaluations. The adoption of such guidelines promotes consistency and transparency in this important aspect of faculty life.

Every faculty member’s professional performance is evaluated annually, and written feedback is provided separately from confirmation of any merit adjustments. The process begins with submission of a faculty activity report (FAR). All non-temporary faculty members must submit a FAR annually. These reports form part of the basis for performance evaluations, awarding merit adjustments, and promotion, continued appointment, and post-continued appointment reviews.

The dean is responsible for conducting annual faculty evaluations, either independently or in consultation with an appropriately charged committee in accordance with University Libraries procedures. All evaluations must be in writing and include a discussion of contributions and accomplishments in all areas of the faculty member’s responsibilities, comments on the faculty member’s plans and goals, and any recommendations for improvement or change. Faculty members should receive their written evaluations within 90 days of submission of required materials, and they acknowledge receipt by signing and returning a copy for their University Libraries file, or the electronic equivalent. Acknowledging receipt of the evaluation does not imply agreement. If a faculty member substantially disagrees with the evaluation, he or she may submit a written response to the dean for inclusion in the personnel file.
In addition to their annual evaluation letters, all pre-continued appointment faculty members receive at least two thorough reviews during the six-year probationary period and written feedback on their progress toward continued appointment by the library promotion and continued appointment committee (review committee) prior to reappointment in accordance with guidance included in chapter four, “Probationary Period.”

Faculty members with part-time appointments are reviewed on the annual review cycle used for all faculty members in the department. For the purposes of annual review, the fraction of the appointment must be taken into account when considering the appropriate level of achievement in that year.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the dean and are reviewed by the provost and the president. Because salary adjustments are determined administratively on an annual basis and based significantly on the quality of the faculty member's response to assigned responsibility, they do not necessarily reflect an accurate measure of the full scope of the faculty member's professional development as evaluated by relevant committees in the continued appointment and promotion process.

The Board of Visitors approves the salary adjustments of continuing faculty members and each faculty member is informed in writing of the board's action as soon as possible. (See chapter two, “Faculty Compensation Plan.”)

4.5.2 Unsatisfactory Performance

For continued appointment and pre-continued appointment faculty members, failure to meet the minimal obligations and standards the department has stipulated for its faculty results in an "unsatisfactory" rating. Written notification of an unsatisfactory rating and the considerations upon which it was based is given to the faculty member, with a copy to the dean and provost. A single unsatisfactory evaluation indicates a serious problem, which prompts remedial action. Faculty members may respond in writing with a letter to the appropriate supervisor for inclusion in their personnel file, or they may seek redress through either the reconciliation or grievance procedures. Two successive annual ratings of unsatisfactory performance for a faculty member with continued appointment results in a post-continued appointment review.

4.5.3 University Libraries Minimal Standards

The University Libraries shall develop, maintain, and publish a statement of minimal standards for satisfactory faculty performance using the following process. University Libraries standards should be written with the participation of faculty and approved by a vote of the continued appointment-track faculty. Standards developed and approved by the library promotion and continued appointment committee and the dean are then reviewed and approved by the provost. Once approved, the standards are published and available to all faculty members in University Libraries. Revisions of University Libraries also follow these procedures.

The following guidance is provided for the development of University Libraries minimal standards:
The University Libraries should carefully assess and state the overall standards of professional performance and contribution considered minimally acceptable for continued appointment faculty. The University Libraries’ evaluation mechanism should allow a distinction between performance that is deficient in one or more areas requiring improvement, and performance that is so seriously deficient as to merit the formal designation “unsatisfactory.”

University Libraries’ standards should embrace the entire scope of faculty contributions. Expectations recognize differences in faculty assignments within the same department or unit. University Libraries’ standards should typically address the individual’s skill, effort, and effectiveness in contributing to all aspects of the instructional mission; the individual’s activity in and contributions to the discipline; the individual's contributions to the collective life of the University Libraries and university; and the individual's activity in and contributions to the university's outreach mission.

The University Libraries’ statements should affirm support for the basic principles of academic freedom and should express tolerance for minority opinions, dissent from professional orthodoxies, and honest and civil disagreement with administrative actions.

Departmental statements should include the expectation that faculty with continued appointment will adhere to the standards of conduct and ethical behavior as stated in the Faculty Handbook and/or promulgated through other official channels.

4.5.4 Post-Continued Appointment Review

Nothing in this section should be interpreted as abridging the university's right to proceed directly to dismissal for cause as defined in chapter four, “Dismissal for Cause,” or the right of individual faculty members to pursue existing mechanisms of reconciliation and redress.

A post-continued appointment review is mandatory whenever a faculty member with continued appointment receives two consecutive annual evaluations of unsatisfactory performance. Annual reviews for years spent on leave without pay are disregarded for the purpose of this calculation. The library promotion and continued appointment committee (review committee) conducts the review unless the same committee was involved in the original unsatisfactory annual evaluations. In this case, the University Libraries faculty elect a committee to carry out the review function.

Upon recommendation of the dean, a post-continued appointment review may be waived or postponed if there are extenuating circumstances (such as health problems). The purpose of a post-continued appointment review is to focus the perspective of faculty peers on the full scope of a faculty member’s professional competence, performance, and contributions to the University Libraries and university missions and priorities.

The faculty member has both the right and the obligation to provide a dossier with all documents, materials, and statements as the faculty member believes are relevant and necessary for the review. Ordinarily, such a dossier includes at least the following: an updated curriculum vitae, the past two or more faculty activity reports, teaching or client assessments, if any, and a description
of activities and accomplishments since the last faculty activity report. The faculty member is given a period of no less than four weeks to assemble the dossier for the committee. The dean supplies the review committee with the last two annual evaluations, all materials that were considered in those evaluations, any further materials deemed relevant, and other materials the committee requests. Copies of all materials supplied to the review committee are given to the faculty member. The faculty member has the right to provide a written rebuttal of evidence provided by the dean.

The review committee weighs the faculty member’s contributions to the discipline, the University Libraries, and the university through learning, discovery, and engagement. The burden of proving unsatisfactory performance is on the university. The review committee prepares a summary of its findings and makes a recommendation to the dean and provost. Final action and notification of the faculty member is the responsibility of the dean, with the concurrence of the provost.

The review may result in one of the following outcomes:

**Certification of satisfactory performance:** The library promotion and continued appointment committee (review committee) may conclude that the faculty member’s competence and professional contributions are satisfactory to meet the minimal expectations of the University Libraries, thus failing to sustain the assessment of the dean. The review is then complete. An unsatisfactory rating in any subsequent year is counted as the first in any future sequence.

**Certification of deficiencies:** The review committee may concur that the faculty member’s competence and/or professional contributions are unsatisfactory to meet the minimal expectations of the University Libraries. The review committee may recommend dismissal for cause, a sanction other than dismissal for cause, or a single period of remediation not to exceed two years.

**Remediation:** If a period of remediation is recommended, the review committee specifies in detail the deficiencies it noted, defines specific goals and measurable outcomes the faculty member should achieve, and establishes a timeline for meeting the goals. The dean meets with the faculty member at least twice annually to review the individual’s progress. The dean prepares a summary report for the review committee following each meeting and at the end of the specified remediation period, at which time the review committee either certifies satisfactory performance or recommends dismissal for cause or a sanction other than dismissal for cause following the procedures described below.

**Sanction other than dismissal for cause:** A recommendation by the library review committee to impose a severe sanction, as defined in chapter four, “Imposition of a Severe Sanction,” is referred to the University-level Promotion and Continued Appointment Committee. The university-level committee reviews the case presented by the libraries review committee. The university-level committee provides an opportunity for the faculty member to be heard and determines whether the recommendation is consistent with the evidence. The university-level committee may reject, uphold, or modify the specific sanction recommended by the library Review committee. If the library review committee also recommends imposition of a severe sanction, then the same
procedures used for dismissal for cause guide the process. The review conducted by the library review committee satisfies the requirement in step two for an informal inquiry by an ad hoc or standing personnel committee. Thus, in the case of a post-continued appointment review, this step is not repeated.

If a severe sanction is imposed or ultimately rejected, then the post-continued appointment review cycle is considered complete. An unsatisfactory rating in any subsequent year is counted as the first in any future sequence.

**Dismissal for cause:** If dismissal for cause is recommended, the case shall be referred to a properly constituted committee within the libraries which reviews the case and determines whether the recommendation is consistent with the evidence. If the University Promotion and Continued Appointment Committee upholds the recommendation for dismissal, then the procedures specified in chapter four, “Dismissal for Cause,” begin immediately.

### 4.5.5 Periodic Review of Dean of University Libraries, Unit/Division Supervisors, Senior Administrators

In addition to an annual performance evaluation, and in accordance with Policy 6105, “Periodic Evaluation of Academic Deans and Vice Presidents,” the dean of University Libraries is subject to reviews every five years. If the review cannot be conducted in the fifth year as would usually be the case, the provost informs the officers of the University Libraries faculty association as to the reason for the delay. A review may also be initiated at any time by the provost and/or at the request of at least one-third of the continued appointment faculty. In the semester prior to a periodic review, the faculty association will be notified of the review and the association may schedule a meeting with the provost to discuss the upcoming review.

Policy 6100, “Department Head or Chair Appointments,” outlines the review process for academic department heads or chairs and includes the appropriate unit and/or division supervisors in the University Libraries. In addition, the policy provides guidance on establishing evaluation procedures with general principles so reviews may be conducted consistently and appropriately across the college for those serving in academic leadership roles.

The periodic review is designed to support the success of academic units by providing developmental feedback that promotes fair and effective academic leadership. Reappointment of an individual to unit and/or division in the libraries must be preceded by a periodic review conducted in accordance with guidelines outlined in Policy 6105 or in Policy 6100.

### 4.6 Imposition of a Severe Sanction or Dismissal for Cause*

*The procedures specified follow closely, but differ in occasional detail from, the "1976 Institutional Regulations on Academic Freedom and Tenure" approved by Committee A of the American Association of University Professors (AAUP)."
4.6.1 Adequate Cause

Adequate cause for imposition of a severe sanction or dismissal is related, directly and substantially, to the fitness of faculty members in their professional capacity as teachers and scholars. Imposition of a severe sanction or dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.

Adequate cause includes: violation of professional ethics (see chapter two, “Professional Responsibilities and Conduct”); incompetence as determined through post-continued appointment review; willful failure to carry out professional obligations or assigned responsibilities; willful violation of university and/or government policies; falsification of information relating to professional qualifications; inability to perform assigned duties satisfactorily because of incarceration; or personal deficiencies that prevent the satisfactory performance of responsibilities (e.g., dependence on drugs or alcohol).

Reason to consider the imposition of a severe sanction or dismissal for cause is usually determined by a thorough and careful investigation by an appropriately charged faculty committee (as in the case of allegations of ethical or scholarly misconduct, or through a post-continued appointment review) or by the relevant administrator (for example, the dean, compliance and conflict resolution officer, internal auditor, or Virginia Tech Police). Generally, these investigations result in a report of findings; some reports also include a recommendation for sanctions. The report is directed to the relevant administrator for action; it is also shared with the faculty member. Imposition of a severe sanction or initiation of dismissal for cause proceedings, if warranted, follows the procedures set forth below.

4.6.2 Imposition of a Severe Sanction

Definition and examples: A severe sanction generally involves a significant loss or penalty to a faculty member such as, but not limited to, a demotion in rank and/or a reduction in salary or suspension without pay for a period not to exceed one year, imposed for unacceptable conduct and/or a serious breach of university policy.

Routine personnel actions such as a recommendation for a below average or no merit increase, conversion from a calendar year to an academic year appointment, reassignment, or removal of an administrative stipend do not constitute “sanctions” within the meaning of this policy. A personnel action such as these may be a valid issue for grievance under procedures defined in the Faculty Handbook.

Process for Imposing a Severe Sanction: The conduct of a faculty member, although not constituting adequate cause for dismissal, may be sufficiently grave to justify imposition of a severe sanction. Imposition of a severe sanction follows the same procedures as dismissal for cause beginning with step one. If the matter is not resolved at the first step, a standing or ad hoc faculty committee conducts an informal inquiry (step two). The requirement for such an informal inquiry is satisfied if the investigation was conducted by an appropriately charged faculty committee (as would be the case with an alleged violation of the ethics or scholarly misconduct.
policies) and, having determined that in its opinion there is adequate cause for imposing a severe sanction, refers the matter to the administration.

### 4.6.3 Dismissal for Cause

The following procedures apply to faculty members with continued appointment, or for dismissal of a continued appointment-track faculty member before the end of the current appointment.

Dismissal is preceded by:

**Step one:** Discussions between the faculty member, dean, and/or provost, looking toward a mutual settlement.

**Step two:** Informal inquiry by a standing (or, if necessary, ad hoc) faculty committee having concern for personnel matters. This committee attempts to affect an adjustment and, failing to do so, determines whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the president's decision whether to proceed.

**Step three:** The furnishing by the president (in what follows, the president may delegate the provost to serve instead) of a statement of particular charges, in consultation with the dean. The statement of charges is included in a letter to the faculty member indicating the intention to dismiss, with notification of the right to a formal hearing. The faculty member is given a specified reasonable time limit to request a hearing, that time limit is no less than 10 days.

**Procedures for conducting a formal hearing, if requested:** If a hearing committee is to be established, the president asks the Faculty Senate, through its president, to nominate nine faculty members to serve on the hearing committee. These faculty members should be nominated on the basis of their objectivity, competence, and regard in which they are held in the academic community. They must have no bias or untoward interest in the case and are available at the anticipated time of hearing. The faculty member and the president each have a maximum of two challenges from among the nominees without stated cause. The president then names a five-member hearing committee from the remaining names on the nominated slate. The hearing committee elects its chair.

Pending a final decision on the dismissal, the faculty member is suspended only if immediate harm to him or herself or to others is threatened by continuance. If the president believes such suspension is warranted, consultation takes place with the Faculty Senate Committee on Reconciliation concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.
Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the charges or asserting that the charges do not support a finding of adequate cause. In such a case, the hearing committee evaluates all available evidence and rests its recommendation on the evidence in the record.

The committee, in consultation with the president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration cooperates with the hearing committee in securing witnesses and evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements of unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The university president and the faculty member are notified of the recommendation in writing and are given a written copy of the record of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the university president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the university president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity for response.

**Appeal to the Board of Visitors:** If the university president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board). The board’s review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the hearing committee with specific objections. The
hearing committee then reconsiders, taking into account the stated objections and receiving new evidence if necessary. The board makes a final decision only after studying the hearing committee’s reconsideration.

**Notice of Dismissal:** In cases where gross misconduct is decided, dismissal is usually immediate. The standard for gross misconduct is behavior so egregious that it evokes condemnation by the academic community generally and is so utterly blameworthy as to make it inappropriate to offer additional notice or severance pay. The first faculty committee that considers the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty member with continued appointment receives up to one year of salary or notice, and (b) a probationary faculty member receives up to three months’ salary or notice. These terms of dismissal begin at the date of final notification of dismissal.

### 4.7 Faculty Grievance Policy and Procedures

The following procedure is provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by members of the University Libraries faculty with continued appointment or on the continued appointment-track. The Faculty Senate Review Committee of the Faculty Senate conducts the step four hearing if requested. Information on the Faculty Senate Review Committee is in chapter two of this handbook and on the Faculty Senate Website.

#### 4.7.1 Ombuds, Mediation Services, and Faculty Senate Committee on Reconciliation

**Informal Dialogue:** It should be possible to resolve most faculty concerns or complaints through informal communication among colleagues working together in the academic enterprise. Accordingly, a faculty member who feels he or she has a grievance is encouraged to take it to the immediate supervisor in the collegial spirit of problem solving rather than as a confrontation between adversaries.

**University Ombuds:** Any member of the university community may visit the university Ombuds Office. The Ombuds listens and explores options for addressing and resolving concerns or complaints. The Ombuds Office does not have the authority to make decisions or to reverse any decision made or actions taken by university authorities. The Ombuds Office supplements, but does not replace, the university’s existing resources for conflict resolution and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Ombuds Office will not accept legal notice on behalf of the university, and information provided to the Ombuds Office will not constitute such notice to the university. Should someone wish to make the university formally aware of a particular problem, the Ombuds Office can provide information on how to do so. The only exception to this pledge of confidentiality is where the Ombuds Office determines that there is an imminent risk of serious harm, or if disclosure is required by law.
To preserve independence and neutrality, the Ombuds Office reports directly to the president. The Ombuds Office does not keep permanent records of confidential communications.

**Reconciliation:** At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Faculty Senate Committee on Reconciliation in fashioning an equitable solution. Contacting the Faculty Senate Committee on Reconciliation is not required in filing a grievance, but it may be useful if the grievant feels that the issue may be amenable to, but will require time for, negotiation; or if the grievant is unsure whether the concern is a legitimate issue for a grievance; or if personal relations between the parties involved in the grievance have become strained.

For a potential grievance issue to qualify for consideration by the Faculty Senate Committee on Reconciliation, the grievant contacts the chair of the Faculty Senate Committee on Reconciliation within 30 calendar days of the time when the grievant knew or should have known of the event or action that is the basis for the potential grievance, just as if beginning the regular grievance process. If the grievant requests assistance from the Faculty Senate Committee on Reconciliation, that committee must request a postponement of the time limits involved in the grievance procedure while it deals with the case. The chair of the Faculty Senate Committee on Reconciliation submits the request in writing to the vice provost for faculty affairs. Also, the grievant reaches an understanding with the Faculty Senate Committee on Reconciliation of the time frame planned for that committee’s work on the case, such time not to exceed 60 calendar days.

Faculty members may also consult the Faculty Senate Committee on Reconciliation about serious disagreements with immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the committee contacts the relevant administrator to determine if there is an interest and willingness to explore informal resolution of the dispute; it is not necessary to notify the Office of the Executive Vice President and Provost. Information on the Faculty Senate Committee on Reconciliation is in chapter two of this handbook and on the Faculty Senate website.

**Mediation:** Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate in order for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

**Role of Mediators:** Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.
**Requesting Mediation:** Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

### 4.7.2 The Formal Grievance Procedure

If the assistance of the Faculty Senate Committee on Reconciliation is not desired or is not requested; or if the Faculty Senate Committee on Reconciliation determines that it cannot provide assistance in the matter; or if the grievant finds that the length of time the Faculty Senate Committee on Reconciliation plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of that committee, the grievant may pursue the issue as a formal grievance through the following procedure. Appropriate supervisors, deans, directors, and other administrative faculty will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of the case.

**Step one:** The grievant must meet with the immediate supervisor within 30 calendar days of the date that grievant knew or should have known of the event or action that is basis for the grievance and orally identifies the grievance and the grievant’s concerns. The supervisor provides an oral response to the grievant within five weekdays following the meeting. If the supervisor’s response is satisfactory to the grievant, that ends the matter.

**Step two:** If a satisfactory resolution of the grievance is not achieved by the immediate supervisor’s oral response, the grievant may submit a written statement of the grievance and the relief requested to the immediate supervisor. This statement must be on the faculty grievance form, must define the grievance and the relief requested specifically and precisely, and must be submitted to the immediate supervisor within five weekdays of the time when the grievant received the immediate supervisor’s oral response to the first step meeting. Faculty grievance forms are available on the provost’s website.

Within five weekdays of receiving the written statement of the grievance, the immediate supervisor, in turn, gives the grievant a written response on the faculty grievance form, citing reasons for action taken or not taken. If the written response of the immediate supervisor is satisfactory to the grievant, that ends the matter.

**Step three:** If the resolution of the grievance proposed in the written response by the immediate supervisor is not acceptable, the grievant may advance the grievance to the next level of university
administration by checking the appropriate place on the faculty grievance form, signing and sending the form to the next level administrator within five weekdays of receiving the written response from the immediate supervisor. The next level of administration for faculty in the University Libraries is usually the University Libraries dean. The administrator involved at this next level is hereafter referred to as the second-level administrator.

Following receipt of the faculty grievance form, the second-level administrator or designated representative meets with the grievant within five weekdays. The second-level administrator may request the immediate supervisor of the grievant be present; the grievant may similarly request that a chosen representative from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the second-level administrator does not have legal counsel present. The second-level administrator gives the grievant a written decision on the faculty grievance form within five weekdays after the meeting, citing reasons for the decision. If the second-level administrator’s written response to the grievance is satisfactory to the grievant it ends the matter.

**Step four:** If the resolution of the grievance proposed in the written response from the second-level administrator is not acceptable, the grievant may advance the grievance within five weekdays to the level of the provost, including consideration by an impartial hearing panel of the Faculty Senate Review Committee of the Faculty Senate. Information about the Faculty Senate Review Committee is in chapter two of this handbook and on the Faculty Senate website.

Upon receiving the faculty grievance form requesting step four review, the provost, or appropriate designated representative, acknowledges receipt of the grievance within five weekdays and forwards a copy of the Procedures of the Faculty Senate Review Committee.

The provost immediately forwards a copy of the grievance to the president of the Faculty Senate, who also writes to the grievant to acknowledge receipt of the grievance within five weekdays of receipt of the faculty grievance form from the provost.

The grievant may petition the provost to bypass the Faculty Senate Review Committee and rule on the grievance. If the provost accepts the request, there is no subsequent opportunity for the grievance to be heard by a hearing panel. The provost’s decision, however, may be appealed to the university president, as described in step five. If the provost does not accept the petition, the Faculty Senate Review Committee hears the grievance as outlined in these procedures.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

**Hearing Panel:** A hearing panel consists of five members appointed by the chair of the Faculty Senate Review Committee from among the members of the Faculty Senate Review Committee. The chair of the Faculty Senate Review Committee polls all appointees to ensure that they have no conflict of interest in the case. Both parties to the grievance may challenge one of the appointments, if they so desire, without need to state cause, and the chair of the Faculty Senate
Review Committee appoints the needed replacement or replacements. Other replacements are made only for cause. The chair of the Faculty Senate Review Committee rules on issues of cause.

To ensure uniformity in practice, the chair of the Faculty Senate Review Committee or designee serves as the non-voting chair of each hearing panel. In the event that the chair of the Faculty Senate Review Committee has a conflict of interest concerning a case, the chair appoints a disinterested third party from among the members of the Faculty Senate Review Committee not already appointed to the hearing panel for the case to serve as chair of the hearing panel.

**Hearings:** After a hearing panel is appointed, the chair of the Faculty Senate Review Committee requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Faculty Senate president. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling. The hearing is then reconvened as appropriate.

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak on their behalf if so requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsel is present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel. Detailed procedures followed in hearings are specified in the Procedures of the Faculty Senate Review Committee as approved by the Faculty Senate.

**Findings and Recommendations:** The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Faculty Senate president. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the provost, the grievant, and the chair of the Faculty Senate Review Committee.

**Provost’s Action:** The provost meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant about the prospects for disposition of the case. Within 10 weekdays of that meeting, the provost sends to the grievant the decision in writing concerning the disposition of the grievance. If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel,
or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel, that ends the matter.

**Step five:** If the provost’s decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the university president within 20 calendar days. The president acts as he or she sees fit. The president’s decision is final.

### 4.7.3 Timeliness of Grievance and Procedural Compliance

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time when he or she knew or should have known of the event or action that is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that he or she accepted the last proposed resolution as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the chair of the Faculty Senate Review Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee (or the vice president of the senate if the president is also chair of the Faculty Senate Review Committee) is convened to rule on the question, as in disputes about the validity of issues qualifying for the grievance procedure. The special committee has the following options. It can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a significant procedural violation did occur. If the administrator committed a significant procedural violation, the grievance automatically qualifies for advancement to the next step in the grievance process. If the grievant committed a significant procedural violation, the grievance process ends at that point with the last proposed resolution established as the final disposition of the case.
4.7.4 Valid Issues for Grievance

For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation, unreasonable merit adjustment or salary level, or excessive teaching load/work assignments; substantive violations of promotion and continued appointment procedures (see appeal process in chapter four, “Appeals of Decisions on Reappointment, Continued Appointment, or Promotion”); reprisals; substantive error in the application of policy; and matters relating to academic freedom.

Issues not open to grievance: While most faculty disputes with the university administration may be dealt with by this grievance policy, the following issues may not be made the subject of a grievance: determination of policy appropriately promulgated by the university administration or the university governance system; those items falling within the jurisdiction of other university policies and procedures (for example, complaints of unlawful discrimination or harassment, or an appeal related to the merits of a promotion and/or continued appointment decision); the contents of personnel policies, procedures, rules, regulations, ordinances, and statutes; the routine assignment of university resources (e.g., space, operating funds, parking, etc.); usual actions taken, or recommendations made, by administrators or committee members acting in an official capacity in the grievance process; termination of appointment by removal for just cause, non-reappointment, or abolition of position; or allegations of misconduct in scholarly activities.

Adjudication of disputes on the validity of issues qualifying for consideration under the faculty grievance procedures: If a university administrator rules that an issue does not qualify for the grievance process, the grievant may write to the chair of the Faculty Senate Review Committee within five weekdays of receiving such notification and request a ruling from a special committee consisting of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

4.7.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost's Faculty Forms page.)

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty
Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from the assigned work location at the time of discovery the event or action is the basis for a grievance, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg, and he or she is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers he or she has a grievance about actions by an administrator above the level of the immediate supervisor that directly involve the faculty member, or with actions by an administrator not in the department that directly involve the faculty member, the grievant initiates the grievance process by seeking the intervention of the immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in the usual fashion.

A grievance filed by a faculty member concerning an action of the provost is managed by the chair of the Faculty Senate Review Committee and a regular impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the university president for ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of the university president is addressed by a special panel appointed by the provost in consultation with the president of the Faculty Senate.
Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations, or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.

### 4.7.6 Overview of the Formal Grievance Process for Faculty with Continued Appointment or on the Continued Appointment-Track

Below is an abbreviated overview of the grievance process and deadlines. Refer to chapter four, “The Formal Grievance Procedure,” for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an agreement. (An agreement form to extend the grievance response time is available on the provost’s website.)

<table>
<thead>
<tr>
<th>Step One</th>
<th>Step Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within 30 days of event</td>
<td>1a.</td>
<td>Grievant meets with immediate supervisor.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>1b.</td>
<td>Supervisor provides verbal response.</td>
</tr>
<tr>
<td></td>
<td>1c.</td>
<td>If the supervisor’s response is satisfactory to the grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>1d.</td>
<td>If the supervisor’s response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
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<thead>
<tr>
<th>Step Two</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>2a.</td>
<td>Grievant submits written grievance to immediate supervisor.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>2b.</td>
<td>Supervisor responds in writing on grievance form.</td>
</tr>
<tr>
<td></td>
<td>2c.</td>
<td>If the supervisor’s response is satisfactory to the grievant, that ends the matter.</td>
</tr>
</tbody>
</table>
If the supervisor’s response is not satisfactory to the grievant, move to step three within 5 weekdays.

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<thead>
<tr>
<th>Step Three</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>3a.</td>
<td>Grievant advances grievance form to the second-level administrator (usually dean of University Libraries).</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>3b.</td>
<td>Dean meets with grievant; dean may request department to be present.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>3c.</td>
<td>Dean responds in writing on grievance form.</td>
</tr>
<tr>
<td></td>
<td>3d.</td>
<td>If the dean’s written response is satisfactory to the grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>3e.</td>
<td>If the dean’s written response is not satisfactory to the grievant, move to step four within 5 weekdays.</td>
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<tr>
<th>Step Four</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>4a.</td>
<td>Grievant advances grievance form to the provost.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>4b.</td>
<td>Provost acknowledges receipt of grievance and forwards copy to Faculty Senate president to receive recommendation of an impartial hearing panel of the Faculty Senate Review Committee.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>4c.</td>
<td>Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.</td>
</tr>
<tr>
<td><strong>Within 15 weekdays</strong></td>
<td>4d.</td>
<td>Faculty Senate Review Committee chair appoints hearing panel from among Faculty Senate Review Committee members; panel holds its initial meeting with both principals.</td>
</tr>
</tbody>
</table>
### 4e. The hearing panel concludes its work and makes recommendations to the provost and the grievant.

### 4f. Provost meets with grievant.

### 4g. The provost notifies the grievant in writing of the decision.

#### 4h. If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendation of the hearing panel that ends the matter.

#### 4i. If the provost’s decision is not acceptable to the grievant and not consonant with the recommendation of the hearing panel, move to step five within 20 calendar days.

### Step Five

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<tr>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>5a.</td>
<td>Grievant appeals in writing to university president.</td>
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<tr>
<td>5b.</td>
<td>The university president’s decision is final.</td>
</tr>
</tbody>
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## 4.8 Study-Research Leave

Study-research leave may be granted to faculty members for research and/or advanced study necessary to enhance the competencies of those faculty members to conduct their obligations to the university. (At other universities, this program is often called “sabbatical.”)

Full-time faculty members holding continued appointment with significant responsibility for instruction and scholarly productivity, with the rank of assistant professor or higher, having accrued a minimum of six years of service, are eligible for study-research leaves. Following such a leave, an additional six years of full-time service are necessary before a faculty member is eligible for another study-research leave. Requests may be submitted prior to completion of six years of service, but faculty members must have completed the sixth year before the leave period begins.
Time spent on study-research leave, educational leave, or leave without pay is not considered in compiling minimum service requirements for further leaves.

As part of the commonwealth’s educational leave program, recipients of study-research leaves are provided with partial salary (not to exceed one-half salary). All employee benefits remain in force while faculty members are on study-research leaves. Calendar year faculty on study-research leave earn annual leave at a rate of half their usual annual leave earnings.

Instead of a proposal for leave of an entire academic or calendar year, faculty members may propose a sequence of semester leave periods at half-salary over several years, not to exceed in total one academic year (for a faculty member on academic year appointment) or 12 months (for a faculty member on calendar year appointment). If such a sequence of leaves is undertaken, all intervening periods of full-time appointment at Virginia Tech accrue toward the six-year minimum service required before eligibility for another study-research leave or sequence of leaves.

Alternatively, following completion of any study-research leave, faculty members may propose a single semester of study-research leave at half-salary following three years of full-time service to the university.

Recipients of a study-research leave may receive additional compensation from other approved sources up to a total equal to their annual salary from the university. Faculty members may receive an additional half salary from sponsored grants or contracts, resulting in a one-year period at full salary from university sources; the appropriate level of effort must be expended on grant-related activities. They may also obtain additional funds from external sources to cover expenses for travel, research, administrative assistance, and the purchase of relevant materials. The appropriate supervisor and provost review and approve required documentation of all external earnings and expected payments. Engagement in consulting activities must be consonant with existing university policy.

The request for study-research leave is made in the fall and, if approved, is taken the following academic year. Requests for study-research leave are submitted to the appropriate supervisor by November 1 for processing through the college, provost, and consideration by the Board of Visitors at the March (or spring) meeting of the board. Requests are forwarded to the board, subject to recommendation of the appropriate supervisor, dean, and the provost, with consideration of the need for effective continuation of the University Libraries’ program. Specific leave request due dates are established annually and are available in the Calendar of Important Dates found on the provost’s Research Leaves page.

The faculty member returns to full-time service with the university for a minimum of at least one academic year at the end of the approved leave or repays the university the salary received plus interest. If less than this required period of service is met, repayment is required of the pro rata portion of the compensation provided by the university during the leave period. Before undertaking the leave, the faculty member signs a memorandum of agreement to this effect.
Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and appropriate supervisor summarizing accomplishments.

4.9 Research Assignment

Research assignment is a special category of study-research leave that is awarded to a faculty member with continued appointment for one semester of intensive study or research that increases the quality of the individual's professional stature and future contribution to the university. It may be taken in lieu of an ordinary year-long study-research leave. Continued appointment-track faculty members are not eligible to apply for research assignment leave until after continued appointment has been awarded.

Full-time faculty members holding continued appointment with the rank of assistant professor or higher and having accrued a minimum of six years of service, are eligible for research assignment or study-research leave. Following such a leave, an additional six years of full-time service are necessary before a faculty member may be considered for another research assignment. Requests may be submitted prior to completion of six years of service, but faculty members must have completed the sixth year before the leave period begins. Faculty members on calendar year appointments may take research assignment leave for up to six months.

Approval for research assignment provides the faculty member with full salary and related benefits for the period of the leave; faculty members may not take on additional responsibilities for outside income except as allowed by the university’s consulting policy. Modest stipends associated with competitive visiting scholar programs at other institutions, competitive national or international fellowships, the Fulbright Scholar Program, and similar prestigious opportunities to support study and/or scholarly research may be approved where there is clear benefit to the faculty member and the university. Similarly, externally funded reimbursements or allotments for travel, temporary relocation, and other expenses associated with the proposed research assignment may be approved. The appropriate supervisor, dean, and provost review and approve required documentation of all external earnings and expected payments. When a faculty member proposes a period of paid employment greater than 50% percent of the annual salary in a corporate or governmental setting, leave without pay or a contract through the Intergovernmental Personnel Act may be more appropriate than a research assignment.

The primary privilege of a research assignment is entire relief from teaching, administrative duties, and other faculty duties for one semester. A secondary privilege is that the assignment may be carried out at any location approved by the dean, although research programs that require facilities, resources from the University Libraries, or collaborations not available at the university are given special consideration.

An application for research assignment is submitted to the appropriate supervisor by November 1 of the academic year preceding that in which the assignment will be made. Application forms are available from the provost’s Faculty Forms page. The application is in the form of a letter, which includes a detailed description of the proposed research or other scholarly project, the
location of that activity, and the relevance of the proposed activity in contributing to the faculty member’s own scholarly research program. The dean reviews the application and forwards it with a recommendation to the provost by mid-December, indicating the provisions that will be made to accommodate the faculty member’s responsibilities. The dean is expected to weigh fiscal and academic load considerations to assure an equitable distribution of the awards. The provost reviews the recommendations, communicates with the dean, and announces the results to each candidate, following approval by the Board of Visitors. Specific leave request due dates are established annually and are available in the Calendar of Important Dates on the provost’s Research Leaves page.

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave. If less than this required period of service is met, repayment is required of the pro rata portion of the compensation provided by the university during the leave period. Before undertaking the leave, the faculty member must sign a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and appropriate supervisor summarizing accomplishments.

4.10 Modified Duties

The university recognizes the need for all continued appointment and continued appointment-track faculty members to balance the commitments of family and work. Special family circumstances, for example, birth or adoption of a child, severe illness of an immediate family member, or even issues of personal health, can cause substantial alterations to one’s daily routine, thus creating a need to construct a modified workload and flexible schedule for a period of time.

Since the circumstances may vary widely for faculty members at different stages of their careers and with different family and workload situations, this policy does not prescribe the exact nature of the accommodation. In many cases, it may be a reduction or elimination of a teaching assignment while the faculty member continues to meet ongoing, but more flexible research and graduate student supervision obligations. In general, the university’s commitment is to work with a faculty member to devise a modified workload and schedule that enables the faculty member to remain an active and productive member of the department. Because there is no reduction in salary, the faculty member is expected to have a set of full-time responsibilities.

An eligible faculty member is encouraged to speak with the appropriate supervisor or chair as soon as possible about the need for modified duties to ensure the maximum amount of time for planning. A department chair, in conjunction with the University Libraries dean, is responsible for working with a faculty member to ensure a fair plan for modified duties is implemented, if possible, budgetary constraints are considered, and student or other needs are met. The policy does not create an entitlement if there are legitimate business-related reasons for denying the request. The
appropriate supervisor, in consultation with the dean or director, makes final decisions about the nature of the modified duties.

The provisions of this policy cannot adequately address all individual circumstances. Sick leave (including disability), leave without pay, or permanent reduction in appointment to part-time status may be options to consider for longer-term or more demanding needs. This policy is not intended to provide release time from teaching for the purpose of allowing additional time for research. Reduction in teaching assignments for research purposes is the prerogative of the University Libraries and a function of the university’s program of study-research leaves.

Extension of the probationary period (see chapter four, “Extending the Continued Appointment Clock”) is available to faculty members on continued appointment-track appointments who are confronted with extenuating personal or family circumstances, or birth or adoption of a child. The extension may be requested as a complement to a request for modified duties. However, the semester of modified duties does not automatically affect the continued appointment probationary period.

**Eligibility:** Modified duties may be requested by any faculty member in a full-time continued appointment or continued appointment-track appointment for the purpose of managing family responsibilities or, in exceptional cases, personal health issues not addressed by sick leave. The policy applies to eligible faculty upon employment.

**Guidelines:** The period of modified duties is one semester, or an equivalent amount of time for those faculty members whose responsibilities are not tied directly to teaching on the academic calendar.

Modification of duties should not result in additional duties during the subsequent semester, e.g., the faculty member should not be asked to make up the released teaching before or after the semester of modified duties. The faculty member cannot be employed by another institution during the period of modified duties, nor can the release time be used for extensive professional travel or other increased professional activities (including consulting) that do not meet the goals of the policy.

Medical documentation is required if the period of modified duties is requested related to a health issue not addressed by sick leave.

A semester of modified duties should be considered in addition to, not as a substitute for, sick leave and family leave available to those giving birth or adopting during the period of the appointment (i.e., during the academic year for those on academic year appointments, or any time for those on calendar year appointments). There are no work expectations for individuals on approved sick or family leave.

Requests for outside consulting during the period of modified duties are not usually approved.
A faculty member should submit a request for modified duties as early as possible so the department can plan appropriately. The request form is available on the provost’s Faculty Forms page. The plan of proposed activities is developed in consultation with the appropriate supervisor, and the University Libraries dean. The modified duties can include assignments from the department and/or libraries, as appropriate.

Subject to available funding, the Office of the Executive Vice President and Provost provides an allotment to the faculty member’s unit to replace teaching (or to use in other ways relevant to the duties) that is lost through the granting of a term of modified duties. Additional support from departments is strongly encouraged and should be noted in the request.

Approval of the appropriate supervisor, University Libraries dean, and provost are necessary. If the appropriate supervisor does not support the request, the reasons for denial are provided in writing, and the request is automatically forwarded to the dean for further review.

CHAPTER FIVE
NON-TENURE-TRACK INSTRUCTIONAL FACULTY

5.0 Employment Policies for Non-Tenure-Track Instructional Faculty

Non-tenure-track faculty members fill critical roles in the learning, discovery, and engagement missions at Virginia Tech. They complement the efforts and qualifications of tenure-track faculty, provide access to specialized faculty resources, and allow flexibility to address programmatic needs. As valuable contributors to departmental and institutional missions, they are entitled to fair treatment and compensation, access to professional development opportunities, recognition for their accomplishments, and participation in the life of the university community. The following policies address specific aspects of non-tenure-track instructional faculty appointments. In a few cases, faculty members with regular academic rank (assistant, associate, or professor) hold non-tenure-track appointments because of unusual job responsibilities and historical lack of appropriate alternative ranks. Policies in this section also apply to those individuals.

Ordinarily a graduate or professional degree is required for appointment to one of these ranks. Appointments are made using established university search procedures. (See chapter two, “Faculty Search Processes” and the Human Resources Forms page.) Academic departments retain the authority and responsibility to decide whether to employ non-tenure-track faculty members to deliver aspects of their instructional program. An appropriate departmental committee approves the departmental policies and practices related to the use of non-tenure-track rank.
5.1 Non-Tenure-Track Instructional Faculty Series

5.1.1 Visiting Professor

Appointment to the rank of visiting assistant, associate, or professor is for a restricted period to conduct learning, discovery, and engagement responsibilities within an academic department. Professional credentials required for the standard professorial ranks are required for appointment as a visiting assistant, associate, or professor. A visiting faculty member may not serve in such a position beyond six years. Tenure cannot be awarded to individuals in the visiting ranks.

Full-time service at this rank may or may not be counted as part of the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position. As with prior service credit from another institution, the decision to include all or some of the years of service from a visiting appointment is at the discretion of the faculty member. However, this decision must be made at the time of appointment to the tenure-track position and documented as part of that initial contract.

5.1.2 Adjunct Professor

Appointment to the rank of adjunct assistant, associate, or professor is reserved for persons whose primary employment is with another agency, organization, educational institution, or with a non-instructional unit of the university. Adjunct professors are usually compensated as wage employees using the university's P14 form. Procedures for processing P14 actions are available on the Human Resources Adjunct Faculty (P14) page.

Appropriate professional credentials are required for appointment as an adjunct assistant, associate, or professor. Appointments may be renewed annually, but tenure cannot be awarded at this rank. The professor of practice series titles may be used for wage adjunct faculty appointments in lieu of the adjunct assistant professor, associate professor, or professor titles, if appropriate for the assignment and credentials of the individuals. (See “Professor of Practice Ranks.”)

Adjunct faculty must present credentials appropriate to the level of the course they are teaching. It is the responsibility of the department to verify documentation of appropriate credentials for adjunct faculty members prior to the start of the course. (See chapter two, “Qualifications and Credentials for Teaching for Instructors of Record,” or the provost’s Faculty Credentials page).

If deemed qualified and appropriate by the host department, authorization for an adjunct faculty member to serve as principal investigator on a sponsored project may be requested. The department, with the approval of the dean, submits a written request for such authorization to the Office of the Vice President for Research and Innovation.

Wage adjunct faculty members do not typically submit an annual faculty activity report or have an annual evaluation because their employment is temporary. Although wage adjunct faculty may be hired repeatedly to teach a course or courses, they are not considered to be continuing faculty for the purposes of evaluation. Per course stipends paid to wage adjunct faculty are not fixed.
university-wide, but rather are determined on a departmental basis. Payments typically reflect the experience and credentials of the wage adjunct faculty member, the level of demand (market) for the necessary expertise, and general salary levels in the discipline.

5.1.3 Professor of Practice Series

Academic departments retain the authority and responsibility to make decisions about whether to employ professors of practice. An appropriate standing departmental committee, such as a promotion and tenure or executive/personnel committee, establishes the departmental policies and practices related to the use of non-tenure-track ranks. The department head or chair and dean review and approve the policies and practices.

For disciplines where professional preparation of students is a major goal, the involvement of experienced practitioners in teaching the skills and values of the profession, overseeing internships and project experiences, and career advising, for example, are a vital aspect of a successful program. Professional programs often have a deep commitment to the on-going continuing education of practitioners in the field, resulting in a greater commitment to delivery of outreach programs than is typical of a tenure-track appointment outside of Virginia Cooperative Extension. Programs in the arts may wish to attract resident artists or performers for a period of time to contribute to the program. The professor of practice rank series may be appropriate in these and other roles that typically do not reflect the same range of responsibilities required for tenure-track faculty members.

The professor of practice series provides for short-or long-term, full-or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. (These rank titles may also be used for wage [P14] appointments in lieu of adjunct assistant, associate, or professor, if appropriate for the assignment and credentials of the individual.) Individuals appointed to these ranks are expected to be successful and effective professionals in a given field. They must be effective teachers of the profession or discipline and they are expected to be able to understand and evaluate the research that applies to their field and teach it to students. While professor of practice faculty members may conduct research and present their findings in professional venues, there are no expectations for an extensive research program as is typical of tenure-track faculty appointments.

Professor of practice faculty members are expected to remain active in their professions in ways that contribute to their assignment—teaching, consulting, or outreach, serving in technical and professional societies and associations, and similar activities. Where appropriate to their assignment, they may interact with graduate or professional students and interns and serve on graduate committees. To chair a graduate committee, professors of practice must have a terminal degree, active involvement in research, and the approval of the academic unit and the graduate school. They may also be expected to serve on departmental, college, or university committees as contributing members of their departments and the broader university community.
Individuals appointed to a professor of practice rank must have a graduate or professional degree in the discipline (or a related discipline), professional certification(s) if relevant, and/or significant professional experience. Any appointment without the relevant terminal degree in the field must be certified by the department as appropriately credentialed for the faculty member’s particular instructional assignment in accordance with guidelines for regional accreditation and university policy and procedures.

Documentation supporting alternative credentials certification is required. Further information regarding appropriate credentials for the teaching faculty is found in chapter two, “Qualifications and Credentials for Teaching for Instructors of Record,” and on the provost’s Faculty Credentials page.

A record of significant professional achievement is expected for appointment at the associate professor or professor level; initial appointments at such ranks require approval of the appropriate departmental committee and head or chair. Appointment to one of these ranks may be from one to five years and is renewable without limit.

Promotion within these ranks may be pursued through procedures outlined in this section. Tenure will not be awarded at any of these ranks and service at these ranks is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position.

**Assistant Professor of Practice:** Persons appointed at this rank have a graduate or professional degree in the discipline (or a related discipline), professional certification(s) if relevant, and/or significant professional experience. Experience and a demonstrated competence in practice of the profession are expected. Credential must be relevant to the field and type of assignment.

**Associate Professor of Practice:** Persons appointed at the associate professor of practice rank have a graduate or professional degree in the discipline (or a related discipline), professional certification(s) if relevant, and/or significant professional experience. Credentials for appointment or promotion to this rank must document a record of significant professional experience and accomplishments relevant to the field and type of assignment.

**Professor of Practice:** Professor of practice is the capstone rank in the series. Appointment to this rank denotes distinguished professional achievement, and regional, national, or international prominence in the field. Credentials for appointment or promotion to this rank must document a record of significant professional experience and accomplishments relevant to the field and type of assignment. External validation of such accomplishments and leadership in the field is expected at the time of appointment or promotion.

### 5.1.4 Clinical Faculty Series

General college faculty members with responsibilities primarily in instruction and/or service in a clinical setting, such as veterinary medicine, are considered clinical faculty. The following clinical faculty appointments are intended to promote and retain clinical educators and to complement
the clinical activities of the university. The clinical faculty track provides for long-term, full-time, or part-time faculty appointments to individuals whose primary responsibilities are in clinical settings and in the instructional programs. While clinical faculty may conduct clinical research and present their findings in professional venues, there are no expectations for an extensive research program as is typical of tenure-track faculty appointments. Tenure cannot be earned in these ranks and time spent in one of these ranks is not applicable toward pre-tenure probationary tenure-track faculty service. The clinical faculty ranks include:

**Clinical Instructor:** Persons appointed to this rank must have the appropriate professional degree. Preference is given to individuals eligible for, or certified by, the most appropriate specialty college or organization recognized by the profession. Appointments at this rank are typically for one year and are renewable.

The clinical professor series is designed for clinical faculty members who have extended appointments and who are expected to interact with graduate or professional students/residents and interns, serving on committees or supervising their training. Appointment to one of these ranks may be from one to five years and is renewable without limit. Usually, a national search is conducted for appointment at one of these ranks (or an approved exemption sought for exceptional skills or similar justification).

**Clinical Assistant Professor:** Persons appointed to this rank must have the appropriate professional degree and eligibility for, or certification by, the most appropriate specialty college recognized by the professional organization. Credentials shall be consistent with those for appointment to assistant professor, with an expectation for primary commitment to the instructional and clinical teaching setting.

**Clinical Associate Professor:** Persons appointed to this rank must have the appropriate professional degree and be a diplomate in the appropriate specialty college recognized by their professional organization. Credentials shall be consistent with those for appointment to associate professor, with an emphasis on clinical accomplishments.

**Clinical Professor:** Persons appointed to this rank must have the appropriate professional degree and be a diplomate in the most appropriate specialty college recognized by their professional organization. Credentials shall be consistent with those for appointment to professor, with an emphasis on clinical accomplishments.

Further detail on the duties and responsibilities of these ranks, criteria and the process for promotion, and the terms and conditions of employment for clinical faculty are established by the respective academic departments and approved by an appropriate college-level committee and the dean.

5.1.5 Collegiate Faculty Series

Academic departments retain the authority and responsibility to make decisions about whether to employ collegiate professors. Departmental policies and practices related to the use of non-
tenure-track ranks must be approved by an appropriate standing committee in the department, such as a promotion and tenure or executive/personnel committee, the department head or chair, and dean.

Collegiate professors must have a major commitment to the instructional missions of the department. The involvement of collegiate professors can include classroom and online teaching, curricular updates, course transformations, and the adoption/integration of innovative and inclusive pedagogy. Working in collaboration with the department's other faculty, collegiate faculty may take a lead role in enhancing the curricula and promoting teaching excellence.

The collegiate professor series provides for short- or long-term, full- or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. (These rank titles may be used for wage [P14] appointments in lieu of adjunct assistant, associate, or professor, if appropriate for the assignment and credentials of the individual.) Individuals appointed to these ranks are expected to be successful and effective professionals in a given field. They must be effective teachers of the discipline and they are expected to be able to understand and evaluate the research that applies to their field and to teach it to students. Collegiate professor faculty members may conduct research on the scholarship of teaching and learning related to their field and/or on disciplinary topics in their field and present their findings in professional venues, but there are no expectations for an extensive research program as is typical of tenure-track faculty appointments.

Collegiate professor faculty members are expected to remain active in their disciplines/professions in ways that contribute to their assignment—teaching, consulting, or outreach, serving in technical and professional societies and associations, and similar activities. Where appropriate to their assignment, they may interact with graduate or professional students and interns, serve on graduate committees, and chair graduate advisory committees with the approval of the academic unit and the graduate school. They may also be expected to serve on departmental, college, or university committees as contributing members of their departments and the broader university community.

Collegiate professors are generally appointed to 3-, 5-, or 7-year contracts. Contractual details outlined in the Terms of Faculty Offer (TOFO) may be complemented with a statement of work negotiated between the faculty member and the department head.

Individuals appointed to a collegiate professor rank must have a terminal or professional degree in the discipline (or a related discipline) and professional certification(s), if relevant, and must be certified by the department as appropriately credentialed for the faculty member's particular instructional assignment in accordance with guidelines for regional accreditation and university policy and procedures. Further information regarding appropriate credentials for the teaching faculty is found in chapter two, “Faculty Credentialing Guidelines Qualifications and Credentials for Teaching for Instructors of Record,” and on the provost's Faculty Credentials page.
A record of significant scholarly and/or professional achievement is expected for appointment at the associate or professor level; initial appointments at such ranks require approval of the appropriate departmental committee and head or chair or school director. Appointment to one of these ranks is for a specified number of years (see below) and is renewable without limit. Performance and promotion evaluations of collegiate professors is performed by department and college standing committees where faculty form the majority, such as a promotion and tenure committee or executive/personnel committee.

A collegiate professor in a regular position who receives notice of non-reappointment may request a review of the decision by the college dean. If the dean sustains the non-reappointment decision, the faculty member may request, through the dean, a further and independent review of the decision by the properly constituted college committee on promotion and tenure in accordance with appropriate procedures.

Promotion within these ranks may be pursued through procedures outlined in this section. Tenure will not be awarded at any of these ranks and service at these ranks is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position.

**Collegiate Assistant Professor:** Persons appointed at this rank have a terminal graduate or professional degree in the discipline (or a related discipline) and professional certification(s), if relevant. Experience and demonstrated competence in teaching are expected. Appointment to this rank is for three years and is renewable without limit.

**Collegiate Associate Professor:** Persons appointed at the collegiate associate professor rank have a terminal graduate or professional degree in the discipline (or a related discipline) and professional certification(s), if relevant. Credentials for appointment or promotion to this rank must document a record of significant instructional experience and accomplishments relevant to the field and type of assignment. The appointment to this rank is for five years and is renewable without limit.

**Collegiate Professor:** Collegiate professor is the capstone rank in the series. Appointment to this rank denotes distinguished professional achievement, and regional, national, or international prominence in the field. Credentials for appointment or promotion to this rank must document a record of significant instructional experience and scholarly accomplishments relevant to the field and type of assignment.

External evaluation of such accomplishments and leadership in the field is expected at the time of appointment or promotion. Appointment to this rank is for seven years and is renewable without limit.

**5.1.6 Instructor Ranks**
The responsibilities of a person appointed to one of the instructor ranks in an academic department are focused on undergraduate education, with minimal or no expectation for
development of an independent program of research or scholarship. A master's degree is the usual minimum educational credential for an appointment to the instructor ranks, and generally a minimum of 18 graduate credits teaching in the discipline is required to meet accreditation standards. Further information regarding appropriate credentials for the teaching faculty is found in chapter two, “Qualifications and Credentials for Teaching for Instructors of Record,” and on the provost’s Faculty Credentials page.

Instructors with distinctive assignments and work schedules will have these responsibilities conveyed in the terms of faculty offer letter at the time of appointment.

While initial appointment is typically at the entry rank, prior experience may be considered for a recommendation of appointment at a higher rank with the approval of the appropriate departmental committee and head or chair. Up to three years of similar instructional service at another accredited American four-year college or university may be counted toward the designated period required prior to review for promotion in rank.

Tenure is not awarded at any of these ranks and all service at any instructor rank is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position. Faculty members within the instructor ranks may not chair a graduate committee.

**Instructor:** The instructor rank is the initial rank for appointment of a full- or part-time faculty member. Primary responsibilities are usually to the instructional program, but assignments vary depending on the faculty member’s expertise and experience and departmental needs. Typically, they include teaching undergraduate courses, advising students, developing, or revising courses and curricula, and fulfilling other instructional, administrative, or service responsibilities. Appointment at this rank consists of a series of one- or two-year renewable appointments with a minimum of five years of completed service before consideration for promotion.

**Advanced Instructor:** Consideration for promotion to the rank of advanced instructor may be requested by the instructor or recommended by the department based on excellence in instructional responsibilities and significant evidence of related professional growth and development. Mentoring colleagues or graduate teaching assistants, student advising, course or curriculum development, or exemplary service or outreach are examples of ways in which instructors can make valuable contributions to the instructional programs in a department. Advanced instructors are expected to demonstrate mastery in teaching with significant impact on student learning and the department’s undergraduate programs. Scholarship and publication are not typically an assigned responsibility of instructor positions, but such accomplishments may be considered as part of the evaluation for promotion. Promotion to the advanced instructor rank is generally accompanied by a renewable three-year contract.

A minimum of five years of completed service at the advanced instructor rank is required before consideration for promotion to senior instructor.
**Senior Instructor:** Senior instructor is the capstone rank in the instructor series and promotion to this rank denotes exemplary instruction, demonstrated continued professional development, and significant contributions to undergraduate education. In addition to teaching courses, senior instructors may have considerable responsibility in mentoring colleagues or graduate teaching assistants, overseeing course development or special instructional initiatives, student advising, or other responsibilities reflecting their role as instructional leaders. Promotion to the rank of senior instructor is generally accompanied by a renewable five-year contract.

### 5.2 Policies Related to Non-Tenure-Track Instructional Appointments

#### 5.2.1 Initial Appointment

All initial non-tenure-track faculty appointments are usually for a period of one year, including appointments at the more senior ranks. Subsequent reappointments may be multi-year, as appropriate for the rank.

Appointments may be regular (renewable) or restricted (with a defined end date), calendar year or academic year, and full- or part-time depending on job responsibilities and available funding. Visiting and adjunct appointments are intended to be temporary in nature and are almost always restricted.

Non-tenure-track faculty positions are term appointments eligible for renewal based on quality of performance, continuing need for services in the unit, and available funding.

#### 5.2.2 Reappointment

Non-tenure-track faculty members on restricted contracts whose appointments will be continued are issued a reappointment contract specifying the new ending date for their appointment. Reappointments typically occur on the anniversary of the hire date or are realigned to coincide with the academic year or other relevant appointment cycle. The practice of issuing repeated one-year restricted contracts for an individual faculty member over many years is explicitly discouraged, as it can be exploitative over an extended time.

Therefore, if a faculty member is to be reappointed into a restricted position when the faculty member has spent the preceding five years on restricted contracts, approval must be requested from the provost’s office. The request should be supported by documentation demonstrating why the position cannot readily be converted to a regular appointment.

Reappointments for faculty members on regular contracts are usually effective July 1 or August 10, reflecting either calendar year or an academic year appointment. Notice of non-reappointment is in accordance with periods identified in chapter two, “Retirement, Resignation, and Non-Reappointment.”

#### 5.2.3 Annual Evaluations and Merit Adjustments

Continuing faculty members must submit an annual faculty activity report in accordance with departmental and college procedures and timelines. Timely submission of the annual faculty
activity report is required for consideration for a merit adjustment. Annual evaluation of performance by the department head/chair or supervisor (or appropriately charged committee) and feedback to the faculty member are required and should be consistent with university policies and practices for annual evaluation of tenure-track faculty members.

Non-tenure-track faculty members are entitled to full consideration for merit adjustments as available and warranted by their performance.

5.2.4 Promotion Guidelines for Instructors, Professors of Practice, and Clinical Faculty Ranks

Non-tenure-track faculty members are eligible for promotion in rank in accordance with guidelines established by academic departments and approved by an appropriate college-level committee and the dean. Such guidelines should outline the process and criteria for promotion in rank; they should be widely available along with other departmental and college documents related to promotion and tenure. Faculty members may be in a regular or a restricted appointment to be considered for promotion.

Promotion in rank for any non-tenure-track position is not a requirement of continued employment, or an entitlement for years of service without evidence of exceptional merit, continued professional development, and contribution in the assigned role. An approved promotion in rank is recognized by a change in title, increasing length of appointment contract, and a base salary adjustment as identified in the annual faculty compensation plan approved by the Board of Visitors.

Consideration for promotion in rank includes preparation of a dossier using a common university format, which may be based on relevant elements of the promotion and tenure dossier format for tenure-track faculty members. Typically, such a dossier includes a statement of professional direction and accomplishment, a complete curriculum vitae, and documentation of contributions associated with the instructor’s appointment. These contributions can be to instructional programs or administrative and/or service responsibilities. Colleges and departments may request supplemental materials. The appropriate college committee and dean approve guidelines for dossier development and departmental policies and procedures for the promotion process. External review of credentials is required for some—but not all—promotions in non-tenure-track ranks. Requirements are outlined in the promotion and tenure guidelines listed on the provost's Promotion and Tenure page.

The promotion dossier is reviewed at three levels: (1) by an appropriately charged departmental committee and the department head or chair, (2) by an appropriately charged college-level committee and the dean, and (3) by the provost. The department head or chair and dean make separate recommendations to the subsequent review levels. The provost reviews college and dean recommendations and makes recommendations to the president. The Board of Visitors grants final approval.

Given the wide variation in representation of non-tenure-track instructional appointments some latitude is provided in the nature and make up of department and college committees. For
example, departments with significant numbers of instructors, the committee charged with reviews would consist of majority representation of advanced and senior instructors. (or associate and clinical professors). In departments with very few such appointments, the existing departmental promotion and tenure committee may review the dossier(s) and make recommendations. Similarly, at the college level either a special committee may be formed to review promotions of non-tenure-track instructional faculty with majority representation of those in the advanced level of such ranks, or the existing promotion and tenure committees may be assigned such review and recommendation responsibilities. While the procedures vary to recognize practical issues and varying numbers, the guidelines for review should be in writing and adhered to for consistency and fair treatment of all candidates. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Given that promotion decisions do not carry the same “up or out” decision associated with tenure decisions, a negative recommendation on a promotion request need not translate into termination of employment. Indeed, a faculty member may remain at the initial rank if their performance warrants continued employment and serves departmental needs. If the promotion request is not supported on the first submission, it may not be appealed until at least a second review has taken place in a subsequent or later year.

Following the same pattern as review of tenure-track faculty members, a positive recommendation from either or both the departmental committee and the department head or chair automatically advances the dossier for promotion to the college committee level. Similarly, at the college level, a positive recommendation from either or both the college committee and the dean results in automatic advancement of the recommendation to consideration by the provost. The decision of the provost is final and cannot be appealed.

Faculty members should be provided with written feedback in the case of a negative recommendation at either the department or college level so that they might improve their performance or dossiers for a later submission.

5.2.4.1 Promotion Guidelines for Collegiate Professor Ranks

Non-tenure-track faculty members are eligible for promotion in rank in accordance with guidelines established by academic departments and approved by an appropriate college-level committee and the dean. Such guidelines should outline the process and criteria for promotion in rank; they should be widely available along with other departmental and college documents related to promotion and tenure. Faculty members must be on a regular or restricted appointment to be considered for promotion. (See chapter five, “Reappointment,” for information regarding promotion for faculty members on restricted appointment).

Promotion in rank for any non-tenure-track position is not a requirement of continued employment, or an entitlement for years of service without evidence of exceptional merit, continued professional development, and contribution in the assigned role. An approved promotion in rank is recognized
by a change in title, increasing length of appointment contract, and a base salary adjustment as identified in the annual faculty compensation plan approved by the Board of Visitors.

Consideration for promotion in rank includes preparation of a dossier using a common university format for collegiate professors, which may be based on relevant elements of the promotion and tenure dossier format for tenure-track faculty members. Typically, such a dossier includes a statement of professional direction and accomplishment, a complete curriculum vitae, and documentation of contributions associated with the collegiate faculty member’s appointment. These contributions can be to instructional programs or administrative and/or service responsibilities. Colleges and departments may request supplemental materials. The appropriate college committee and dean approve guidelines for dossier development and departmental policies and procedures for the promotion process. External review of credentials is required for promotion to collegiate associate professor and professor.

The promotion dossier is reviewed at three levels: (1) by an appropriately charged departmental committee and the department head or chair, (2) by an appropriately charged college-level committee and the dean, (3) by the university promotion and tenure committee. The department head or chair and dean make separate recommendations to the subsequent review levels. The provost reviews the recommendations from the three levels and makes recommendations to the president. The Board of Visitors grants final approval.

Given the wide variation in representation of non-tenure-track collegiate faculty appointments in the various academic colleges, some latitude is provided in the nature and make up of such committees. For most departments, the existing departmental promotion and tenure committee may review the dossier(s) and make recommendations. Similarly, at the college level, the existing promotion and tenure committees may be assigned such review and recommendation responsibilities. While the procedures vary to recognize practical issues and varying numbers, the guidelines for review should be in writing and adhered to for consistency and fair treatment of all candidates. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship. (See chapter two, “Conflicts of Interest Involving Spouses, Immediate Family Members.”)

Given that promotion decisions do not carry the same “up or out” decision associated with tenure, a negative recommendation on a promotion request need not translate into termination of employment. Indeed, a faculty member may remain at the initial rank as long as their performance warrants continued employment and serves departmental needs. If the promotion request is not supported on the first submission, it may not be appealed until at least a second review has taken place in a subsequent or later year.

Following the same pattern as review of tenure-track faculty members, a positive recommendation from either or both the departmental committee and the department head or chair automatically advances the dossier for promotion to the college committee level. Similarly, at the college level, a positive recommendation from either or both the college committee and the dean results in
automatic advancement of the recommendation to consideration the university promotion and tenure committee.

The faculty member should be provided written feedback in the case of a negative recommendation at either the department, college, or university level so that they might improve their performance or dossiers for a later submission.

### 5.2.5 Appeals of Decisions on Promotion

Following a second negative review by both the departmental committee and department head or chair, the decision may be appealed to the college committee, but only on grounds that relevant information was not considered or that the decision was influenced by improper consideration. The appeal must be filed within 14 days of official notification. A negative recommendation from both the college and the dean ends the process. There is no appeal available when both the college committee and dean vote “no.”

Significant procedural violations may be grieved under the faculty grievance process described in chapter five, “Faculty Grievance Policy and Procedures.”

### 5.3 Termination Procedures for Non-Tenure-Track Faculty on Regular Appointments

Members of the non-tenure-track faculty may be removed from their position by one of the following three procedures: (1) removal for just cause, (2) non-reappointment, or (3) termination of position because of insufficient funds or no further need for services. Notice of non-reappointment for non-tenure-track instructional faculty members on regular appointments is addressed in chapter two, “Retirement, Resignation, and Non-Reappointment.”

#### 5.3.1 Dismissal for Cause

Stated causes for removal shall include, but are not limited to, professional incompetence; unacceptable or unsatisfactory performance after due notice; unethical conduct or misconduct that interferes with the capacity of the employee to perform effectively the requirements of the position; violation of university policy; or falsification of credentials, experience, leave reports, or other official university documents.

Filing a grievance shall not constitute just cause for termination.

When it becomes necessary to terminate a non-tenure-track faculty member for unsatisfactory performance prior to the end of the appointment period, the following procedures apply:

**Step one:** The department head or chair writes a letter to the faculty member detailing the areas of performance that are deficient and setting clear expectations for acceptable performance and continued employment. The college dean receives a copy. The letter states the time period in which the deficiencies must be addressed. This time period will be not less than 30 calendar days.
Step two: At the end of that period, the department head or chair must again write chair the faculty member with an evaluation of his/her performance with a copy to the college dean. If performance continues to be unsatisfactory, this second letter may contain a notice of termination. The termination notice will have an effective date of 45 calendar days or more from the date of the second letter. In cases where there is a threat to health or safety, the 45-day period may be waived.

Dismissal for cause not involving unsatisfactory performance: For termination for cause for reasons other than unsatisfactory performance, the faculty member shall receive written notification of the reasons for termination and shall be allowed an opportunity to respond within five workdays. With the approval of the provost, a faculty member may be suspended with or without pay pending an investigation into allegations of wrongdoing.

Appeal to the provost: The faculty member may appeal notification of dismissal for cause to the college dean and the termination will be held in abeyance until the appeal process is complete. The appeal must be made in writing within five working days of receipt of the notification of termination. The dean must respond in writing within 10 working days. If the dean’s response is unsatisfactory to the appellant, an appeal may be made to the provost in writing within five working days. The provost appoints a committee of three members of the general faculty to review the case and make recommendations to the provost. The decision of the provost is final. The above time limits of the appeal process may be altered by extenuating circumstances and the agreement of both parties.

5.3.2 Termination of Appointment During the Contract Period
Occasionally a decline in funding resources makes it necessary to terminate an appointment before the end of a contract. While department heads or chairs are encouraged to make every effort to assure continuity of employment to individuals performing satisfactorily, there are circumstances in which this may not be possible or in the best interest of the university. Non-tenure-track faculty appointments may be terminated in the case where there are insufficient funds or no further need for services. Written notice of termination within the contract period shall be at least three months for those who have been in a regular appointment less than two years and at least one semester (if academic year) or six months (if calendar year) for those who have been in regular appointments two years or more. A proposed notice of termination during the contract period because of insufficient funds or lack of need for services requires the approval of the dean and provost.

5.4 Participation in Governance
Salaried non-tenure-track instructional faculty members are eligible to participate in departmental, college, and university committees as appropriate for their assignments. Non-tenure-track faculty members should have meaningful engagement in program planning at the department level, especially as it relates to aspects of the curriculum for which they bear teaching responsibility. Although non-tenure-track instructional faculty members cannot be involved in reviewing cases of promotion and tenure for tenure-track or tenured faculty members, they may otherwise be
voting members of the departmental faculty in accordance with the policy set by individual departmental governance.

Those faculty members at the rank of instructor, assistant, associate, or professor, or related rank variations, such as clinical assistant professor, professor of practice, collegiate professor, or senior instructor are eligible to serve as voting members of the Faculty Senate.

5.5 Participation on Graduate Committees
Non-tenure-track instructional faculty members with appropriate credentials may serve on graduate advisory committees and interact with graduate or professional students and interns where relevant to their assignment and with approval of the departmental graduate program, department head or chair, and graduate school. Faculty members within the instructor ranks may not chair a graduate committee.

5.6 Eligibility to Serve as a Principal Investigator
Faculty members in a non-tenure-track rank may serve as a Principal Investigator for a sponsored project or contract with the approval of the department heard or chair, the dean, and the Office for Research and Innovation. A written request for authorization (PI Status Request) may be submitted by the department with the approval of the dean to the Office for Research and Innovation.

5.7 Faculty Grievance Policy and Procedures
The following procedure is provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by members of the non-tenure-track instructional faculty. The grievance process is the same as that for tenured and tenure-track faculty. The Faculty Senate Review Committee of the Faculty Senate conducts the step four hearing if requested. Information on the Faculty Senate Review Committee is in chapter two of this handbook and on the Faculty Senate website.

5.7.1 Ombuds, Mediation Services, and Faculty Senate Committee on Reconciliation
Informal dialogue: It should be possible to resolve most faculty concerns or complaints through informal communication among colleagues working together in the academic enterprise. Accordingly, a faculty member who feels there is a grievance is encouraged to take it to the immediate supervisor in the collegial spirit of problem solving rather than as a confrontation between adversaries.

University Ombuds: Any member of the university community may visit the university Ombuds Office. The Ombuds listens and explores options for addressing and resolving concerns or complaints. The Ombuds Office does not have the authority to make decisions or to reverse any decision made or actions taken by university authorities. The Ombuds Office supplements, but does not replace, the university's existing resources for conflict resolution and its systems of review and adjudication.
Communications with the Ombuds Office are considered confidential. The Ombuds Office will not accept legal notice on behalf of the university, and information provided to the Ombuds Office will not constitute such notice to the university. Should someone wish to make the university formally aware of a particular problem, the Ombuds Office can provide information on how to do so. The only exception to this pledge of confidentiality is where the Ombuds Office determines that there is an imminent risk of serious harm, or if disclosure is required by law.

To preserve independence and neutrality, the Ombuds Office reports directly to the president. The Ombuds Office does not keep permanent records of confidential communications.

**Reconciliation:** At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Faculty Senate Committee on Reconciliation in fashioning an equitable solution. Contacting the Faculty Senate Committee on Reconciliation is not required in filing a grievance, but it may be useful if the grievant feels that the issue may be amenable to, but will require time for, negotiation; or if the grievant is unsure whether the concern is a legitimate issue for a grievance; or if personal relations between the parties involved in the grievance have become strained.

For a potential grievance issue to qualify for consideration by the Faculty Senate Committee on Reconciliation, the grievant must contact the chair of the Faculty Senate Committee on Reconciliation within 30 calendar days of the time when the grievant knew or should have known of the event or action that is the basis for the potential grievance, just as if beginning the regular grievance process. If the grievant requests assistance from the Faculty Senate Committee on Reconciliation, that committee requests a postponement of the time limits involved in the formal grievance procedure while it deals with the case. The request is submitted in writing to the vice provost for faculty affairs by the chair of the Committee on Reconciliation. Also, the grievant should reach an understanding with the Committee on Reconciliation of the time frame planned for that committee’s work on the case, such time not to exceed 60 calendar days.

Faculty members may also consult the Faculty Senate Committee on Reconciliation about serious disagreements with immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the committee contacts the relevant administrator to determine if there is an interest and willingness to explore informal resolution of the dispute; it is not necessary to notify the Office of the Executive Vice President and Provost.

Information on the Faculty Senate Reconciliation Committee is in chapter two of this handbook and on the Faculty Senate website.

**Mediation:** Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve
disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

**Role of mediators:** Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

**Requesting mediation:** Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

**5.7.2 The Formal Grievance Procedure**

If the assistance of the Faculty Senate Committee on Reconciliation is not desired or is not requested; or if that committee determines that it cannot provide assistance in the matter; or if the grievant finds that the length of time the Faculty Senate Committee on Reconciliation plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of that committee, the grievant may pursue the issue as a formal grievance through the following procedure. Department heads or chairs, deans, directors, and other administrative faculty will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of the case.

**Step one:** The grievant must meet with the immediate supervisor (usually the department head or chair) within 30 calendar days of the date that grievant knew or should have known of the event or action that is basis for the grievance and verbally identifies the grievance and the grievant’s concerns. The supervisor provides a verbal response to the grievant within five weekdays following the meeting. If the supervisor’s response is satisfactory to the grievant, that ends the matter.

**Step two:** If a satisfactory resolution of the grievance is not achieved by the immediate supervisor’s verbal response, the grievant may submit a written statement of the grievance and the relief requested to the immediate supervisor. This statement must be submitted on the faculty grievance form, must define the grievance, and request the relief desired specifically and precisely. The written grievance is submitted to the immediate supervisor within five weekdays of the time when the grievant received the immediate supervisor’s verbal response to the first step meeting. Faculty grievance forms are available on the provost’s Faculty Forms page.
Within five weekdays of receiving the written statement of the grievance, the immediate supervisor, in turn, gives the grievant a written response on the faculty grievance form. The immediate supervisor cites reasons for action taken or not taken. If the written response of the immediate supervisor is satisfactory to the grievant, that ends the matter.

**Step three:** If the resolution of the grievance proposed in the written response by the immediate supervisor is not acceptable, the grievant may advance the grievance to the next level of university administration by checking the appropriate place on the faculty grievance form, signing and sending the form to the next level administrator within five weekdays of receiving the written response from the immediate supervisor. The next level of administration for college faculty is usually the college dean. The administrator involved at this next level is hereafter referred to as the second-level administrator.

Following receipt of the faculty grievance form, the second-level administrator or designated representative meets with the grievant within five weekdays. The second-level administrator may request the immediate supervisor of the grievant be present; the grievant may similarly request that a chosen representative from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the second-level administrator does not have legal counsel present. The second-level administrator gives the grievant a written decision on the faculty grievance form within five weekdays after the meeting, citing reasons for the decision. If the second-level administrator’s written response to the grievance is satisfactory to the grievant it ends the matter.

**Step four:** If the resolution of the grievance proposed in the written response from the second-level administrator is not acceptable, the grievant may advance the grievance within five weekdays to the level of the provost, including consideration by an impartial hearing panel of the Faculty Senate Review Committee. Information on the Faculty Senate Review Committee is in chapter two of this handbook and on the Faculty Senate website.

Upon receiving the faculty grievance form requesting step four review, the provost, or appropriate designated representative, acknowledges receipt of the grievance within five weekdays and forwards a copy of the Procedures of the Faculty Senate Review Committee to parties in the grievance process. The provost immediately forwards a copy of the grievance to the president of the Faculty Senate, who also writes to the grievant to acknowledge receipt of the grievance within five weekdays of receipt of the faculty grievance form from the provost.

The grievant may petition the provost to bypass the Faculty Senate Review Committee and rule on the grievance. If the provost accepts the request, there is no subsequent opportunity for the grievance to be heard by a hearing panel. The provost's decision, however, may be appealed to the president, as described in step five. If the provost does not accept the petition, the Faculty Senate Review Committee hears the grievance as outlined in these procedures.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.
Hearing panel: A hearing panel consists of five members appointed by the chair of the Faculty Senate Review Committee from among the members of the Faculty Senate Review Committee. The chair of the Faculty Senate Review Committee polls all appointees to ensure that they have no conflict of interest in the case. Both parties to the grievance may challenge one of the appointments, if they so desire, without need to state cause, and the chair of the Faculty Senate Review Committee appoints the needed replacement or replacements. Other replacements are made only for cause. The chair of the Faculty Senate Review Committee rules on issues of cause.

To ensure uniformity in practice, the chair of the Faculty Senate Review Committee or designee serves as the non-voting chair of each hearing panel. In the event that the chair of the Faculty Senate Review Committee has a conflict of interest concerning a case, the chair appoints a disinterested third party from among the members of the Faculty Senate Review Committee not already appointed to the hearing panel for the case to serve as chair of the hearing panel.

Hearings: After a hearing panel is appointed, the chair of the Faculty Senate Review Committee requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Faculty Senate president. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling. The hearing is then reconvened as appropriate.

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak on their behalf if so requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsels are present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel. Hearing procedures can be found on the Faculty Senate website.

Findings and Recommendations: The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Faculty Senate president. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the provost, the grievant, and the chair of the Faculty Senate Review Committee.

Provost’s action: The provost meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant.
about the prospects for disposition of the case. Within 10 weekdays of that meeting, the provost sends to the grievant the decision in writing concerning the disposition of the grievance. If the provost's decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel that ends the matter.

**Step five:** If the provost's decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the president within 20 calendar days. The president's decision is final.

### 5.7.3 Timeliness of Grievance and Procedural Compliance

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time of knowledge of the event or action that is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure, acceptance of the last proposed resolution as satisfactory is assumed. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the chair of the Faculty Senate Review Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee (or the vice president of the senate if the president is also chair of the Faculty Senate Review Committee) is convened to rule on the question, as in disputes about the validity of issues qualifying for the grievance procedure. The special committee has the following options. It can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a significant procedural violation did occur. If the administrator committed a significant procedural violation, the grievance automatically qualifies for advancement to the next step in the grievance process. If the grievant committed a significant procedural violation, the
grievance process ends at that point with the last proposed resolution established as the final disposition of the case.

5.7.4 Valid Issues for Grievance

For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation, unreasonable merit adjustment or salary level, or excessive teaching load/work assignments; substantive violations of promotion procedures (see appeal process in chapter five, “Appeals of Decisions on Promotion”); reprisals; substantive error in the application of policy; and matters relating to academic freedom.

Issues not open to grievance: While most faculty disputes with the university administration may be dealt with by this grievance policy, the following issues may not be made the subject of a grievance: determination of policy appropriately promulgated by the university administration or the university governance system; those items falling within the jurisdiction of other university policies and procedures (for example, complaints of unlawful discrimination or harassment, or an appeal related to the merits of a promotion decision); the contents of personnel policies, procedures, rules, regulations, ordinances, and statutes; the routine assignment of university resources (e.g., space, operating funds, parking, etc.); usual actions taken, or recommendations made, by administrators or committee members acting in an official capacity in the grievance process; termination of appointment by removal for just cause, non-reappointment, or abolition of position; or allegations of misconduct in scholarly activities.

Adjudication of disputes on the validity of issues qualifying for consideration under the faculty grievance procedures: If a university administrator rules that an issue does not qualify for the grievance process, the grievant may write to the chair of the Faculty Senate Review Committee within five weekdays of receiving such notification and request a ruling from a special committee consisting of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

5.7.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost's Faculty Forms page.)

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and
the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from the assigned work location at the time of discovery of the event or action that is the basis for a grievance, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the grievant is able to resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers a grievance about actions by an administrator above the level of the immediate supervisor that directly involves the faculty member, or with actions by an administrator not in the department that directly involves the faculty member, the grievant initiates the grievance process by seeking the intervention of the immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in the usual fashion.

A grievance filed by a faculty member concerning an action of the provost is handled by the chair of the Faculty Senate Review Committee and a regular impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the president for ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of the president of the
university is dealt with by a special panel appointed by the provost in consultation with the president of the Faculty Senate.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations, or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.

5.7.6 Overview of the Formal Grievance Process for Non-Tenure-Track Instructional Faculty

Below is an abbreviated overview of the grievance process and deadlines. Refer to chapter five, “The Formal Grievance Procedure,” for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that particular step of the discussion are the makers of such an agreement. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)

<table>
<thead>
<tr>
<th>Step One</th>
<th>Step Number</th>
<th>Description</th>
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</thead>
<tbody>
<tr>
<td>Within 30 days of event</td>
<td>1a.</td>
<td>Grievant meets with immediate supervisor (usually department head).</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>1b.</td>
<td>Department head provides verbal response.</td>
</tr>
<tr>
<td>1c.</td>
<td>If the department head's response is satisfactory to the grievant, that ends the matter.</td>
<td></td>
</tr>
<tr>
<td>1d.</td>
<td>If the department head's response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
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<tr>
<th>Step Two</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>2a.</td>
<td>Grievant submits written grievance to department head.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>2b.</td>
<td>Department head responds in writing on grievance form.</td>
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</table>
If the department head’s response is satisfactory to the grievant, that ends the matter.

If the department head’s response is not satisfactory to grievant, move to step three within 5 weekdays.

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<thead>
<tr>
<th>Step Three</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>3a.</td>
<td>Grievant advances grievance form to the second-level administrator (usually dean).</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>3b.</td>
<td>Dean meets with grievant; dean may request department head to be present.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>3c.</td>
<td>Dean responds in writing on grievance form.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>3d.</td>
<td>If the dean’s written response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>3e.</td>
<td>If the dean’s written response is not satisfactory to grievant, move to step four within 5 weekdays.</td>
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<tr>
<th>Step Four</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>4a.</td>
<td>Grievant advances grievance form to the provost.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>4b.</td>
<td>Provost acknowledges receipt of grievance and forwards copy to Faculty Senate president to receive recommendation of an impartial hearing panel of the Faculty Senate Review Committee.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>4c.</td>
<td>Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.</td>
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<tr>
<td>Within 15 weekdays</td>
<td>4d.</td>
<td>Faculty Senate Review Committee chair appoints hearing panel from among Faculty</td>
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Senate Review Committee members; panel holds its initial meeting with both principals.

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<thead>
<tr>
<th>Within 45 weekdays</th>
<th>4e.</th>
<th>The hearing panel concludes its work and make recommendations to provost and grievant.</th>
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<tr>
<td>Within 10 weekdays</td>
<td>4f.</td>
<td>The provost meets with grievant.</td>
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<tr>
<td>Within 10 weekdays</td>
<td>4g.</td>
<td>The provost notifies grievant in writing of the decision.</td>
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<tr>
<td></td>
<td>4h.</td>
<td>If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendation of the hearing panel, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>4i.</td>
<td>If the provost’s decision is not acceptable to the grievant and not consonant with the recommendation of the hearing panel, move to step five within 20 calendar days.</td>
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<tr>
<th>Step Five</th>
<th>Step Number</th>
<th>Description</th>
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<tr>
<td>Within 20 calendar days</td>
<td>5a.</td>
<td>The grievant appeals in writing to president.</td>
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<td>5b.</td>
<td>The president’s decision is final.</td>
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CHAPTER SIX
RESEARCH FACULTY

6.0 Employment Policies for Research Faculty
The senior vice president for research and innovation reports to the executive vice president and provost (office of the provost). Research faculty are supported by the Office of the Vice President for Research and Innovation.

As valuable contributors to institutional missions, research faculty members are entitled to fair treatment and compensation, access to professional development opportunities, recognition for their accomplishments, and participation in the life of the university community.

6.1 Research Faculty
The Office of Sponsored Programs maintains Information and guidelines regarding Principal Investigator Eligibility and Criteria on the Office of Sponsored Programs Principal Investigator Resources page.

<table>
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<th>Track</th>
<th>Ranks</th>
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<tr>
<td>Postdoctoral Associate</td>
<td>postdoctoral associate</td>
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<tr>
<td>Research Associate</td>
<td>research associate, senior research associate</td>
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<tr>
<td>Research Scientist</td>
<td>research scientist, senior research scientist</td>
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<tr>
<td>Research Professor</td>
<td>research assistant professor, research associate professor, research professor</td>
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6.1.1 Considerations for Establishment of Research Faculty Positions
A summary matrix of qualifications, approval requirements, general expectations, salary guidelines, and typical position responsibilities for employees in the research faculty can be found on the Research and Innovation Research Faculty Ranks page.

Research faculty appointments are designated to promote and expedite university research activities. Research faculty rank descriptions create several series common to current sponsored research or outreach projects.
When establishing research faculty positions in this track, particularly at the research associate level, departments must ensure that the work anticipated for the employee is sufficiently complex and sophisticated to warrant a faculty position. A variety of staff roles are appropriate for research personnel, depending on the nature of the work proposed and the credentials required. For example, laboratory and research specialist I or II is usually the appropriate staff role for personnel overseeing laboratory, animal care, or research support, conducting routine tests, compiling data, collecting and preparing samples.

Careful preparation of the position description by the principal investigator and/or department head and/or supervisor is essential in determining whether the position is staff or research faculty. Staff positions must be used where appropriate; exceptions are granted only in very rare cases.

### 6.1.2 Postdoctoral Associate

The Office of Research and Innovation administers and supports the university’s postdoctoral associate positions. Appointment to this faculty rank is usually reserved for persons who have been awarded a doctoral degree no more than four years prior to the effective date of the appointment with a minimum of one year of eligibility remaining and are engaged in research for a restricted period under the direction of a faculty mentor. The position of postdoctoral associate is intended to be a limited-term traineeship lasting two to four years (not to exceed five years), during which the individual works under the supervision of one or more senior faculty mentors in preparation for a career in academe or research. Funding is usually from a grant, contract, or a postdoctoral fellowship. Postdoctoral associates are considered temporary or short-term appointments by definition and are not appropriate for regular appointments (see regular appointments).

The maximum cumulative allowable duration of employment for a postdoctoral associate held by a single individual, even at multiple institutions, will be five years. The maximum allowable time an individual may be employed in the rank of postdoctoral associate at Virginia Tech is five years. continued appointment beyond five years would require a promotion in rank.

Typically, postdoctoral associates have very limited responsibility for project management, supervision of personnel, or design of the research project on which they are funded. Rather, the position enables the individual to continue studies in a specialty area while gaining practical experience in the field. The postdoctoral traineeship may include opportunities to write and submit grant proposals. With the approval of the department or chair, the postdoctoral associate may serve as co-principal investigator. In certain cases (such as young career award proposals), a postdoctoral associate is permitted to submit a grant as a principal investigator. Requests for principal investigator status may be submitted to the Office of Research and Innovation.

Searches are not required to fill a postdoctoral associate position.
6.1.3 Research Associate Ranks
A person appointed to a research associate rank contributes to research activities using standard and non-standard procedures appropriate to the field. Persons appointed to research associate ranks are not eligible to be principal investigators; however, exception requests for principal investigator status for senior research associates may be submitted to the Office of the Vice President for Research and Innovation.

6.1.3.1 Research Associate
The research associate rank is the entry, or most junior, rank for research faculty members involved in sponsored projects. However, the work may vary from that which is appropriate for a relatively new professional to broader or more significant responsibilities expected of more experienced research faculty personnel. Research associates generally conduct research under supervision. They may provide input into the preparation of proposals or supervise staff or student personnel, but typically they have limited responsibility and authority in these areas.

A master’s degree in a relevant field is the minimum qualification for appointment as a research associate. The Office of Research and Innovation must approve requests for exceptions for individuals with a bachelor’s degree and significant related experience before an offer is extended.

6.1.3.2 Senior Research Associate
The rank of senior research associate requires greater qualifications than the research associate either in education, experience, or both. Senior research associates conduct research under limited supervision.

Typically, they have some significant supervisory responsibility for lower-level personnel and may contribute to the conceptualization and preparation of research proposals, reports, and resource acquisition.

A doctorate or a terminal degree in the field and some experience are required. The Office of Research and Innovation must approve an appointment or promotion to this rank for individuals with a lesser degree and substantial related experience before an offer is extended.

6.1.4 Research Scientist Ranks
6.1.4.1 Research Scientist
Research scientists fulfill a senior role in the university’s research program. They conduct independent research under limited supervision. By virtue of their expertise and experience, research scientists make significant contributions to the conceptualization and conduct of the research. They may be involved in the preparation of proposals, reports, and publications, presentation of research results, and development of patents. The rank of research scientist is parallel to that of research assistant or research associate professor. A doctorate or terminal degree in the field and significant experience are expected.
6.1.4.2 Senior Research Scientist

The senior research scientist is the highest rank in the research faculty series for those who are not involved in a graduate program. As experienced research faculty members, senior research scientists are often responsible for the design and execution of a project and interpretation of research results. Typically, they have significant responsibility for supervision of personnel, budget preparation and execution, and organization and management of the research project. Guidelines and information regarding Principal Investigators is located in chapter ten of this handbook and on the Office for Sponsored Programs Principal Investigator Resources page.

The rank of senior research scientist is parallel to that of research associate professor or research professor. A doctorate or terminal degree in the field and a considerable record of research are expected.

6.1.5 Research Professor Ranks

The research professor ranks are designed for research faculty members whose appointments are expected to last more than one year and whose credentials are comparable to those of the tenured and tenure-track faculty of similar rank. This track is parallel to research scientist and senior research scientist, not necessarily above it. Appointment to research professor ranks is not appropriate for those with short-term or limited appointments since this would disadvantage the graduate or professional students with whom they might work. Research faculty members with appropriate credentials and approvals whose primary appointment is in a research unit not affiliated with a degree-granting academic department may also be appointed to these ranks with appropriate credentials and approvals. Tenure cannot be earned in any of the research faculty ranks and service is not applicable toward the probationary period if the employee is subsequently appointed to a tenure-track position.

With approval by the degree-granting program, those appointed to any research professor rank may direct graduate theses and dissertations and serve on graduate committees consistent with program and graduate school policy.

At the discretion of the academic department, departmental faculty membership with or without voting privileges may be extended to an assistant, associate, or research professor. However, a person appointed to a research professor rank is not eligible to vote on matters relating to faculty appointment, retention, promotion, or tenure.

Faculty members in this series may teach occasionally in their areas of expertise in accordance with guidelines below and by providing the appropriate credentials required of instructional faculty. (See chapter two, “Qualification and Teaching Credentials for Instructors of Record,” or the provost’s Faculty Credentials page.) Faculty in the research professor series may teach one course per year or two courses in a two-year period. They may teach more if funding is appropriately charged to the instructional budget and approved by the principal investigator/supervisor, department head or chair, and dean.
Promotion to a higher rank may be granted to research professorial faculty who have sources of continued funding and demonstrate outstanding accomplishments in appropriate activities. The curriculum vitae together with annual faculty activity reports, reprints of publications, reference letters, and other similar documents comprise a dossier, which furnishes the principal basis for promotion decisions. Besides consideration of specific professional criteria, evaluation for promotion should consider the candidate’s integrity, professional conduct, and ethics. To the extent that such considerations are significant factors in reaching a negative recommendation, they should be documented as part of the formal review process.

Research professor faculty members being considered for promotion have their dossiers reviewed at as many as three levels: (1) by a departmental committee and the head or chair; (2) by a college committee and the dean/senior management; and (3) by the office of the provost. Faculty members are not permitted to serve on department or college committees that will be reviewing a family member (spouse or dependent immediate family member) or an individual with whom they have a close personal relationship such as partner or extended family member.

6.1.5.1 Research Assistant Professor

Persons appointed as research assistant professors are required to have a doctoral degree or terminal degree appropriate to the field and credentials consistent with those for appointment to the rank of assistant professor. Research assistant professors are equivalent to research scientists in terms of their credentials; however, appointment to this rank indicates actual or anticipated involvement with the academic program.

Research assistant professors are expected to contribute significantly to the design and execution of research projects. They conduct independent research in their field of specialization under general supervision. They may have supervisory responsibility for project personnel and contribute to project management.

The approval of the department head or chair, dean (or next level administrator), and the Office of Research and Innovation is required before an offer is extended for an original appointment or reappointment, including approval of the proposed rank, salary, and other conditions.

6.1.5.2 Research Associate Professor

Persons appointed to this rank are required to have a doctoral degree or terminal degree appropriate to the field and credentials consistent with those for appointment to the rank of associate professor. Research associate professors are typically responsible for design and execution of research projects and interpretation of research results. They may have significant supervisory responsibility for project personnel and contribute to project management.

Original appointments follow standard departmental procedures for tenured and tenure-track faculty appointments. Typically, this involves approval by the appropriate departmental/unit committee, followed by approval of the department/unit head or chair, dean (or next level administrator), and the office of the provost. Promotion to this rank requires evidence of
continuous professional development, documentation of excellence in their disciplinary field, contribution to research or creative activity supported through grants and contracts, and at least regional recognition. See chapter three, “Evaluation Procedures for Promotion and Tenure.” The promotion review and approval process is described in chapter six, “Research Faculty Promotions: Professorial Ranks.”

6.1.5.3 Research Professor

Persons appointed to this rank are required to have a doctoral degree or terminal degree appropriate to the field and credentials consistent with those for appointment to the rank of professor. Research professors are typically responsible for design and execution of research projects and interpretation of research results. They may have significant supervisory responsibility for project personnel and contribute to project management.

Original appointments follow standard departmental procedures for tenured and tenure-track faculty appointments. Typically, this involves approval by the appropriate departmental/unit committee, followed by approval of the department/unit head or chair, dean (or next level administrator), and the Office of Research and Innovation. Promotion to this rank requires evidence of continuous professional development, documentation of excellence in their disciplinary field, outstanding research or creative activity supported by grants and contracts, and national and/or international recognition. (See chapter three, “Evaluation Procedures for Promotion and Tenure.”) The promotion review and approval process is in chapter six “Research Faculty Promotions: Professorial Ranks.”

6.2 Policies Related to Research Faculty Appointments

Research faculty members may be assigned a functional title in addition to their official faculty rank to facilitate their work or clarify their role to internal or external constituencies. (A functional title may not be an official faculty rank other than that held by the research faculty member.) In some cases, increased responsibilities lead to a change in functional title and possibly a salary adjustment rather than a promotion in faculty rank.

Appointments to research faculty ranks, except the rank of postdoctoral associate, are indefinitely renewable. However, tenure cannot be earned in any of the research faculty ranks and service is not applicable toward the pre-tenure probationary period if the employee is subsequently appointed to a tenure-track position.

The source of funds is not the determining factor as to whether a position carries a research faculty rank, but rather the nature and purpose of the assignment. Thus, a research faculty member may be funded by sponsored projects, facilities and administrative funds, state dollars, or other sources. Policies related to research faculty apply, regardless of the source of funding.

Research faculty may participate in activities outside of their direct source of funding, such as providing significant contributions to the conceptualization or writing of new proposals, or teaching (see section 6.2.1); however, support for any time or effort spent on activities outside of their
sponsored research must come from non-sponsored research funds. Special attention should be given in the development of position descriptions where funding is limited to only sponsored funding. (See chapter six, “Effort Certification Compliance Issues for Research Faculty,” and chapter ten, “Effort Certification and Salary Charges to Sponsored Grants and Contracts.”)

Original appointments and reappointments, including rank, salary, and other conditions, require the approval of the department head or chair, dean (or next level administrator), and the Office of Research and Innovation before an offer is extended.

6.2.1 Instructional Responsibilities for Research Faculty Members

The primary responsibility of a research faculty appointment is to conduct research and contribute to the university’s research mission through the acquisition of and successful implementation of sponsored grants and contracts. Federal guidelines require truthful and auditable documentation of the faculty member’s efforts on a semester basis. If the faculty member’s salary is paid for by sponsored grants and contracts, then there is a concomitant expectation that the faculty member’s time is allocated to those projects.

While keeping the primacy of the research role in mind, there are circumstances in which the university and its instructional programs benefit from the occasional participation of research faculty members who have the appropriate credentials, expertise, and interest. The usual limitation on teaching by research faculty members is one (three-credit) course per academic year, or no more than two courses in a two-year period. The principal investigator/supervisor, department head/chair, and dean must approve exceptions. The academic department provides instructional funding for the teaching appointment and research duties are adjusted accordingly. A three-credit course equates to 0.25 FTE during an academic semester; this is the usual basis for salary charges to the instructional budget.

Research faculty members may receive additional compensation to teach a class that exceeds their normal research assignment. To qualify for additional compensation, the research faculty member may not be 100% percent supported from sponsored funds, must be the instructor of record, and must usually be assigned to teach for the entire semester. For courses with block teaching, the research faculty member must have a formal teaching assignment for a specified portion of the course. The academic department responsible for the course must fund the payment from non-sponsored funds and initiate the payment as a temporary pay action. The payment must be approved jointly by the academic and home departments and colleges, and by the Office of Research and Innovation.

It is the responsibility of the hiring department to obtain and verify documentation of credentials of all faculty prior to employment. Information regarding appropriate credentials for instructional faculty is found in chapter two, “Qualifications and Teaching Credentialing for Instructors of Record,” and on the provost’s Faculty Credentials page.

Research faculty members with appropriate credentials and experience may serve on graduate student committees in accordance with policies of the graduate school and the department. Those
with appointment to the research professor ranks may chair a committee, if approved by the degree-granting department. Involvement in supervision of graduate student research may be directly related to fulfillment of sponsored grants and contracts and thus may have a synergistic effect.

Contributions to the instructional program are monitored and evaluated by the academic department and by the supervisor.

6.2.2 Research Faculty Promotions: Research Associate, Research Scientist

While there is logic to the progression between and among ranks, employees may change ranks as appropriate or necessary to reflect a change in role or project that aligns best with the essential responsibilities of the position. A promotion from one rank to another may be recommended by the supervisor to recognize a faculty member’s increased responsibilities, credentials, and/or contributions to the program over time.

Recommendations for promotions within the non-professorial ranks (such as research associates and research scientists) may be requested at any time during the year in recognition of significant increases in responsibilities, credentials, or contributions. The promotions require approval by the department head, dean, and Office of Research and Innovation. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship. Following approval of the promotion request, a promotion letter signed by the department head should be presented to the employee.

6.2.3 Research Faculty Promotions: Professorial Ranks

Promotion recommendations into and within the research professorial faculty ranks (research assistant professor, research associate professor, and research professor) should align with the annual timeline published by the university. Faculty members being considered for promotion have their dossiers reviewed by: (1) a departmental committee and the head or chair; (2) a college committee and the dean/senior management level; and (3) the Office of Research and Innovation. Following approval of the promotion request, a promotion letter signed by the vice president for research and innovation should be presented to the employee.

6.3 Affiliated Research Faculty

Occasionally, individuals outside of university employment are identified to team with university faculty to enhance research opportunities through departments. To support these associations, the university has developed the affiliated research faculty program. Affiliated research appointments may be made for individuals connected to specific academic departments or may be made through research institutes or centers. Affiliated research appointments may also be established to facilitate research partnerships. This program may address occasions where a university faculty member has a spouse or partner who also has professional academic credentials, but who has not found appropriate employment opportunities.
Appointments in departments, colleges, or the provost, are approved at the department level and reviewed by Human Resources. Applicants must have academic credentials equivalent to those of university faculty, including the terminal degree usually required of faculty in the discipline. Applications for appointment to affiliated research faculty status must have the endorsement of the head or chair of the Virginia Tech department relevant to the applicant’s discipline.

Typically, an affiliated research faculty member has unpaid adjunct status in the academic department for that discipline. The appointment is initiated by the host department submitting to the office of the provost a letter of support, the applicant’s curriculum vitae, and the request for unpaid faculty affiliation with a Virginia Tech academic department, approved by the department head or chair and dean or director. The appointments are renewable. The rank is the research faculty designation commensurate with the credentials of the candidate.

6.4 Searches for Research Faculty

Virginia Tech is committed to announcing the availability of positions so that a diverse pool of qualified candidates is developed for faculty positions of all types. In the case of research faculty, many of whom are hired on short-term grants and contracts sometimes requiring specialized skills and abilities, there is a need to balance the demands of the sponsored grant or contract with the institution’s commitment to open and aggressive recruitment practices to attract a diverse workforce. For more information on the faculty search process, see chapter two.

Competitive searches are required for salaried appointments to the research faculty, except in a limited number of cases warranting an exemption. Appointments of less than one year do not require a search. Searches are not required to fill a postdoctoral associate position or in the case where the person to be appointed is the author of the grant or is listed as the principal investigator or co-principal investigator, or appointment of a dual career hire. Occasionally the identified candidate may have previously worked on the project in a significant role and continuation of personnel is critical to the success of the project and a search may not be required. Consult the Office of Research and Innovation for limited exceptions.

6.5 Terms of Faculty Offer (TOFO) and Documentation of Credentials

Employment is contingent upon presentation of satisfactory documentation of credentials prior to employment. In accordance with federal law, on the first day of their employment, new employees must provide documentation of U.S. citizenship or lawful authorization to work in the United States.

All new appointments and reappointments are documented in the terms of faculty offer (TOFO) prepared by the department head or chair. The terms of faculty offer includes salary, effective date, rank, and other critical information concerning the faculty appointment. The contract specifies whether the appointment is restricted (usual appointment type for research faculty) or regular. See below for conditions under which research faculty appointments may be “regular.” All letters of appointment refer to further terms and conditions of employment contained in the Faculty Handbook.
The terms of faculty offer for a restricted appointment clearly defines the length of the appointment. In cases where there is no expected opportunity for continuation, the document also serves as a notice of termination. The terms of faculty offer makes clear that continuation of appointment, even during the initial year, is subject to the availability of funds, the need for services, and satisfactory performance. Related letters of offer or appointment should not contain promises that the hiring unit may not be able to keep; the university looks to the department to make good on defaults. Approval of the department head, dean, and the Office of Research and Innovation are required before an offer is extended.

It is the responsibility of the hiring department to obtain and verify documentation of credentials on all faculty prior to employment. See chapter two.

6.5.1 Restricted Appointments
Salary support for research faculty typically comes from one or more sponsored projects. While some research faculty may be employed for years on successive grants, particularly in large, ongoing research programs, many are employed only for the duration of a specific funded project—in some cases six months and in other cases perhaps several years. Sponsored funding is seldom certain and never permanent. As a result, research faculty are usually appointed as “restricted” faculty members whose employment depends on availability of funding, the need for services, and satisfactory performance.

A research faculty member’s initial appointment or reappointment may be for up to three years provided that documented funding for the salary and fringe benefits is available from a multi-year grant, multiple grants, or other appropriate source(s), and provided a search has been conducted or an approved exemption obtained. In such cases the terms of faculty offer specifies the length of the restricted appointment.

If a person on restricted appointment is to be continued, a reappointment is required. (See chapter six, “Reappointment.”) The reappointment contract again defines the conditions of the appointment. Any changes should be made explicit. If a salary increase is approved, it should be a part of their appointment contract. Prior to the current contract end date, the department is expected to execute a reappointment contract. Annual evaluation and merit adjustments occur on the same cycle as for all other faculty members. A performance review must be done annually, shared with the appointee, and documented in writing.

Procedures for terminating employees are addressed in chapter six, “Termination Procedures for Research Faculty.”

6.5.2 Regular Appointments
As defined in Policy 3020, “Centers and University Institutes: Financial and Administrative Policy and Procedures,” and Policy 13005, “Centers and University Institutes: Establishment, Governance, and Programmatic Oversight” departments intending to support specific research faculty members on applicable state funds, whether or not those individuals participate in a
“program” or “center” may also seek approval to appoint a research faculty member to a regular position using the same process.

The criteria and expectations for such approval are as follows:

- The unit must have a documented record of substantial past funding, usually from diversified sources, generally over more than five years. In the case of a new center with multi-year funding, documentation of the new funding supported by the history of funding for the principal researchers may be considered. Research programs supported in full or in part by state funds are eligible for consideration for regular positions.
- The unit must have documented prospects for continued funding at a level equal to or greater than its current funding.
- The unit must be able to guarantee payment of salary and fringe benefits from sponsored grants or contracts (or other appropriate sources) for a minimum of three years to advertise a research faculty position as a regular appointment.
- The unit must be able to guarantee funding of annual leave, sick leave, and salary following non-reappointment in the case of insufficient grant funds. The source of such payouts or salary support must be non-sponsored funds, such as indirect or state funds.
- The unit will advertise and conduct a national search for regular positions. Search exemptions may be approved only under certain very limited conditions, such as unique qualifications or unit restructuring. However, a search must be conducted if there is an intention of supporting an international candidate for permanent residency. In such a case, the hiring unit should work closely with the International Support Services Office to ensure compliance with current Immigration and Naturalization Service (INS) regulations.

Appropriate documentation of the search process and selection is a critical element in supporting an application for permanent residency.

In supporting the request for a regular faculty appointment, the unit and/or department (or approving unit) is thereby committing itself to covering shortfalls in funding between grants, or whenever there is insufficient funding for the salary, from other sources. Should this occur, duties may be reassigned to match the available source of funds.

The Office of Research and Innovation may grant approval to the unit to conduct searches for regular positions for a period of three to five years at which time the financial capabilities and commitments of the unit are reviewed, and authorization is granted for another three-to five-year period, if appropriate.

Approval for the unit to advertise and fill some research faculty positions as regular appointments does not in any way suggest that all positions in the unit should be so designated. Indeed, careful thought should go into the shaping of such positions, the identification of talents and skills needed in the research group, and the availability of qualified individuals that may necessitate this more generous commitment of resources.
Postdoctoral associates are considered temporary or short-term appointments by definition and are not appropriate for regular appointments.

Research faculty members on regular appointments are entitled to notice of non-reappointment, as specified in chapter two, “Retirement, Resignation, and Non-Reappointment.”

6.5.3 Calendar Year (CY) versus Academic Year (AY) Appointments

The nature of the research enterprise generally dictates that research faculty are appointed to a calendar year (12-month) position. However, there may be circumstances in which an academic year (nine-month) appointment is justified and appropriate. The justification for an academic year appointment should accompany the faculty search authorization or search exemption request.

Academic year research appointments do not earn or accrue annual leave. Faculty members on academic year restricted appointments earn and accrue sick leave at the rate of five hours per pay period during the academic year; those on regular appointments are entitled to 1040 hours of paid sick leave upon employment. Sick leave is addressed in more detail in chapter two, “Sick Leave.”

Research faculty members on academic year appointments may accept summer research wage (P14) or summer or winter session teaching employment in the same department or program, or elsewhere in the university. Research faculty on H1-B visas qualify for summer wage employment only in very limited cases. Contact the International Support Services to verify eligibility. Those who have documentation of additional months of funding from sponsored grants or contracts may be eligible for consideration of a calendar year research conversion under the terms of Policy 6200, “Policy on Research Extended Appointments.” (See chapter two, “Research Extended Appointments for Faculty on Academic Year Appointments,” chapter six, “Effort Certification Compliance Issues for Research Faculty,” and chapter ten, “Effort Certification and Salary Charges to Sponsored Grants and Contracts.”)

6.6 Position Descriptions

Every research faculty member must have an up-to-date position description that forms the basis for initial hiring and assignment of duties and, through subsequent updates, for annual evaluation. Position descriptions should include a detailed list or narrative description of assigned responsibilities and expectations for performance. A position description should be created and entered into the university’s online position description system.

6.7 Annual Evaluations

Supervisors, usually principal investigators, are responsible for conducting an annual evaluation for any and all research faculty. The annual performance review must be shared with the appointee and documented in writing. This documentation supports the request for annual merit and/or special adjustments. Giving regular and constructive feedback is essential to the development of employees, and it is the responsibility of the department head to be certain that research faculty are appropriately and consistently evaluated. The cycle for evaluation is the same
as that for all other faculty members in their college or institute. Annual evaluation and merit adjustments occur on the same cycle as for all other faculty members.

6.8 Merit and Special Adjustments
Research faculty members, both regular and restricted, are eligible for annual merit adjustments (and special adjustments when necessary and appropriate) on the same cycle as all other faculty members when available and authorized by the university. The result is then communicated to the research faculty member. A promotion requires a new Terms of Faculty Offer (TOFO). Following the annual evaluation, supervisors make recommendations to department heads who, in turn, make their recommendations to college and university officials. Final approval of the recommendations for merit and special adjustments rests with the Board of Visitors. The result is then communicated to the research faculty member. Merit recommendations for research faculty members are generally expected to track the merit adjustments for teaching and research faculty members. In some cases, available funds may limit, delay, or even preclude a merit adjustment. However, performance evaluation and feedback to the employee are still required even if a merit adjustment is not possible.

Special adjustments, outside of the annual merit process, may be recommended in accordance with the guidelines for faculty salary adjustments available from the Office of Research and Innovation. Examples of such adjustments might be for promotion in rank, increased responsibility, retention, equity, or other reasons critical to the support of research faculty members. Justification and appropriate approvals are required as outlined in the guidelines.

6.9 Reappointment
Research faculty members on restricted appointment whose employment is to be continued are issued a reappointment specifying the new ending date for their appointment. Reappointments typically occur on the anniversary of the hire date or in relation to the funding cycle of the grant or appointment.

Reappointments may be for less than one year in situations where additional funding is anticipated but not confirmed. Multiple reappointments may occur during the span of the research faculty member’s employment. The reappointment date may be adjusted based on other significant actions (e.g., promotion), or by issuing appointments that move the employee to the same effective date as their merit adjustment. Multi-year reappointments are possible in cases where funding is available for the proposed reappointment period.

Research faculty members on regular appointment do not have fixed ending dates to their contracts. Should it become necessary to end the appointment, they receive written notice of non-reappointment as described in chapter two, “Retirement, Resignation, and Non-Reappointment.”

6.10 Termination Procedures for Research Faculty
Members of the research faculty may be removed from their position by one of the following three procedures: (1) removal for just cause, (2) non-reappointment, or (3) termination of position
because of insufficient funds or no further need for services. The period of notice for non-reappointment of research faculty members on regular appointments is addressed in chapter two, "Retirement, Resignation, and Non-Reappointment."

6.10.1 Dismissal for Cause
Research faculty members may be dismissed for just cause. Stated causes for dismissal shall include but are not limited to professional incompetence; unacceptable or unsatisfactory performance after due notice; unethical conduct or misconduct that interferes with the capacity of the employee to effectively perform the requirements of the position; violation of university policy; falsification of credentials, experience, leave reports, or other official employment documents. Filing a grievance does not constitute just cause for termination.

When it becomes necessary to terminate a member of the research faculty for unsatisfactory performance prior to the end of the appointment period, the following procedures apply:

When the faculty supervisor determines that performance is unsatisfactory, the supervisor writes a letter to the individual detailing the areas of performance that are deficient. This letter should indicate specific expectations of improvement by the employee during a specified period of not less than 30 calendar days. The department head and college dean receive copies. In cases where there is some likelihood of threat to health or safety, the 30-day period may be waived.

At the end of the above period, the faculty supervisor must again write the research faculty member with a performance evaluation during the interim since the first letter, with copies to the department head and college dean or equivalent senior-level manager. If performance continues to be unsatisfactory, this second letter may contain a termination notice. The termination notice has an effective date 45 calendar days from the date of the second letter. In cases where there is a threat to health or safety, the 45-day period may be waived.

In the event of termination, the research faculty member may appeal to the department head. Should the appeal process be initiated, the termination is held in abeyance until the appeal process is complete.

The appeal must be made in writing within five working days of receipt of the letter. (If the department head has a conflict of interest, the head refers the matter to the college dean.)

The department head (or dean) must respond in writing within 10 working days. If the recommendations of the department head (or dean) are unsatisfactory to either party, an appeal may be made to the office of the provost in writing within five working days.

The Office of Research and Innovation appoints a committee of three members of the general faculty who make recommendations to the provost within 10 working days.

The decision of the provost is final and is rendered within 10 working days of receiving the report.
The above time limits of the appeal process may be altered by extenuating circumstances and the agreement of both parties.

If the research faculty member is a member of an interdisciplinary research center, the center director as well as the department head and college dean of the faculty supervisor are copied on all correspondence.

6.10.2 Non-Reappointment of Research Faculty
The terms of faculty offer for a restricted appointment clearly defines the length of the appointment and serves as a notice of termination. The terms of faculty offer makes clear that continuation of appointment, even during the initial year, is subject to the availability of funds, the need for services, and satisfactory performance. (See “Terms of Faculty Offer and Documentation of Credentials.”)

Research faculty members with regular appointment receive written notice of non-reappointment as described in chapter two, “Retirement, Resignation, and Non-Reappointment,” should it become necessary to end the appointment.

6.10.3 Termination of Position Because of Insufficient Funds or No Further Need for Services
Occasionally a sponsor terminates funding before the end of a contract or directs a change in the research program resulting in the need to terminate the services of an employee. While principal investigators and research centers are encouraged to make every effort to assure continuity of employment to individuals performing satisfactorily, there are circumstances in which this may not be possible or in the best interest of the research program or university. Research faculty appointments may be terminated in the case where there are insufficient funds or no further need for services. The date of termination for a restricted faculty member is at least 30 calendar days from the date of notification. A faculty member on a regular appointment is entitled to notice of non-reappointment, as stated in chapter two, “Retirement, Resignation, and Non-Reappointment.” A proposed notice of termination because of insufficient funds or lack of need for services requires the approval of the department head, and dean (or appropriate administrator), and the Office of Research and Innovation.

6.11 Effort Certification Compliance Issues for Research Faculty
As described in chapter ten, “Effort Certification and Salary Charges to Sponsored Grants and Contracts,” a research faculty member with regular, well-defined responsibilities for new proposal preparation, teaching, or administrative duties is prohibited from charging 100% of salary to sponsored projects during an effort reporting period in which such activity occurred, unless those activities are specifically allowed on the sponsored project.

Research faculty members are typically on 12-month appointments, which earn and accrue annual leave by university policy. The use of annual leave is recognized as an acceptable charge to a sponsored project when such leave is part of the university appointment.
6.12 Faculty Grievance Policy and Procedures
The following procedure is provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by members of the research faculty.

6.12.1 Ombuds, Mediation Services, and Faculty Senate Committee on Reconciliation

Informal Dialogue: It should be possible to resolve most faculty concerns or complaints through informal communication among colleagues working together in the academic enterprise. Accordingly, a faculty member who feels there is a grievance is encouraged to take it to the immediate supervisor in the collegial spirit of problem solving rather than as a confrontation between adversaries.

University Ombuds: Any member of the university community may visit the university Ombuds Office. The Ombuds listens and explores options for addressing and resolving concerns or complaints. The Ombuds Office does not have the authority to make decisions or to reverse any decision made or actions taken by university authorities. The Ombuds Office supplements, but does not replace, the university's existing resources for conflict resolution and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Ombuds Office will not accept legal notice on behalf of the university, and information provided to the Ombuds Office will not constitute such notice to the university. Should someone wish to make the university formally aware of a particular problem, the Ombuds Office can provide information on how to do so. The only exception to this pledge of confidentiality is where the Ombuds Office determines that there is an imminent risk of serious harm, or if disclosure is required by law.

To preserve independence and neutrality, the Ombuds Office reports directly to the University President. The Ombuds Office does not keep permanent records of confidential communications.

Reconciliation: At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Faculty Senate Committee on Reconciliation in fashioning an equitable solution. Contacting the Faculty Senate Committee on Reconciliation is not required in filing a grievance, but it may be useful if the grievant feels that the issue may be amenable to, but will require time for, negotiation; or if the grievant is unsure whether the concern is a legitimate issue for a grievance; or if personal relations between the parties involved in the grievance have become strained.

For a potential grievance issue to qualify for consideration by the Faculty Senate Committee on Reconciliation, the grievant contacts the chair of the Faculty Senate Committee on Reconciliation within 30 calendar days of the time when the grievant knew or should have known of the event or action that is the basis for the potential grievance, just as if beginning the regular grievance process. If the grievant requests assistance from the Faculty Senate Committee on
Reconciliation, that committee requests a postponement of the time limits involved in the
grievance procedure while it deals with the case. The chair of the Faculty Senate Committee on
Reconciliation submits the request in writing to the vice provost for faculty affairs. Also, the
grievant reaches an understanding with the Faculty Senate Committee on Reconciliation of the
time frame planned for that committee’s work on the case, such time not to exceed 60 calendar
days.

Faculty members may also consult the Faculty Senate Committee on Reconciliation about serious
disagreements with immediate supervisors or other university administrators concerning issues
that may not be eligible for consideration within the grievance process. In such instances, the
committee contacts the relevant administrator to determine if there is an interest and willingness
to explore informal resolution of the dispute; it is not necessary to notify the Office of the Executive
Vice President and Provost. Information on the Faculty Senate Committee on Reconciliation is in
chapter two of this handbook and on the Faculty Senate website.

Mediation: Mediation is a voluntary, confidential process through which trained neutral third
persons (mediators) assist people to express their concerns and develop solutions to the dispute
in a safe and structured environment. Assistance with mediation is available through Human
Resources. Because mediation is voluntary, both parties must agree to participate. Faculty
members and supervisors are encouraged to consider using mediation to resolve disputes or to
help address a conflict between a faculty member and another member of the Virginia Tech
community.

Role of Mediators: Mediators do not make judgments, determine facts, or decide the outcome;
instead, they facilitate discussion between the participants, who identify the solutions best suited
to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting Mediation: Mediation is available at any time, without the filing of a grievance.
Additionally, mediation may be requested by any party during the grievance process prior to step
four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the
grievance is placed on administrative hold until the mediation process is complete. If the parties
come to a resolution of the dispute through mediation, the parties are responsible to each other
for ensuring that the provisions of the agreement are followed. If the parties are not able to reach
a mutual resolution to the dispute through mediation, the grievant may request that the grievance
be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in
evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is
required to participate in either process.

6.12.2 The Formal Grievance Procedure
If the assistance of the Faculty Senate Committee on Reconciliation is not desired or is not
requested; or if that committee determines that it cannot provide assistance in the matter; or if the
grievant finds that the length of time the Faculty Senate Committee on Reconciliation plans or
takes with the case is excessive; or if the grievant is not satisfied with the recommendations of
that committee, the grievant may pursue the issue as a formal grievance through the following
procedure. Department heads or chairs, deans, directors, and other administrative faculty will
cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone
is responsible for preparation of the case.

**Step one:** The grievant shall provide a written description of the event or action on the faculty
grievance form and relevant supporting documentation of the grievance within 30 calendar days
of the date when the event or action should have been known that is the basis of the grievance
to the immediate supervisor. Research faculty grievance forms are available on provost’s Faculty
Forms page.

The supervisor meets with the grievant and provides a written response within five weekdays to
the grievant citing reasons for action taken or not taken and the final decision. If the supervisor’s
response is satisfactory to the grievant, that ends the matter.

If the response is not satisfactory to the grievant or the supervisor does not respond within five
weekdays, the grievant will indicate “no resolution” on the faculty grievance form, return a copy of
the form to the immediate supervisor and proceed to step two.

**Step two:** The grievant advances the written description of the event or action, relevant
supporting documentation, research faculty grievance form and the written response of the
immediate supervisor (or statement of non-response if the supervisor did not respond within five
the weekdays at step one) to the next level administrator within five weekdays of receipt of the
decision. The next level administrator is the department head. If the department head has a
conflict of interest, he or she refers the matter is referred to the college dean. The administrator
involved at this level is hereafter referred to as the second-level administrator.

Within five weekdays of receipt of the research faculty grievance form, the second-level
administrator meets with the grievant and may request the presence of the immediate supervisor.
The grievant may similarly request that a chosen representative from among the university faculty
be present. Unless the grievant is represented by a member of the faculty who is also a lawyer,
the second-level administrator does not have legal counsel present.

The second-level administrator returns the research faculty grievance form and provides a written
response and final decision to the grievant with copies to the immediate supervisor within five
weekdays after the meeting. The decision of the second-level administrator takes precedence
over the decision of the immediate supervisor. If the response is satisfactory to the grievant, that
ends the matter. If the response is not satisfactory or if there is no response within five weekdays
by the second level administrator, the grievant may indicate on the grievance form and return a
copy to the second-level administrator and proceed to step three.

**Step three:** The grievant may advance the written description of the event or action, relevant
supporting documentation grievance form and written responses of the immediate supervisor and
second-level administrator to the dean or equivalent senior-level manager within five weekdays of receipt of the decision in step two.

The dean will inform the immediate supervisor within five weekdays that the procedure has advanced to step three.

Within five weekdays of receipt of the grievance form, the dean meets with the grievant and may request the presence of the immediate supervisor. The grievant may similarly request that a chosen representative from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the dean does not have legal counsel present.

The dean shall return the grievance form and provide a written response and final decision to the grievant with copies to the immediate supervisor and second-level administrator within five weekdays after the meeting. The decision of the dean takes precedence over the decision of the second-level administrator. If the response is satisfactory to the grievant, the procedure is terminated. If the response is not satisfactory or if there is no response within five weekdays by the dean, the grievant may so indicate on the research faculty grievance form and return a copy to the dean and proceed to step four.

**Step four:** The grievant will advance the written description of the event or action, relevant supporting documentation, research faculty grievance form, and written responses of the immediate supervisor, second-level administrator, and dean to the executive vice president and provost within five weekdays of the decision of step four. The provost will make a decision and may wish to consult faculty members unfamiliar with the grievance for an opinion.

The decision of the provost is final and will be rendered to the grievant and immediate supervisor within five weekdays of receipt of the grievance.

The above time limits of the appeal process may be altered by extenuating circumstances and the agreement of both parties.

If the research faculty member is a member of an interdisciplinary research center, the center director as well as the department head and dean are copied on all correspondence.

**6.12.3 Timeliness of Grievance and Procedural Compliance**

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time when the event or action should have been known that is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their
duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution as satisfactory was accepted. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the chair of the Faculty Senate Review Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee of two research faculty appointed by the vice president for research and innovation and the chair of the Faculty Senate Review Committee is convened to rule on the question, as in disputes about the validity of issues qualifying for the grievance procedure. The special committee has the following options. It can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a significant procedural violation did occur. If the administrator committed a significant procedural violation, the grievance automatically qualifies for advancement to the next step in the grievance process. If the grievant committed a significant procedural violation, the grievance process ends at that point with the last proposed resolution established as the final disposition of the case.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

Information on the Faculty Senate Review Committee is in chapter two of this handbook and on the Faculty Senate website.

6.12.4 Valid Issues for Grievance

For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation, unreasonable merit adjustment or salary level, or excessive teaching load/work assignments; substantive violations of promotion procedures (see chapter six, “Research Professor Ranks”); reprisals; substantive error in the application of policy; and matters relating to academic freedom.

Issues not open to grievance: While most faculty disputes with the university administration may be dealt with by this grievance policy, the following issues may not be made the subject of a grievance: determination of policy appropriately promulgated by the university administration or the university governance system; those items falling within the jurisdiction of other university
policies and procedures (for example, complaints of unlawful discrimination or harassment, or an appeal related to the merits of a promotion decision); the contents of personnel policies, procedures, rules, regulations, ordinances, and statutes; the routine assignment of university resources (e.g., space, operating funds, parking, etc.); usual actions taken, or recommendations made, by administrators or committee members acting in an official capacity in the grievance process; termination of appointment by removal for just cause, non-reappointment, or abolition of position; or allegations of misconduct in scholarly activities.

Adjudication of disputes on the validity of issues qualifying for consideration under the faculty grievance procedures: If a university administrator rules that an issue does not qualify for the grievance process, the grievant may write to the chair of the Faculty Senate Review Committee within five weekdays of receiving such notification and request a ruling from a special committee consisting of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

6.12.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an agreement. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits.

If a faculty member is away from the assigned work location at the time the event or action that is the basis for a grievance is discovered, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant
obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

If a faculty member discovers there is a grievance about actions by an administrator above the level of the immediate supervisor that directly involve the faculty member, or with actions by an administrator not in the department that directly involve the faculty member, the grievant initiates the grievance process by seeking the mediation of the immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in usual fashion.

A grievance filed by a faculty member concerning an action of the provost is managed by the chair of the Faculty Senate Review Committee and a regular impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the university president for ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of the president of the university is dealt with by a special panel appointed by the provost in consultation with the president of the Faculty Senate.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.

6.12.6 Overview of the Formal Grievance Process for Research Faculty

Below is an abbreviated overview of the grievance process and deadlines. Refer to chapter six, “The Formal Grievance Procedure,” for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an agreement. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)
<table>
<thead>
<tr>
<th>Step One</th>
<th>Step Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Within 30 days of event</strong></td>
<td>1a</td>
<td>Grievant submits written grievance to supervisor.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>1b</td>
<td>The supervisor meets with the grievant and provides written response.</td>
</tr>
<tr>
<td></td>
<td>1c</td>
<td>If the supervisor’s response is satisfactory to the grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>1d</td>
<td>If supervisor’s response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
</tr>
<tr>
<td><strong>Step Two</strong></td>
<td>2a</td>
<td>Grievant advances grievance form to the next-level administrator referred to as the second-level administrator.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>2b</td>
<td>Second-level administrator provides written response.</td>
</tr>
<tr>
<td></td>
<td>2c</td>
<td>If the second-level administrator’s written response is satisfactory to the grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>2d</td>
<td>If the second-level administrator’s written response is not satisfactory to grievant, move to step four within 5 weekdays.</td>
</tr>
<tr>
<td><strong>Step Three</strong></td>
<td>3a</td>
<td>Grievant advances grievance form to the dean or equivalent senior-level manager.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>3b</td>
<td>The dean or equivalent senior-level manager meets with grievant; dean or senior-level manager may request immediate supervisor to be present.</td>
</tr>
<tr>
<td></td>
<td>3c</td>
<td>The dean or senior-level manager provides a written response.</td>
</tr>
</tbody>
</table>
Within 5 weekdays

3d. If the dean’s or senior-level manager’s written response is satisfactory to grievant, that ends the matter.

3e. If the dean’s or senior-level manager’s written response is not satisfactory to grievant, move to step give within 5 weekdays.

Step Four
Step Number Description

Within 5 weekdays 4a. The grievant advances grievance form to the provost.

Within 5 weekdays 4b. The provost may consult faculty members unfamiliar with the grievance for their opinion and provides a response in writing. The provost’s decision is final.

CHAPTER SEVEN
ADMINISTRATIVE AND PROFESSIONAL FACULTY

7.0 Employment Policies for Administrative and Professional Faculty
7.1 Categories and Definition of Administrative and Professional Faculty

The Virginia Tech Board of Visitors adopted modified titles, definitions, and qualification criteria for administrative and professional (A/P) faculty. The titles, definitions, and criteria recognize the professional training and experience required of a wide variety of positions at the university: “administrative” faculty who serve in senior executive roles and “professional” faculty members who serve as managers or professionals.

Administrative Faculty or Senior Administrators: Administrative faculty members are referred to as senior administrators to accurately reflect the nature of these appointments.

Senior administrators perform work related to the management of the educational and general activities of the institution at least 50% or more of their contractual time. Senior administrators typically serve in executive level leadership roles such as vice president, vice provost, dean, and assistant or associate vice president or dean. The organizational reporting relationship is usually not lower than three levels below the president or the next most senior position to the president.
**Qualifications:** Senior administrators must have an advanced degree or training and work experience at a level that equates to an advanced degree; a master’s degree is the typical minimum entry qualification. Many of these positions, particularly senior administrators in academic leadership roles, may require a terminal degree. Senior administrators regularly exercise discretionary actions.

**Managers or Professional Faculty:** Professional faculty are managers and professionals in a variety of roles and appointments. The “Professional” A/P faculty include managerial positions (significant managerial and budgetary oversight within a unit) and positions that provide direct services.

Professional faculty positions designated as continued appointment-track are not governed by policies outlined in this chapter. Policies applicable to University Libraries faculty on the continued appointment-track are described in chapter four and policies applicable to Extension faculty on the continued appointment-track are in chapter fourteen. The policies in this chapter apply to Extension agents who are A/P faculty members.

Managers (and directors) typically have responsibility for supervision and evaluation of a significant number of staff and/or professional faculty, and budgetary responsibility for their unit or a substantive program. Incumbents exercise discretion and independent judgment and perform managerial or directorial functions for at least 50% percent of their contractual appointment. Managers and directors typically report to a senior administrator and provide leadership and oversight for their unit or a significant program.

Professionals provide direct service to students, other university constituencies, or clients external to the university as part of the university’s missions of learning, discovery, and engagement. They may direct or provide support for academic, administrative, Extension activities, outreach, athletic, or other programs. Professional faculty may also provide vital university functions such as information technology, budget or finance, human resources, public relations, development, and architectural or engineering functions.

Professional A/P faculty regularly exercise discretion and judgment and take initiative in conducting their primary roles and assignments. Professionals include, but are not limited to, Extension agents, librarians (who are not in continued appointment-track positions), coaches, physicians, lawyers, engineers, architects, student or academic affairs professionals, development officers, public relations, human resources, or information technology, and financial specialists.

**Qualifications:** Professionals must have an advanced degree or training and work experience at a level that equates to an advanced degree; although a master’s degree is the typical entry qualification, this category also includes individuals with a bachelor’s degree and professional training or certifications critical to their fields. In some cases, individuals with substantial professional level experience or expertise that equates to the minimum educational qualifications may be considered for appointment. Professionals must regularly exercise discretionary actions.
The work must be intellectual and varied in character, in contrast to positions that carry out more standardized or routine tasks and activities.

Extension Specialists with Virginia Cooperative Extension funding, and 4-H Center Program Directors are A/P faculty members. Extension faculty who are on the tenure-track, are tenured, or have a continued appointment are not A/P faculty members.

### 7.1.1 Faculty Rank and Title

Members of the administrative and professional faculty who are managers or professionals have the nominal faculty rank of lecturer and a functional title appropriate to the position (e.g., lecturer and assistant dean of students). Professional advancement is recognized by salary adjustment and/or functional title advancement rather than promotion in faculty rank.

Administrative and professional faculty to whom initial ranks other than lecturer were assigned prior to July 1, 1983, retain such ranks.

Administrative faculty usually have a rank other than lecturer, may hold an academic rank in a college department, and may be tenured or have a continued appointment.

### 7.1.2 Faculty Rank

The rank of lecturer is generally reserved for A/P faculty appointments. A master’s degree or significant professional experience is the minimum expectation for appointment to the administrative and professional faculty. Tenure cannot be awarded at this rank. Promotion for administrative and professional faculty is usually recognized by changes in functional title rather than promotion in rank. Appointments are considered term and are renewable annually.

Members of the administrative and professional faculty whose credentials and professional development activities are like those of instructional and Extension faculty and who are involved in these missions of an academic department may be assigned a rank. Initial assignment of a standard faculty rank (assistant, associate, or professor) for non-tenure-track administrative and professional faculty is recommended using standard personnel appointment/review procedures and departmental/school promotion and tenure committee or personnel committee. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship. Departmental/school recommendations for rank are forwarded to the dean and subsequently to the provost for administrative approval.

Administrative and professional faculty who hold a standard faculty rank with an academic department are considered for promotion in rank by submitting their credentials through the usual department/school promotion process including consideration by the department/school, college, and university committees. The department head, chair, or school director works closely with the committee to develop reasonable guidelines for consideration of rank promotions for A/P faculty affiliated with the department and with the individual A/P faculty member so that the appropriate materials are submitted for committee consideration. Appeal of a negative promotion decision is
managed in accordance with appeal procedures for college faculty. (See chapter three, “Appeals of Decisions on Non-Reappointment, Tenure, or Promotion.”) The assignment of, or change in, a standard faculty rank carries no aspect of tenure.

7.2 Policies Related to Administrative and Professional Faculty Appointments

7.2.1 Protection of Academic Freedom
The university recognizes the need to protect the academic freedom of administrative and professional faculty members when their responsibilities include instruction, direct support of the academic programs of the university, or an activity in which academic freedom is respected.

7.2.2 Initial Appointment and Reappointment
Search procedures for administrative and professional faculty positions are similar to those for instructional faculty positions. Faculty search resources are available on the Human Resources Faculty Recruiting Guidelines page. Please refer to that website for detailed information on the search process. Further guidance for searches involving senior administrative faculty positions (e.g., dean, vice president, or president) is included in other sections of this handbook.

Some administrative and professional faculty may be appointed on a “restricted” rather than “regular” appointment. The special conditions of temporary, restricted appointments are described in chapter two, “Restricted Appointments.”

Appointments to administrative and professional faculty positions are term appointments. No aspects of tenure or continued appointment are involved. Initial appointments to an administrative or professional faculty position are usually for a minimum of one calendar year or academic year, as appropriate. If the annual evaluation is positive, the faculty member can typically expect to continue employment. Important determinants in any reappointment decision are a productive and effective job performance and the continued need of the university for the Scope and level of services being provided.

To address budget reductions, and with a six-month written notice to the employee, the university is authorized to convert administrative and professional faculty on calendar year appointments to the traditional academic year appointment period, or to an alternate 9-, 10-, or 11-month appointment.

Appointment to an administrative or professional faculty position does not carry any aspect of tenure. Senior administrators who achieve tenure or continued appointment in an academic department retain their tenure or continued appointment. On occasion, requests are made by outside candidates, particularly for senior administrative appointments or administrative appointments in academic areas, for an appointment with tenure and rank in an academic department comparable to that held at the previous institution. Appointment with tenure requires review and approval by a subcommittee of the university promotion and tenure committee (see section 3.3 Procedures for Faculty Appointments with Tenure).
Review and approval by the department head or chair, the departmental promotion and tenure or continued appointment committee, the dean, the provost, and the president is required before a decision is made to extend a firm offer that includes the granting of tenure or continued appointment to a senior administrator or administrator in an academic area. Review and approval by the department promotion and tenure or continued appointment committee shall be sought before a decision is made to extend a firm offer of tenure or of a rank other than lecturer to an administrative or professional faculty.

7.2.3 Degree Verification
Prior to employment, Human Resources verifies the highest degree earned for salaried administrative and professional faculty members. Verification is conducted through the National Student Clearinghouse or other certified vendor. In cases where Human Resources is unable to complete the verification for any reason, the candidate is responsible for providing an original transcript to Human Resources within 30 days of notification by the university. Initial and/or continued employment is contingent upon verification of appropriate credentials.

Administrative or professional faculty who teach credit courses are responsible for providing an original transcript to the teaching department for verification of appropriate credentials in accordance with the faculty credentialing guidelines found in chapter two, “Qualification and Teaching Credentials for Instructors of Record,” and on the provost's Faculty Credentials page.

7.2.4 Academic Year Appointments for Administrative and Professional Faculty
Most administrative and professional faculty positions are 12-month appointments with the appointment period extending from July 1 to June 30. Some administrative and professional faculty positions are established as 9-, 10-, or 11-month appointments based on programmatic need.

Regular administrative and professional (A/P) faculty members on academic year appointment earn annual leave only during the period of their appointment at the same rate as regular A/P faculty members on calendar year appointment. That is, two days (16 hours) of annual leave credit are earned per month in accordance with leave regulations; after 20 years of continuous employment by the commonwealth, 18 hours of annual leave are earned per month.

7.3 Annual Evaluations
The supervisor is responsible for maintaining an up-to-date position description for each administrative and professional faculty member in the unit and for determining acceptable standards of performance. Goals and objectives are developed annually in consultation with the faculty member. These should relate closely to the functional title and position description and should become criteria for judging professional performance at the end of the performance cycle. All administrative and professional faculty members should complete an annual faculty activity report at a time determined by the appropriate administrator, but usually near the end of the academic or fiscal year, referencing their goals and objectives and citing their successes,
shortfalls, and future directions. Additional items to report are service to the university, creative scholarship, and other professional activities and recognitions during the year. The performance of each administrative and professional faculty member is evaluated annually in a discussion with the supervisor and by written response. The annual faculty activity report and evaluation are part of the basis for salary adjustments and other personnel matters. Timely submission of the annual activity report (FAR) is required for consideration for a merit adjustment.

7.3.1 Periodic Evaluation of Deans, Vice Presidents, and Directors of Major Organizational Units

In addition to annual reviews by the supervisor, periodic reviews (approximately every five years) are required for senior administrators, vice presidents, and directors of major organizational units. Administrators serving in other senior leadership roles should also be considered for periodic review where appropriate and identified by the supervisor and president. The review is intended to be formative and to assist improvement for both the administrator and the department.

7.3.2 Senior A/P Academic Administrators Reporting to the Provost

The same general process as outlined in Policy 6105 “Periodic Evaluation of Academic Deans” has been adapted for the periodic reviews of other senior academic administrators and senior academic leaders who report to the provost such as the vice presidents for research and innovation, graduate education, outreach and international affairs, and student affairs, the executive vice provost, the vice provosts, associate provosts, or associate vice presidents, and others identified by the provost.

The periodic reviews occur every five years, are conducted by an appointed committee with diversified membership, and include an extensive survey and/or interview process. For periodic reviews of senior administrators reporting directly to the provost, the provost oversees the appointment of committee members and provides the charge to the committee, and the committee submits a confidential report to the provost with findings and recommendations. Reviews conducted for directors or administrators of major units are managed by the relevant vice president, vice provost, or associate provost to whom they report. The periodic review is used to inform the decision for reappointment.

The determination of participants, the schedule, and specific procedures for periodic review of academic administrators are the responsibility of the provost.

7.3.3 Reviews of the Provost, Administrative Vice Presidents, and Senior Administrators Reporting to the President, and Other Senior Non-Academic Administrators

The Administrative Evaluation and Development Program documents the process to be used for periodic evaluations and executive development for the vice presidents reporting directly to the president, or to the senior executive vice president and chief business operating officer, the president’s direct reports, and direct reports to the vice presidents. The vice presidents participate
in an external leadership assessment and development program appropriate to the stage of their career. The selected program must include an opportunity for 360-degree feedback, with responses shared with the president. Participation in the evaluation and development program is required within two years of the initial appointment and every five years thereafter. The president may also solicit feedback from other individuals and/or constituencies as may be appropriate to the administrator being reviewed. Preparation of an individual development plan and executive coaching for a limited period are also standard elements of the process. The president provides verbal and written feedback to the administrator.

The review process for those senior administrators who report directly to the president and direct reports to the vice presidents will follow a similar pattern, generally using internal assessment instruments and professional development resources.

The determination of participants for the Administrative Evaluation and Development Program, the schedule, and specific procedures for periodic evaluations of administrators reporting through the president are the responsibility of the president’s office.

The university president determines the schedule and review process for the provost, vice presidents, senior staff reporting to the president, and other non-academic administrators. Detailed evaluation program procedures can be obtained from the President’s Office.

Periodic assessments of all administrative vice presidents (executive, senior, and vice presidents) are completed every five years. Administrative vice presidents new to their role will have a periodic review within two years of assuming their new role.

The assessment will be comprised of a 360-assessment instrument, executive coach, and completion of a development plan. The president will initiate the review of vice presidents with a direct reporting line. The senior executive vice president and chief business operating officer initiates the review of vice presidents with a direct reporting line.

Assessments for other leaders and directors of major organizational units reporting to the president, the senior executive vice president and chief business operating officer, or administrative vice presidents are encouraged.

### 7.4 Salary Adjustments

Salary increases are based on merit and are not automatic. Recommendations for salary adjustments are approved by the appropriate supervisor, dean (where relevant), vice president, and president prior to approval by the Board of Visitors.

Merit encompasses more than adequate performance of assigned duties. Although no faculty member can simultaneously engage successfully in activities in all areas below, administrative and professional faculty should collaborate with their supervisor to develop a long-range plan to demonstrate a high level of competence in the areas below.
Performance: Administrative and professional faculty members have an obligation to maintain a high level of performance in performing their job-related duties and responsibilities. A high level of competence in the performance of one’s duties is the major factor in any evaluation. Evaluations are based upon standards set by the supervisor with the participation of the faculty member and relate closely to the duties inherent in the functional title and position description. Expectations set annually are important criteria for judging professional job performance at the end of the performance cycle.

Service to the university: Historically, Virginia Tech depends on the administrative and professional faculty for service on a wide variety of committees and as leaders and support for important university projects and initiatives. Demonstrated participation in and leadership of departmental or university committees, special university-wide assignments, or similar activity on behalf of important university priorities is expected of those who seek high-level administrative positions.

Professional and scholarly activities: Administrative and professional faculty have an obligation to maintain a high level of professional competence and to stay abreast of developments in their field. Effective administrators also benefit from active involvement in the intellectual and scholarly development of one’s field, which often leads to contributions to the profession.

Teaching in appropriate credit or non-credit programs: Many administrative and professional faculty at Virginia Tech contribute directly to academic programs by teaching undergraduate or graduate courses or becoming involved in continuing and professional education activities. (See below for information regarding the teaching of credit classes and overload compensation for administrative and professional faculty.)

Salary adjustments may also be recommended to address such issues as equity, increased responsibility, and retention for an especially meritorious employee, or completion of a doctorate.

7.5 Teaching Credit Classes and Overload Compensation for Administrative and Professional Faculty

Policy 4072, “Teaching Credit Classes and Overload Compensation for Administrative and Professional Faculty Members,” allows appropriately credentialed administrative and professional (A/P) faculty to teach graduate or undergraduate courses at the university if requested to do so by an academic program. The policy provides guidelines for A/P faculty members whose normal job responsibilities do not include teaching. To be eligible for overload compensation, the A/P faculty member must have full responsibility for teaching a class to be eligible for overload compensation. Occasional lectures, supervision of interns or practicum students, or other minor instructional support activities typically are not compensated.

Academic departments may employ full-time administrative and professional faculty to teach one course per semester. The A/P faculty member must hold at least the minimum credentials required for teaching courses at various levels in accordance with the Southern Association of Colleges...
and Schools Commission on Colleges (SACSCOC) expectations. It is the responsibility of the teaching department to verify and document appropriate credentials for all teaching faculty. (See chapter two, “Qualification and Teaching Credentials for Instructors of Record” or the provost’s Faculty Credentials page.)

The A/P faculty member may receive overload payment for teaching credit courses only when such teaching is not part of the usual expectation for the administrative and professional position. Teaching for supplemental compensation is limited by overall time and income restrictions defined in the consulting policy. (See sections in chapter two: “Consulting Activities”, “Technical Assistance Program”, “Outside Employment and External Activities Other Than Consulting.”)

The specific requested teaching assignment should be approved in advance by the faculty member’s own department head/chair or supervisor. The department head/chair or supervisor determines whether the teaching assignment is within the A/P faculty member’s usual job responsibilities, and therefore not eligible for additional compensation. The agreement may be multi-year and revisited periodically if the instructional assignment is expected to be on-going.

In approving or disapproving the teaching assignment, the department head/chair or supervisor considers the A/P faculty member’s ability to manage additional work outside of usual job expectations, whether the course occurs during normal hours of work, and whether scheduled absences and additional responsibilities will create undue disruption. The benefit to the A/P faculty member for professional development and contribution to the academic program is also considered.

Engagement of administrative and professional faculty in the instructional mission of the university is encouraged; however, teaching on an overload basis is not a right. Continued satisfactory performance in the primary position is essential and is the basis of the annual performance evaluation and merit adjustment.

**7.6 Non-Reappointment, Reassignment, Removal, and Imposition of Sanctions Other Than Dismissal**

Members of the administrative and professional faculty may be removed from their position by one of the following four procedures: (1) non-reappointment, (2) reassignment, (3) removal for just cause, or (4) abolition of position.

**7.6.1 Non-Reappointment of Administrative and Professional Faculty on Regular Appointments**

Monitoring the progress of newly appointed administrative and professional faculty members is the responsibility of the supervisor. An evaluation is made prior to the end of the first year of the appointment to ascertain that the faculty member is performing the assigned duties in a highly satisfactory manner. If the evaluation is positive, the faculty member can usually expect to be reappointed for another year.
Notice of non-reappointment for administrative and professional faculty on regular appointment is given in writing in accordance with the standards of notice in chapter two, “Retirement, Resignation, and Non- Reappointment.”

7.6.2 Non-Reappointment of Administrative and Professional Faculty on Restricted Appointments

Restricted appointments may be terminated for several reasons including discontinuation of funding, or a change in research or other program priorities, resulting in the need to terminate the services of an employee. Administrative and professional faculty appointments may be terminated in the case where there are insufficient funds or no further need for services. The date of termination for a restricted A/P faculty member is at least 30 calendar days from the date of notification. A proposed notice of termination because of insufficient funds or lack of need for services requires the approval of the department head, dean (or appropriate administrator), and the provost or president (or their designees).

7.6.3 Reassignment

The university may reassign administrative and professional faculty members at any time. Reassignment may involve a change in administrative title or supervisory responsibilities, reassignment to another position or department, transfer to a staff position, and/or reduction in salary commensurate with reduced responsibilities. Neither notice of non-reappointment nor removal for cause is required to effect a reassignment. The university's responsibility under reassignment is to make available a substitute position or duties reasonably commensurate with the person's education, experience, and performance. A reassignment that involves a geographic transfer of more than 50 miles is conducted in accordance with the geographical transfer policy. (See chapter two, “Geographical Transfer Policy.”)

Reassignment is preceded by a meeting of the supervisor with the faculty member to review the reasons for reassignment, which are presented in writing to the faculty member. This written review shall include a deadline for a response to the reasons for reassignment from the faculty member, which shall be no less than five working days after the written review. The response is made to the supervisor who may reconsider the decision to reassign or proceed with the proposed reassignment.

In cases of reduction in salary and/or transfer to a staff position, the proposed salary reduction or reassignment to a staff position must be reviewed and approved by the senior administrator. In these cases, the effective date of the reassignment shall be no sooner than 90 days following senior administrator approval, unless mutually agreed upon by all parties.

7.6.4 Dismissal for Cause

Members of the administrative and professional faculty may be dismissed for cause. Stated causes for dismissal shall be documented and shall include, but are not limited to, unacceptable or unsatisfactory performance; unethical conduct; misconduct that interferes with the capacity of the employee to perform effectively the requirements of the position; unsatisfactory attendance;
falsifying credentials or any records—including but not limited to vouchers, reports, insurance claims, time records, leave records, or other official state or federal documents; unauthorized removal or damage of records or property belonging to others; acts of physical violence; criminal convictions for acts of conduct occurring on or off the job that are plainly related to job performance or are of such a nature that to continue the employee in the assigned position would constitute negligence in regard to the agency's duties to the public, students, or to other state employees; or violation of university policies. With approval by the provost or the vice president for human resources, as appropriate, an A/P faculty member may be suspended with or without pay during an internal or external investigation of any act(s) that may lead to dismissal.

Dismissal for cause is preceded by a meeting of the supervisor and a next-level administrator with the faculty member to review the reasons for dismissal, which are presented in writing to the employee. The meeting requirement may be satisfied in ways other than a face-to-face on-campus session, if there is a likelihood of threat to the health or safety of students, other employees, or property. With approval of the provost or vice president for human resources, as appropriate, the supervisor may suspend the A/P faculty member with or without pay until the effective date of dismissal or until the employee is authorized to return to work.

The faculty member is given a minimum of three working days to respond to the reasons for dismissal. The response is made to the supervisor, who then makes a final decision and communicates it to the faculty member. The faculty member may invoke the applicable grievance procedure.

Filing a grievance does not constitute cause for dismissal.

7.6.5 Imposition of Sanctions Other Than Dismissal

Minor sanctions include, but are not limited to, verbal or written reprimand. As compared to severe sanctions, minor sanctions usually do not involve a financial loss or penalty.

A severe sanction generally involves a significant loss or penalty to a faculty member such as, but not limited to a reduction in title, responsibilities, and salary; or suspension without pay for a period not to exceed one year imposed for unacceptable conduct and/or a serious breach of university policy.

Routine personnel actions such as a recommendation for a below average or no merit increase, reassignment, or removal of an administrative stipend do not constitute “sanctions” within the meaning of this policy. A personnel action such as these may be a valid issue for grievance under procedures defined in chapter seven, “Valid Issues for Grievance.”

Process for imposing a minor sanction: If a supervisor believes the conduct of a faculty member justifies imposition of a minor sanction, the faculty member is notified in writing of the proposed sanction and provided an opportunity to respond. A faculty member who believes that a severe sanction has been incorrectly imposed under this section, or that a minor sanction has been
unjustly imposed, may file a grievance following procedures outlined in chapter seven, “Grievance Policy and Procedures for Administrative and Professional Faculty.”

Process for imposing a severe sanction: The conduct of a faculty member, although not constituting adequate cause for dismissal, may be sufficiently grave to justify imposition of a severe sanction.

Imposition of a severe sanction follows the same procedures as dismissal for cause.

7.6.6 Abolition of Position
Members of the administrative and professional faculty on regular appointments may be removed in the event of financial hardship within a department that cannot be alleviated by ordinary budgeting practices, or upon reduction of the specific services for which they were employed. A minimum of 90 calendar days’ notice is given in such circumstances. If an A/P faculty member on a regular appointment is separated involuntarily due to budget reduction, reorganization, or workforce downsizing, the faculty member may be eligible for severance in accordance with Policy 4245, “Severance Benefits Policy for University Employees.”

Administrative and professional faculty with tenure or continued appointment and whose A/P position is abolished return to their academic department.

7.7 Grievance Policy and Procedures for Administrative and Professional Faculty
The following procedure is provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by members of the administrative and professional faculty. The steps in the grievance process will, in part, be guided by the reporting relationships of the employees involved in the grievance. Step one and two administrators involved in responding to a grievance should consult with the vice president for human resources and/or the vice provost for faculty affairs who may involve additional parties as appropriate. Grievant, and those involved in responding to grievances, may consult with the Administrative and Professional Faculty Senate Vice President for additional information.

7.7.1 Ombuds, Mediation Services, and Faculty Senate Committee on Reconciliation
Informal Dialogue: It should be possible to resolve most faculty concerns or complaints through informal communication among colleagues working together in the academic enterprise. Accordingly, an A/P faculty member who feels there is a grievance is encouraged to take it to the immediate supervisor in the collegial spirit of problem solving rather than as a confrontation between adversaries.

University Ombuds: Any member of the university community may visit the university Ombuds Office. The Ombuds listens and explores options for addressing and resolving concerns or complaints. The Ombuds Office does not have the authority to make decisions or to reverse any
Communications with the Ombuds Office are considered confidential. The Ombuds Office will not accept legal notice on behalf of the university, and information provided to the Ombuds Office will not constitute such notice to the university. Should someone wish to make the university formally aware of a particular problem, the Ombuds Office can provide information on how to do so. The only exception to this pledge of confidentiality is where the Ombuds Office determines that there is an imminent risk of serious harm, or if disclosure is required by law.

To preserve independence and neutrality, the Ombuds Office reports directly to the president. The Ombuds Office does not keep permanent records of confidential communications.

Reconciliation: Reconciliation is useful if the individual feels the issue may be amenable to, but will require time for, negotiation or if the individual is unsure whether the concern is a legitimate issue for a grievance, or if personal relations between the parties involved in the matter have become strained. Information regarding the faculty reconciliation process is available on the provost's Faculty Reconciliation page.

The Faculty Senate Committee on Reconciliation, which typically includes participation by one or more administrative and professional faculty members as members of the Faculty Senate Committee on Reconciliation, may conduct reconciliation between an A/P faculty member and the supervisor. Reconciliation may include fact-finding and engaging the appropriate parties in negotiating a resolution. Engaging the Faculty Senate Committee on Reconciliation is not required prior to filing a grievance.

For a potential grievance issue to qualify for consideration by the Faculty Senate Committee on Reconciliation, the A/P faculty member must contact the chair of the Faculty Senate Committee on Reconciliation within 30 calendar days of the date the grievant knew, or should have known, of the event or action that is the basis for the potential grievance.

Administrative and professional faculty members may also consult the Faculty Senate Committee on Reconciliation about serious disagreements with immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. If the chair of the Faculty Senate Committee on Reconciliation is unable to resolve the matter within 30 calendar days, the chair sends a letter to the A/P faculty member stating such, providing the appropriate information about the formal grievance procedure if the A/P faculty member should choose to pursue the matter, and documenting that the matter was brought forward within the prescribed 30-day period. A copy of this letter is provided to the vice president for human resources with a copy to the vice provost for faculty affairs when appropriate. The A/P faculty member has five weekdays after receiving the letter from the chair of the Faculty Senate Committee on Reconciliation to initiate a formal grievance, if so choosing, by following the
procedures below and providing a copy of the letter from the chair of the reconciliation team to the supervisor, validating the timeliness of the grievance.

**Mediation:** Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. A/P faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

**Role of Mediators:** Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

**Requesting Mediation:** Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step three. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

### 7.7.2 The Formal Grievance Procedure

The grievant may pursue the issue as a formal grievance through the following procedure. Supervisors and administrators will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of the case. (See chapter seven, “Valid issues for Grievance.”)

The number of steps in the process is determined by the reporting line of the grievant. Thus, if three steps do not exist between the grievant and the president, then the available number of steps is used.

The grievance must be well described, and the relief requested must be specified on the grievance form. For A/P faculty, grievance forms are available on the provost’s Faculty Forms page.

The Administrative and Professional Faculty Senate Vice President will maintain an active list of trained A/P faculty members who can provide consultation to an A/P faculty colleague who is preparing to file a formal grievance. Upon being contacted by an A/P faculty colleague who is
preparing to file a formal grievance, the trained consulting A/P faculty member will be able to provide information on and answer questions about the formal grievance process, completion of the A/P faculty grievance form, and available university resources. The consulting A/P faculty member will not submit a grievance form for another A/P faculty member or serve on any panel within the grievance process in a matter to which they served as the consulting A/P faculty member.

**Step one:** The grievant must submit a written statement of the grievance to the step one administrator (the director or department head/chair; for A/P faculty in Virginia Cooperative Extension, the district director or appropriate step one administrator) and to the Administrative and Professional Faculty Senate Vice President within 30 calendar days of the date identified, or the grievant should have known, of the event or action that is the basis for the grievance. If appropriate, the step one administrator will provide a copy of the grievance to the supervisor of the grievant.

**Grievability Panel:** The Administrative and Professional Faculty Senate Vice President, within ten weekdays of receiving a copy of the grievance form, will convene a grievability panel. The panel consists of the Administrative and Professional Faculty Senate Vice President and two A/P faculty senators. The panel meets to deliberate and determine the admissibility of the matter to the grievance process. (See chapter seven, “Valid Issues for Grievance.”) A written report summarizing the deliberation and documenting the ruling of the grievability panel will be provided to all parties. The decision of the grievability panel is final. If the issue is deemed grievable by the panel, the step one administrator provides a written response to the grievant within five weekdays of receiving the grievability panel's written response. Step one administrator's written response should cite reasons for action taken or not taken. If the written response of the director or department head/chair is satisfactory to the grievant, that ends the matter.

If the grievability panel determines the issues presented by the grievant are not grievable, then the process is concluded.

**Step two:** If the resolution of the grievance proposed in the written response by the step one administrator is not acceptable, the grievant may advance the grievance to the step two administrator (usually a dean or vice president) by checking the appropriate place on the grievance form and sending it within five weekdays of receiving the written response. The step two administrator for Extension A/P faculty (such as Extension agents) is the dean of the College of Agriculture and Life Sciences.

Following receipt of the grievance form, the step two administrator or designated representative meets with the grievant within five weekdays. The grievant may request that a chosen representative from among the university general faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the step two administrator does not have legal counsel present.
If the grievance involves a programmatic issue for an Extension A/P faculty member where responsibility for that program lies with a different dean, the designated step two administrator consults with the programmatic dean before rendering a decision.

The step two administrator gives the grievant a written decision within five weekdays after the meeting, citing reasons for the decision. If the step two administrator’s written response to the grievance is satisfactory to the grievant, it ends the matter.

**Step three:** If the resolution of the grievance proposed in the written response by the step two administrator is not acceptable, the grievant may advance the grievance to the step three administrator. The step three administrator is the vice president for human resources or the vice provost for faculty affairs. The grievant must advance the complaint to the step three administrator within five weekdays of receiving the written response from the step two administrator. If the grievant works in a college or academic vice president’s division, the step three administrator will provide a copy of the grievance to the executive vice president and provost.

Advancement of a grievance to step three includes consideration by an impartial Administrative and Professional Faculty Senate hearing panel unless the grievant petitions the step three administrator to bypass the hearing panel and rule on the grievance. If the step three administrator accepts the request to rule on the grievance, there is no subsequent opportunity for the grievance to be heard by a Administrative and Professional Faculty Senate hearing panel. If the step three administrator does not accept the petition, a Administrative and Professional Faculty Senate hearing panel is formed to review the grievance as outlined in these procedures. An Administrative and Professional Faculty Senate hearing panel may also be convened to determine whether a complaint may be grieved under university policy.

Within five weekdays, the step three administrator, or appropriate designated representative, acknowledges receipt of the grievance and forwards a copy of the “Hearing Procedures of the Committee on Administrative and Professional Faculty Grievances” to parties in the grievance process. The step three administrator also forwards a copy of the grievance immediately to the chair of Administrative and Professional Faculty Senate.

**Hearing Panel:** A grievance hearing for A/P faculty is conducted by an ad hoc panel selected by the Administrative and Professional Faculty Senate from the current A/P Faculty Senate membership, including Senators and Alternates. A hearing panel consists of three A/P Faculty Senators or Alternates, an alternate panel member, and the non-voting chair. The chair polls all appointees to ensure that they have no conflict of interest in the case. Either party may challenge one of the appointments, including the alternate. Other replacements are made only for cause. The alternate serves as a replacement panel member if the need arises.

To ensure uniformity in practice, the Administrative and Professional Faculty Senate serves as the non-voting chair of each hearing panel. If the Administrative and Professional Faculty Senate Vice President has a conflict of interest concerning a case, the chair appoints a replacement from among the Administrative and Professional Faculty senators who serve on CAPFA at-large to
serve as chair of the hearing panel. In the unlikely event that all A/P faculty senators and alternates have a conflict of interest concerning a case, the Administrative and Professional Faculty Senate Vice President, in consultation with the A/P Faculty Senate president, and an appropriate senior administrative official (president, provost, vice president for human resources), will appoint a non-voting chair and panelists from the A/P faculty at large.

**Hearings:** After the members of the hearing panel are appointed, the Administrative and Professional Faculty Senate Vice President requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Administrative and Professional Faculty Senate. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling can occur. The hearing is then reconvened as appropriate (and within the 45-day period required by this policy, unless agreed upon by both parties).

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak if requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsels are present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel.

**Findings and Recommendations:** The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Administrative and Professional Faculty Senate Vice President. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the step three administrator and parties to the grievance.

**Action of the Step Three Administrator:** The step three administrator meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant about the prospects for disposition of the case. Within 10 weekdays of that meeting the step three administrator sends to the grievant the decision in writing concerning the disposition of the grievance. If the step three administrator’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel, that ends the matter.
Step four: If the step three administrator’s decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the university president within 20 calendar days. The president’s decision is final.

7.7.3 Timeliness of Grievance and Procedural Compliance

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the date identified, or should have known, of the event or action that is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution is accepted as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the Administrative and Professional Faculty Senate Vice President in writing, who determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the Administrative and Professional Faculty Senate Vice President is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations, other than time limit issues, the Administrative and Professional Faculty Senate Vice President rules on the question, as in disputes about the validity of procedural issues qualifying for the grievance procedure. The Administrative and Professional Faculty Senate Vice President has the following options: The Administrative and Professional Faculty Senate Vice President can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a significant procedural violation did occur. If the step one or step two administrator committed a significant procedural violation, the grievance automatically qualifies for advancement to the next step in the grievance process. If the grievant committed a significant procedural violation, the grievance process ends at that point for that grievance with the last proposed resolution established as the final disposition of the case.

7.7.4 Valid Issues for Grievance

For this process, a grievance is defined as a complaint by an A/P faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are termination for cause; improperly or unfairly determined personnel decisions that result in an
unsatisfactory annual performance evaluation; unreasonable merit adjustment or salary level; excessive teaching load/work assignments; reprisals for activities protected by law or policy; substantive error in the application of policy; matters relating to academic freedom.

Issues not open to grievance: While A/P faculty disputes with the university administration may be dealt with using this grievance policy, the following issues may not be made the subject of a grievance: appropriate application of policy by the university administration or the university governance system; contents of university policies and procedures; the routine assignment of university resources (e.g., space, operating funds, parking, etc.); normal actions taken, or recommendations made, by administrators or committee members acting in an official capacity in the grievance process; those items falling within the jurisdiction of other university policies and procedures “Policy 1025 “Policy on Harassment, Discrimination, and Sexual Assault” for complaints of unlawful discrimination or harassment; “Policy 1026 “Policy on Title IX Sexual Harassment and Responsible Employee Reporting”, Faculty Handbook, chapter two “Allegations of Unprofessional or Unethical Conduct” for complaints related to unprofessional or unethical conduct; Faculty Handbook, chapter two “Non-Reappointment” for complaints related to non-reappointment or abolition of position).

Allegations of unprofessional or unethical conduct against an A/P faculty member are addressed using processes outlined in chapter two, “Allegations of Unprofessional or Unethical Conduct.” Information on the Faculty Senate Committee on Ethics is in chapter two, “Faculty Senate Committee on Ethics,” and on the Faculty Senate website.

The Administrative and Professional Faculty Senate do not consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

Beyond the grievance process and the jurisdiction of other university policies and procedures available to manage complaints by A/P faculty members, additional sources of conflict resolution are available. A/P faculty are encouraged to seek reconciliation and mediation services for disputes. Reconciliation is offered through the Faculty Senate Committee on Reconciliation and mediation is offered through the conflict resolution program in Human Resources.

7.7.5 Particular Concerns and Definitions
Timelines stated in the grievance policy indicate the number of days within which the other party should receive notification. Electronic submission from a departmental office within the specified time frame is acceptable. This is immediately followed by submission by mail of the original form and any related materials.

Time limits are subject to an extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)

The principals and the Administrative and Professional Faculty Senate Vice President, if necessary, negotiate extensions of time limits at step three. In case of disagreement, the
Administrative and Professional Faculty Senate Vice President rules on time extension and procedural questions or recommendations designed to expedite the proceedings while providing peer review of the grievance.

If an A/P faculty member is away from the assigned work location at the time the event or action is discovered that is the basis for a grievance, the 30-day period during which the grievant must meet with the supervisor or step one administrator to initiate the grievance process begins when the A/P faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the written grievance as prescribed in step one by mail or email attachment during absence from the primary work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when the university is open and those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave, the grievance process stops until such time as the grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that an A/P faculty member discovers there is a grievance about actions by an administrator above the level of the supervisor that directly involve the A/P faculty member, or with actions by an administrator not in the department/unit that directly involve the A/P faculty member, the grievant initiates the grievance process by seeking the intervention of the supervisor within 30 calendar days of the date when the grievant knew or should have known of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the supervisor, may file the grievance form for A/P faculty at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in usual fashion.

A grievance filed by an A/P faculty member concerning an action of either the provost, senior vice president and chief business officer, vice provost for faculty affairs, or the vice president for human resources is handled by the Administrative and Professional Faculty Senate Vice President and an impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the president for ruling. A grievance filed by a faculty member concerning an action of the
president of the university is dealt with by a special panel appointed by the provost in consultation with the chair of the Commission on Administrative and Professional Faculty Affairs.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the senior administrator in consonance with the hearing panel recommendations, or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.

7.7.6 Overview of the Formal Grievance Process for Administrative and Professional Faculty

Below is an abbreviated overview of the grievance process and deadlines. Refer to chapter seven, “The Formal Grievance Procedure,” for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)

The validity of a grievance under university policy can be determined by CAPFA at any point in the process.

<table>
<thead>
<tr>
<th>Step One</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 30 days of event</td>
<td>1a.</td>
<td>Grievant submits written grievance to step one administrator (for Extension A/P faculty this is usually the district director) and Administrative and Professional Faculty Senate Vice President.</td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>1b.</td>
<td>CAPFA chair acknowledges in writing to grievant that copy of grievance has been received</td>
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<td></td>
<td>1c.</td>
<td>Administrative and Professional Faculty Senate Vice President convenes a grievability panel to determine the admissibility of the issue to the grievance process per chapter seven, “Valid Issues for Grievance.” The grievability ruling will be</td>
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documented and a written report on the deliberation sent to all parties concerned.

1d. If the issue is not grievable, the grievance process concludes.

1e. If the issue is grievable, the step one administrator responds to grievance in writing on the grievance form.

1f. If step one administrator’s response is satisfactory to grievant, that ends the matter.

1g. If step one administrator’s response is not satisfactory to the grievant, move to step two within 5 weekdays.

### Step Two

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<tr>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>2a.</td>
<td>Grievant submits written grievance to the step two administrator, usually the dean or vice president (for Extension A/P faculty, this is the dean of the College of Agriculture and Life Sciences). If the grievance involves a programmatic issue for an Extension A/P faculty member where responsibility for that program lies with a different dean, the designated step two administrator consults with the programmatic dean before rendering a decision.</td>
</tr>
<tr>
<td>2b.</td>
<td>Step two administrator meets with the grievant and provides a written response</td>
</tr>
<tr>
<td>2c.</td>
<td>If step two administrator’s response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td>2d.</td>
<td>If step two administrator’s response is not satisfactory to grievant, move to step three within 5 weekdays.</td>
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### Step Three

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<tr>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>3a.</td>
<td>Grievant advances grievance form to the step three administrator (the vice president for human resources or the vice provost for faculty affairs) who then, depending on</td>
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</table>
reporting structure, shares a copy of the grievance with the provost.

<table>
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<tr>
<th>Within 5 weekdays</th>
<th>3b.</th>
<th>Step three administrator acknowledges receipt of grievance and forwards copy to Administrative and Professional Faculty Senate Vice President.</th>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>3c.</td>
<td>Administrative and Professional Faculty Senate Vice President acknowledges in writing to grievant that copy of grievance has been received from the step three administrator.</td>
</tr>
<tr>
<td>Within 15 weekdays</td>
<td>3d.</td>
<td>Administrative and Professional Faculty Senate Vice President convenes a hearing panel that holds its initial meeting with both principals.</td>
</tr>
<tr>
<td>Within 45 weekdays</td>
<td>3e.</td>
<td>The hearing panel concludes its work and makes recommendation to step three administrator and grievant.</td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>3f.</td>
<td>Step three administrator meets with grievant.</td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>3g.</td>
<td>Step three administrator notifies grievant in writing of the decision.</td>
</tr>
<tr>
<td>3h.</td>
<td>If the step three administrator's decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel that ends the matter.</td>
<td></td>
</tr>
<tr>
<td>3i.</td>
<td>If the step three administrator's decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the president within 20 calendar days.</td>
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<tr>
<th>Step Four</th>
<th>Step Number</th>
<th>Description</th>
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### 7.8 Leave

Administrative and professional faculty are eligible for the following types of leaves: administrative leave, annual leave, disaster relief leave, educational leave, family leave, paid parental leave, leave without pay, military leave, sick leave, and special leave.

Members of the administrative and professional faculty who have tenure or continued appointment may, under certain special conditions, request study-research leave or research assignment, particularly when they are returning to instructional faculty status. All study-research leaves and research assignments require approval by the Board of Visitors. See chapter two, “Types of Leave and Leave Reporting.”

#### 7.9 Consulting Activities for Virginia Cooperative Extension Faculty

A/P faculty members are eligible for consulting as outlined in the university’s consulting and outside employment policies. See chapter two of the Faculty Handbook.

Consistent with the university’s policy and procedures on consulting activities, additional restrictions may be imposed on the consulting activity of Virginia Cooperative Extension faculty members. These restrictions are imposed to give further assurance that consulting approval is not granted for that is the usual responsibility of faculty members within Extension.

It is recognized that the outreach responsibilities of Extension are broad and, thus, program assistance parameters are difficult to define. Consequently, the following procedures are designed to provide judgmental decisions by appropriate supervisory staff for consulting requests in ambiguous areas of program responsibilities.

The Request to Engage in External Activity should be submitted using the Disclosure and Management System. Typically, consulting activities do not involve university sponsorship.

The department head, chair, school director, or immediate supervisor reviews the Request to Engage in External Activity. If approval is granted, the request is sent to the college dean for approval. The director of Virginia Cooperative Extension must grant final approval. If not approved at any level, the request is sent back through the department head, chair, school director, or supervisor to the faculty member with an explanation for the action.

Decisions are on, but not limited to consistency with consulting and outside employment guidelines in chapter two; whether the consulting is within or outside usual Extension responsibilities; and whether the time required falls within the number of consulting days allowed.
CHAPTER EIGHT
GRADUATE ASSISTANTS

8.0 Policies for Graduate Assistants, Graduate Research Assistants, and Graduate Teaching Assistants

Consult the Graduate Student Catalog and Graduate School website for additional information.

8.1 Graduate Student Appointments

Policy 6210, “Management of Graduate Assistantships and Tuition Remission” is administered by the Graduate School, establishes the standards for the eligibility and management of graduate assistantships and associated benefits including tuition remission. Graduate assistantships are a unique form of university appointment that allow graduate students to gain valuable training and professional experience in teaching, research or administration while providing service to the university.

Since the responsibilities or requirements of graduate students vary by academic discipline, each department is required to define expectations for its students on assistantships. These graduate student appointments do not carry faculty status or other faculty rights or responsibilities.

Graduate Assistant: Graduate assistants (GAs) are graduate students who provide academic and program support. GA responsibilities may be administrative or academic in nature. Administrative responsibilities might consist of duties unrelated directly to teaching or research (such as academic advising, program planning, advising student groups, and assisting with the administration of student services offices). Academic responsibilities may include grading examinations, problem sets, and/or lab assignments, setting up displays for lectures or laboratory sections, and preparing or maintaining equipment used in laboratory sections.

Graduate Research Assistant: Graduate research assistants (GRAs) are graduate students conducting academically significant research under the direction of a faculty member, who is generally a Principal Investigator on an external grant or contract.

Graduate Teaching Assistant: Graduate teaching assistants (GTAs) may provide academic program support under the supervision of a faculty member. GTAs may assist faculty members in the department in teaching undergraduate courses, including laboratory teaching assignments, or in providing other appropriate professional assistance, including grading examinations, problem sets, and/or lab assignments, setting up displays for lectures and laboratory sections, and preparing or maintaining equipment used in laboratory sections.
8.2 Required Qualification and Teaching Credentials for Instructors of Record Including Graduate Students

If a GTA is assigned full responsibility for teaching an undergraduate course, the GTA must have documented teaching credentials or 18 hours of graduate-level course work in their teaching discipline, direct supervision by a faculty member experienced in the teaching discipline, regular in-service training, and planned and periodic evaluations. GTAs lacking this training are assigned to work under the supervision of a faculty member who is the instructor of record for the course. Graduate students who will be appointed as GTAs must complete the GRAD 5004 GTA workshop. The Graduate School’s approval is required before a graduate student is allowed to teach graduate courses.

See the provost’s Faculty Credentials page and chapter two in this handbook for “Qualification and Teaching Credentials for Instructors of Record”. Per the university’s regional accrediting body, the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), graduate assistants assigned as the instructor of record for baccalaureate/undergraduate courses must be qualified to teach and have the appropriate teaching credentials documented by the department or school. A master's degree in the teaching discipline or 18 graduate semester hours in the teaching discipline, direct supervision by a faculty member experienced in the teaching discipline, regular in-service training, and planned and periodic evaluations are required.

8.3 Additional Employment by Graduate Students with a Full-Time Assistantship

Given individual circumstances, graduate students on a full-time graduate assistantship may, at times, wish to pursue additional employment. See section 2.4 of Policy 6210. Unless specified otherwise in the assistantship agreement, graduate students receiving full-time assistantships are not prohibited from seeking additional employment. In the interest of their professional development and maintenance of satisfactory academic progress, students seeking additional employment should consult with their academic advisors, and when appropriate their assistantship providers, regarding the fulfillment of their assistantship and graduate study responsibilities. The Graduate School must be notified in advance of any additional employment plan. The Graduate School should be consulted to assist with the resolution of any conflicts of interest that may arise. Attempted resolution of conflict occurs at the departmental level first, and then can be referred, if necessary, to the Graduate School and/or Office of the Ombudsperson in the Graduate School.

In evaluating the merits of additional employment, including outside employment, graduate students and their advisors should consider the following:

Employment by a company owned in whole or part by the faculty chair of the student’s dissertation or thesis committee presents the potential for serious conflicts of interest. In such cases, another faculty member of equal or greater rank must serve as chair or co-chair of the advisory committee.
It is inappropriate for any student to receive remuneration directly from the external funding organization while also being employed as a graduate assistant or wage earner on a contract with that same organization.

It is inappropriate for any student to work for an employer who is in direct competition with a current funding source. International graduate students on assistantships may be prohibited from any additional employment by their specific visa status.

CHAPTER NINE
INSTRUCTION-RELATED

9.0 Instruction-Related Policies
See Office of the University Registrar website

9.1 Assignment of Academic Responsibilities
Assignments of teaching load and academic advising are the responsibility of the department head or chair and may vary from one term to the next depending on the departmental requirements. Assignments should involve consultation with the faculty member, and in cases involving non-routine assignments—such as those requiring extensive travel—consultation is required. Ultimately, authority rests with the department head or chair to make the final assignment. Although the usual load for those engaged only in teaching is 12 didactic hours, the loads vary widely and are usually adjusted to permit time for other scholarly activities—for outreach which is related to the mission of the university and the faculty member’s disciplinary expertise, and for faculty development related to the quality of instruction. A didactic hour is defined here as one contact hour in a lecture course or 0.60 hour for each contact hour in a course designated as a laboratory course.

Faculty members are expected to be available two weeks prior to the first day of classes and two weeks following commencement. The discretion of the department head or chair is recognized in assigning duties during periods when the university is not in session. Faculty members are expected to inform their department heads or chairs of their whereabouts during such periods.

Instructors with distinctive assignments and work schedules will have these responsibilities conveyed in the terms of faculty offer letter at the time of appointment.

9.1.1 Special Authority Conferred to the University Registrar During States of Emergency
Special, time-limited authority, as delegated with Presidential Policy Memorandum No. 312, may be granted to the university registrar during periods when the university is operating under a state
of emergency declared by the president of the University. This authority enables the university registrar to evaluate and implement impartial standards and guidelines related to grading.

9.1.2 Summer and Winter Sessions
Teaching loads during the summer and winter sessions are tightly controlled. Summer and winter teaching appointments are the responsibility of the department head or chair. (See chapter two, “Summer and Winter Appointments.”)

9.1.3 Independent Study and Undergraduate Research
The courses designated as Undergraduate Independent Study and Undergraduate Research are generally unique educational experiences between an instructor and a student. The student, by way of the faculty member, is required to receive prior approval for such studies by the instructor’s department head or chair and by the dean. Undergraduate students are limited to 12 hours of combined Independent Study and Undergraduate Research to be counted toward completion of the degree (unless specifically required by the program check sheet). Courses designated as Graduate Independent Study/Special Study require approval of the instructor’s department head or chair only. The student, by way of the faculty member, is required to receive prior approval for such studies. Approval forms are available in the colleges. Usually, these courses do not count in the teaching load of a faculty member.

The instructor of record for each Independent Study and/or Undergraduate Research course is required to provide a significant amount of supervision to the student via appropriate contact hours as defined by Policy 6901, “Definition of a Credit Hour”. A contract between the student and faculty member should be developed and must include reference to specific contact hours with the faculty member as well individualized work. Additional information can be found on the Office of the University Registrar’s website.

9.1.4 Graduate and Professional Program Standards and Policies
Each graduate and professional degree-granting program in the university is responsible for the conduct of the program and designates a faculty member to serve as liaison with the appropriate college dean(s) and the vice president and dean for graduate education. Additional information can be found on the Graduate School website. Further, each graduate degree-granting program formulates and retains a current policy statement that spells out criteria governing its program. Copies are filed with the appropriate college dean(s) and the vice president and dean for graduate education. Policy statements address faculty participation on graduate student advisory committees (thesis and dissertation advisors; advisory committee membership); admissions procedures and requirements; and management of graduate students (orientation/advising; manuals, guides, handbooks; assistantships—selection procedures, obligations; evaluation of satisfactory progress towards the degree).

9.2 Scheduling of Classes
The Office of the University Registrar coordinates the preparation of the timetable of classes and disseminates this information. The department head or chair or a designated scheduler prepares
proposed class schedules in response to a call from the university registrar. The university registrar reconciles the material provided with the approved catalog of university courses, established scheduling patterns and allocations, and requests of other departments. Individual professors address scheduling issues through the department head or chair or the designated scheduler. The timetable of classes is available via Hokie-SPA.

The university registrar assigns classrooms. Moving the location of courses is possible only with the approval of the department scheduler and the university registrar. Enrollments may not exceed the posted room capacity. Commonwealth of Virginia fire code specifications do not allow students to be seated in the aisles or on the floor.

9.3 Registration for Classes
The registration period for each term occurs during the regular preceding term. New and transfer students register for the fall semester during online summer orientation academic advising. Students who enter the university for the first time in the spring semester or a summer term register in the usual manner.

The university registrar works with each department to amend course offerings by increasing the capacity of the section within limits for the assigned classroom; creating new sections with times subject to availability of suitable classrooms; and canceling sections for which the demand is too small to justify keeping the section.

Undergraduate classes with fewer than 15 students and graduate classes with fewer than six are reviewed by the department head or chair and the academic dean and canceled unless there are compelling reasons for keeping the class. In the summer and winter terms, the department head or chair and the director of summer and winter sessions review undergraduate classes with an enrollment of fewer than 10 and graduate classes with fewer than eight. Unless there are compelling reasons to offer the course, it is canceled. The registrar’s office requires that departments notify enrolled students of any change or cancelation of a course section. This notification should be as timely as possible for students to make alternate plans.

Students register via Hokie-SPA submit course requests during the published pre-registration period. After departments make adjustments based on course requests, completed schedules are made available to students via Hokie-SPA. Students may adjust their schedules before the end of the preceding term and in the first five days of the term of the registration during the add/drop period.

9.3.1 Drop-Add

Add/Drop Period
At the beginning of the term, students may add courses through the end of the fifth day of classes and drop courses through the 30th day of classes. During the summer, students may add courses through the end of the third day of classes and drop courses through the end of the fifth for each part of the term.
During the winter term, students may add courses through the first day and drop classes through the first day of the term.

Dropping or adding courses becomes necessary if a student has an incomplete schedule, changes curriculum, fails a course in the previous term, or fails to pay fees on time, which removes the student from all classes.

A professor may require a student who processes changes during the drop/add period to show a printed copy of the class schedule from Hokie SPA before being admitted to the class. The names of students who have properly added the course immediately appear on the instructor’s class listing available via Hokie SPA. Faculty should not add (register) students in Canvas (Learning Management System).

Students who are properly registered will automatically be added to the learning management system daily during the add period.

9.3.2 Force-Add Requests

Force-add transactions are final solutions for critical scheduling problems in required courses. The force-add request requires approval by the course instructor or designated departmental representative. (Students may check with the department for departmental policy.). If a force-add request is approved, the student must retain the approval form copy to verify enrollment with the instructor. An “add” processed through the force-add process overrides all other courses on a student’s schedule and may create schedule conflicts. Do not process force-adds above the physical capacity of the scheduled room; doing so will not guarantee relocation of the course. Enrollments may not exceed the posted room capacity.

Commonwealth of Virginia fire code specifications do not allow students to be seated in the aisles or on the floor.

9.3.3 Class Rolls

Up-to-date class rolls are available to instructors via Hokie SPA. To obtain access to the class roll and Google Group capability, a faculty member must be the instructor of record in Banner. The instructor of record is expected to inform students whose names do not appear on the displayed class roll. A student should contact the academic dean for assistance to correct inconsistencies. Graded work should not be returned to these students until their names are officially added to the class roll.

9.4 Textbooks and Other Instructional Materials

The University Bookstore is responsible for providing textbooks and related teaching supplies to the university community. Each department has a person designated as the departmental bookstore representative. This person serves as the main contact between the bookstore and the instructor. Pursuant to the federal Higher Education Authorization Act, Public Law 110-315 (HEOA 2008), the Code of Virginia §23 1-1308 amended in 2018, and Policy 6400, “Policy on University
Textbook Sales, administrators, faculty, university bookstores, and publishers are “to ensure that students have access to affordable course materials by decreasing costs to students and enhancing transparency and disclosure with respect to the selection, purchase, sale, and use of course materials.” Provisions of the law require publication of textbook requirements prior to registration. Requests to the bookstore for textbooks and other instructional materials are routed through the department’s bookstore representative.

By law, university “guidelines shall ensure that faculty textbook adoptions are made with sufficient lead time to university-managed or contract-managed bookstores so as to confirm availability of the requested materials and, when possible, ensure maximum availability of used textbooks.” To this end, the University Bookstore must be notified of the selection of textbooks and other materials for any fall semester class no later than April 15. The deadline for spring semester is October 15 of the year immediately preceding the spring semester.

Before a textbook may be adopted, the faculty member must confirm whether the faculty member intends to use all items ordered—particularly individual items sold as a part of a bundled package. If the faculty member does not intend to use each item in the bundled package, the faculty member is required to notify the bookstore. The bookstore then orders the individualized items if the publisher makes them available and if their procurement is cost effective for both the institution and the students. In addition, the faculty member affirmatively acknowledges the bookstore’s quoted retail price of textbooks selected for use in each course.

Faculty members are encouraged to limit their use of new edition textbooks when previous editions do not differ in a substantive way as determined by the appropriate faculty member. Publishers are to document the substantive differences in any revised publication of texts.

Before adoption of a particular textbook, the respective department determines that a copy of the textbook is on reserve in the University Libraries during any period that the textbook is to be used. Additional information on the federal textbook requirements and guidelines may be found on the University Registrar’s HEOA Textbook Provision page.

In accordance Section 23.1–1308 Code of Virginia the University has adopted guidelines for the use of low-cost and no-cost open educational resources in courses offered at the university. Such guidelines may include provisions for low-cost commercially published materials. These guidelines are available on the University Libraries Open Education: OER Overview page.

Faculty members should not engage in direct sale of instructional materials to students. The Code of Virginia §23 1-1308 states that, “No employee of a public institution of higher education shall demand or receive any payment, load, subscription, advance, deposit of money, services or anything, present or promised, as an inducement for requiring students to purchase a specific textbook required for course work or instruction. However, such employee may receive (i) sample copies, instructor’s copies, or instructional material, not to be sold; and (ii) royalties or other compensation from sales of textbooks that include such instructor’s own writing or work.” See also Policy 13010, “Conflict of Interest”, and Policy 6400, “Policy on University Textbook Sales.”
9.4.1 Faculty-Authored Course Materials
A faculty member teaching a course may not receive a royalty and/or other fees beyond direct cost of production and sales for any material used as part of class activity, except for material that has received an independent external review, that has been copyrighted, and a portion of the copyright is owned by a publisher other than the author. Faculty accused of abusing the distribution of classroom material for personal financial gain are subject to review by the Committee on Faculty Ethics.

9.5 Grading Systems
“A” to “F” system (undergraduate students): The majority of course enrollments by undergraduate students at the university are graded on the traditional A-F basis, with a 12-point plus/minus grading scale. The grades “A” through “D-” represent passing grades and “F” is a failing grade. The grade of “A” should be assigned to students who meet the learning objectives outlined for the course at a level of comprehension and performance deemed excellent. The grade of “F” should be used for those students who have not demonstrated acceptable achievement with regard to the learning objectives of the course of study. An instructor may choose not to use the plus/minus system in the assignment of grades.

“A” to “F” system (graduate students): The grading system for graduate students is similar to the A-F system with “D” as the lowest passing grade.

Pass/Fail system (undergraduate students): A pass/fail grading system is available to encourage students to enrich their academic programs and explore more challenging courses outside their major without the pressures and demands of the regular grading system. The pass/fail grading option is available to all undergraduates who have completed a minimum of 30 credit hours at Virginia Tech and have a cumulative Virginia Tech grade point average (GPA) of 2.0 or above.

The following restrictions apply:

- for students in a four-year program, the total maximum allowable credits for pass/fail shall not exceed 12 semester hours, exclusive of courses offered only pass/fail
- for students in a five-year program, the total maximum allowable credits for pass/fail shall not exceed 12 semester hours, exclusive of courses offered only pass/fail, or 10% percent of the required hours for graduation completed at Virginia Tech—whichever is greater
- a student may not enroll for more than two courses per semester on a pass/fail basis—excluding physical education activity courses and required courses offered on a P/F basis only
- courses may not be changed from A-F to the P/F basis beyond the last day to drop classes without penalty
- courses may not be changed from P/F to A-F beyond the last day to resign without penalty
for students in a four-year program, the total maximum allowable credits for pass/fail shall not exceed 12 semester hours, exclusive of courses offered only pass/fail.

For courses offered only on a pass/fail basis, the 30-hour and 2.0 GPA requirement does not apply. Any courses taken beyond the number of hours required for graduation also may be taken pass/fail, except that no more than two courses may be taken on the P/F option per semester.

Under the pass/fail grading system for undergraduate students, a “P” is granted for earning a “D” or better in the course; otherwise, an “F” is given. The “P” or “F” is recorded on the student’s transcript and credit given if the course is passed; if the course is failed, the “F” is considered as equivalent to an “F” received under the A-F grading system and is included in calculation of the GPA. The GPA is unaffected by a “P.” Once credit is received for a course taken on pass/fail, the course cannot be repeated under the A-F grading system.

Pass/Fail system (graduate and veterinary medicine students): A limited pass/fail grading system is available to encourage graduate students to explore courses outside their major. Subject to approval of the major professor, graduate students may take an unlimited number of hours of graduate course work (5000- and 6000-level) on a pass/fail basis, if outside the department and not on the plan of study. These courses may not be used to satisfy minimum degree requirements. All courses on the plan of study, including supporting courses, must be taken on a letter grade (A-F) basis except for those courses offered on a pass/fail basis only.

Under the pass/fail grading system for graduate students, a “P” is granted for earning a “C-” or better in the course; otherwise, an “F” is given. The GPA is unaffected by a “P.” Grades of “F” are counted in the calculation of the GPA.

Satisfactory/Unsatisfactory system (school of medicine students): All Virginia Tech Carilion School of Medicine courses have a grade mode of “S” for Satisfactory or “U” for Unsatisfactory.

Year 3 medical clerkship grading scale includes Honors (H), High Pass (HP), Pass (P) and Fail (F).

Audit grade (undergraduate students): A student may choose to audit a course, without the necessary prerequisites, to enhance one’s educational experience. Permission of the course instructor is required, in accordance with Policy 6360, “Auditing Courses,” and Policy Memorandum 250, “Assignment of an Audit Grade for Undergraduate Courses.” An audit is a mechanism for a student to reserve a seat in a course, with no performance evaluation required. If the student or the instructor expects evaluation of course work, then the student must enroll either for the P/F option or for a letter grade. If the instructor of record wishes to restrict the participation of auditing students in selected activities, then that is stated in the syllabus. Students are assessed the same rate of tuition and fees for audited courses as for courses taken for credit. Audited courses do not count toward full-time enrollment.
An unsatisfactory audit should be left blank in the grade column. In the case of graduate students, an e-mail should be forwarded to the graduate school requesting deletion of the course from the student's record.

The “I” grade (Incomplete): The “I” grade signifies incomplete work but does not affect a student's GPA. It is assigned at the discretion of the instructor only. The “I” may be used when a student is unable to take the final examination during examination week, but the instructor may wish to confirm the legitimacy of the request with the Schiffert Health Center or the student’s academic dean. Except for certain laboratory courses, “I” grades must be removed by the end of the student's first subsequent semester of enrollment or one calendar year from the date of the original “I” grade. An official change-of-grade must be made in Hokie SPA by the instructor to remove an “I” grade and submitted to the department of the course. Incompletes not removed during the designated time are changed to “F” and calculated in the student's GPA. It is expected that a Documentation for Assignment of an Incomplete Grade(I) for Undergraduate Students form, available on the University Registrar’s website, be submitted to the college's associate dean as record of the Incomplete grade contract between the faculty member and student.

The "NG" grade (No Grade): The "NG" grade is given when a student's name appears on the class roll, but the student has never attended class or submitted work for grading.

The “X” grade (Continuing Course): The “X” mark shows that pursuit of the project begun in the course will be continued. The “X” does not compute in the student’s GPA. The “X” may be assigned only for courses pre-established as eligible for this treatment. Changes from the “X” to the final grade must be submitted on change-of-grade cards; the regular grade marked on a grade sheet for an “X”-eligible course will process to that term’s enrollment only.

The “EQ” grade: The “EQ” grade is reserved for graduate students enrolled in research and thesis (5994), or research and dissertation (7994). The awarding of this grade shows that the enrollment has been reviewed and the credits are to be sent to the grade report system. Failure to assign an “EQ” grade will result in the computation of the credits as failing.

The “NR” grade (Not Reported): The “NR” (not reported) grade is automatically entered when an instructor fails to award a grade to a student. The “NR” grade computes as an “F.”

The “W” grade (Course Withdrawn): The “W” (withdrawn) grade is given to an undergraduate or graduate student who has applied the course withdrawal policy to a course. The “W” grade is automatically awarded based on the course option of “W.” A regular grade cannot be awarded if a student has applied the withdrawal policy or “W” option to the course.

Mid-term grade reports: Mid-term grade reports are issued for first-term undergraduates and first semester transfer students for the purpose of informing them about their progress early in
their first academic year. Courses that are oriented toward freshmen should be designed to include at least one substantial graded assignment in time for the mid-term grade report.

**Projected grades for the graduating students, spring term:** Projected grades for graduating students—all levels—must be submitted by the published tentative grade entry deadline in the spring semester. All students are completed for spring term based on the projected (tentative) grades received. Failure to submit tentative grades results in the student’s non-completion and non-receipt of diploma at the college or department ceremony. Entry of tentative grades follows the same process as the end of term entry via Hokie SPA.

**9.6 Course Grading**

The instructor of record has sole responsibility for assigning final course grades and may not delegate the task to other colleagues or teaching assistants. Department heads or chairs may ask instructors in their department to explain unusual profiles of grades or schemes of evaluation.

Faculty are expected to adhere to principles of professionalism, fairness, and clear communication when assigning grades. This includes consistent treatment of all students in the class; clear criteria—communicated directly to the class—about the basis on which course work is evaluated and grades are assigned; timely return of graded work to the student; sufficient feedback through the grading process for the student to improve performance on future assignments; and attention to fair and reasonable measures of course content and student performance.

During the term (i.e., before final grades are assigned), the grading process is not only a record of evaluation for work completed, it is also an important device for providing information to the student about potential work improvements in the future. Grading is a teaching tool that provides specific feedback to students. Faculty should keep this in mind when designing assignments and course work.

Students have the right to see their grades for a course and to lodge a grade appeal if they believe a grade was assigned unfairly. (See chapter nine, “Undergraduate Student Appeals” and “Graduate Student Appeals.”)

The U.S. Department of Education stipulates that posting of grades using even a portion of the student identification number, is considered a violation of the Family Educational Rights and Privacy Act (FERPA). FERPA protects the confidentiality of educational records and prohibits distribution of that record unless with the student’s written consent. Faculty may not post any grades as a class listing using any portion of the student identification number, either via paper or electronically (This policy applies whether the student identification is the Social Security number or a generated identification number).

**9.6.1 Syllabus and Performance Expectation**

Each semester on the first day of classes, faculty are expected to provide students with a course syllabus that includes course objectives, topical outlines, expected performance for which grades
will be assigned, and the instructor's attendance policy, if any. The syllabus should also include a statement on the honor system and its application to the course, reference to accommodations for students with disabilities, and information regarding office hours and how the instructor can be reached directly or through the departmental office during normal working hours. Further information regarding the undergraduate honor system and the graduate honor system is located later in this chapter. Further information regarding accommodations for students with disabilities is available on the Services for Students with Disabilities website.

An explicit statement concerning prerequisites for the course must be included on the course syllabus or assignment sheet. The instructor should call attention to the prerequisites during the first week of classes. Before the official drop-add deadline, the instructor may require specific students without prerequisites to drop the course. The student who is granted permission to enroll without prerequisites should be informed that course expectations and grading practices are the same for all students regardless of whether prerequisites were satisfied or waived.

The syllabus is a very important document because it provides explicit information to the student about course content, schedule, grading scale, and expectations of the instructor. The instructor should design the syllabus as a useful means for setting the tone of the course. Substantial changes in the syllabus constitute modifications in the structure or content of the course, which should be communicated clearly and in writing to students in a revised syllabus. These might include changes in the grading scale, significant departures from the schedule, or modifications of assignments.

All written work, with the exceptions noted below, should be given at such time that it may be graded and then returned during a regularly scheduled class meeting. To the extent feasible, instructors should not schedule major assignments or tests for the last three calendar days of scheduled classes or reading day. Students should be allowed time to prepare for their final exams and benefit from feedback on material relevant to exams.

**Common exceptions include:** due dates for term papers and project reports may be set at the instructor’s discretion, if the student will not be held responsible for the subject matter therein on the final examination; if a lab course or other course does not warrant a final examination during the exam period, but if the department and/or instructor requires that there be a final examination, the exam should be given during the last regularly scheduled laboratory or class period; final examinations for master’s and doctoral candidates, if approved by the vice president and dean for graduate education.

### 9.6.2 Class Attendance

Class meetings are an integral part of most courses and the central component of many. Therefore, both faculty and students are expected to meet at all regularly scheduled times, except for cancellations announced on a university-wide basis by appropriate authority.

If a faculty member cannot meet a class, departmental procedures should be followed so that appropriate measures are taken to provide for the missed class.
If a student cannot attend a class, they may notify their instructor(s) directly or contact the Office of the Dean of Students, whose staff can provide advocacy through its absence verification process. The Office of the Dean of Students considers absence verification for any of the following reasons: illness or death of a family member or friend; off-campus medical appointments or hospital admission; court subpoenas; military orders; and observances of religious, cultural, ethnic, meaning-making, or faith-based beliefs.

Staff members send an absence verification notice to the college dean, who then forwards the verification to the instructor(s). If upon a good faith evaluation an instructor believes that accommodating an absence negatively affects the course of study, students can contact the Office of the Dean of Students for continued advocacy and guidance. Students are responsible for making arrangements with the instructor as soon as possible to complete any work missed due to absence. If this work differs from the original exam or assignment, it must be appropriately related to course objectives and no more difficult than the original.

Faculty determine their attendance policy, including whether they will accommodate absences and how they will do so. However, in accordance with the Virginia Tech Principles of Community, faculty are encouraged to accommodate students when the observance of religious, cultural, ethnic, meaning-making, or faith-based beliefs conflict with academic requirements. Students who choose to request an excused absence directly from their instructor(s) due to a religious observance should do so during the first two weeks of classes or as soon as they become aware of the need for an accommodation.

Policy 5600, “Authorized Closings,” defines the process followed with the university is affected by inclement weather, natural disasters, emergencies, and other conditions that may cause operations to be suspended or curtailed. University employees should consult Policy 4305, “Authorized Closings Leave and Compensation Policy.” During Authorized Closings, “for specific expectations in the event of a closure and information about supervisor/employee responsibilities, leave usage, and compensation.

9.6.3 Final Examinations

Instructors must adopt an appropriate means for evaluating and measuring student performance relative to the course objectives. A final examination schedule is displayed on Hokie SPA in the timetable of classes and the student registration module for each academic term and final exams, if used, must follow this schedule unless the dean of the college has granted special permission. The method of evaluation must be made known to students in the course syllabus at the beginning of the term. (See chapter nine, “Syllabus and Performance Expectation.”) Faculty members will make available to students any final graded material at least through the following academic term. Faculty members are required by the Virginia Public Records Act, 42.1-82, et seq. of the Code of Virginia to retain all work completed by students for grades in a course (includes, but is not limited to: exams, quizzes, tests, and term papers) for one full year after the end of the semester.
A student with conflicting examinations or with three or more examinations within 23 hours may reschedule an examination with permission of the student’s college dean at least ten days before the beginning of the examination period and by arrangement with the appropriate instructor.

A re-examination in one course, in which the final grade is C- or below, may be authorized when the student was enrolled in the course during the senior year final term and a satisfactory re-examination in the course would qualify the student for graduation. A re-examination request must be made, and the exam must be completed by the student as soon as possible, but no later than one academic term after the original examination in the course. Re-examination approval by the instructor, the student’s department head or chair, and the student’s college dean is required, with consideration given to class performance and completion of assigned work.

9.6.4 Undergraduate Student Grade Appeals

The university provides a process for student appeal of a grade. If a student feels that a grade was calculated incorrectly or was assigned in a prejudiced or capricious manner, the student must first discuss the matter with the instructor. If discussion between the instructor and the student does not resolve the issue, the student then has the option of requesting a formal appeal of the grade to the department head or chair who examines the student’s allegation, discusses the matter with the instructor, and makes every effort to resolve the matter at the department level. In the unusual circumstance that resolution does not occur at the departmental or divisional level, the student may appeal to the instructor’s college dean. The dean reconciles the matter by whatever mechanism is most appropriate for that college and that case.

The decision of the college dean is final in undergraduate appeals.

The student must make a grade appeal as soon as possible, but no later than the end of the next academic term of the regular academic year (i.e., fall or spring).

9.6.5 Graduate Student Grade Appeals

Graduate education is a complex activity involving a high order of student-faculty interaction and collegial relationships.

It follows that the evaluation of the graduate student’s progress is, and must be, dependent in large part on the judgment of the graduate student’s major professor, augmented by the collective judgment of the members of their assigned committees. The university, through the agency of the graduate school, defines minimal entrance standards and prescribes general rules governing eligibility for continuation. But the crucial agency in student evaluation is the department in which the student’s work is centered, and the crucial evaluator is the faculty advisor.

It is important, therefore, that each graduate student be fully informed, not only of the university’s expectations, but of the department’s expectations as well. Each department shall prepare, in outline form, a statement for each of its graduate degrees. The statement should cover course requirements, the nature and timing of oral and written examinations, and the evaluation that is
given to the thesis. A copy of each departmental statement should be on file in the graduate school and made available to each student at the time of matriculation.

Most disputes over evidence of unsatisfactory progress are informally discussed and reconciled at the departmental level. Discussions of this kind occur among the student, the major professor, and the other members of the advisory committee. Nonetheless, from time-to-time serious questions arise regarding both the status of a graduate student (whether in a given course or as a candidate for the degree) and the basis of the evaluation that placed the student’s status in jeopardy. On these occasions it is important that the university provides full opportunity for the student’s grievance to be reviewed in a judicious manner.

The procedures for a formal graduate student appeal are described in the Graduate Catalog or may be obtained from the graduate school.

9.6.6 Student Academic Complaints

Virginia Tech seeks to create a productive learning environment for undergraduate, graduate, and professional students. The Statement of Principles of Ethical Behavior calls for faculty to “foster honest academic conduct and to assure that our evaluations of students reflect each student's true merit.” Thus, when an undergraduate, graduate, or professional student believes they have suffered negative consequences due to an unfair or capricious decision related to academic policy, the student should be empowered to raise concerns and to seek appropriate resolution.

A student who believes an academic decision violates university academic policies and procedures may file a complaint with the appropriate department or unit head. Academic decisions do not include decisions regarding admission to the university, scholarship or financial aid awards, undergraduate honor system, graduate, veterinary medicine or school of medicine honor codes, or any grading decision or allegations of professional misconduct unrelated to a student’s academic standing or performance.

The student academic complaint process is found in Policy 6125, “Administrative Policy Governing Student Academic Complaints.”

9.6.7 Change of Grade

A change in grade is authorized only under unusual circumstances. Faculty submit a change of grade via Hokie SPA. The change of grade process requires the instructor’s signature and the electronic approval of the department head or chair and dean for all grade changes—including removal of “I” grades. Grade change requests should carry a statement regarding the circumstances necessitating the change, which includes a description of the circumstances for an original award of an “I” grade. It is improper to permit a student to improve a grade by doing extra work unless all students in the class are given the same opportunity.
9.6.8 Final Grade Reports

Final grades are reported via Hokie SPA. Two methods of entry are available—direct entry or upload from an external data file. Grades must be submitted within 48 hours of the last final examination on the published schedule. Student grade reports are generated from these submissions and displayed via Hokie SPA.

Faculty may not post grades, either via paper or electronically, using even a portion of the student identification number. Pursuant to the Family Educational Rights and Privacy Act (FERPA), using a portion of the student identification number in conjunction with the course grade is not allowed without the written permission of the student. Faculty may wish to remind students that grades are available via Hokie SPA within 48 hours of the end of the term.

9.7 Instruction-Related Responsibilities

9.7.1 Office Hours

As a part of their teaching responsibilities, faculty members are expected to provide several regularly scheduled office hours each week for consultation with students. These hours should be reasonably spaced over the week at times mutually convenient to the instructor and students. Although a specific number of office hours is not stated in university policy, faculty members should ensure that they are readily available, both through office hours and by message at other times during the normal workweek. Information about office hours and how to contact the faculty member through the department office should be included on the course syllabus.

The instructor should encourage students in need of counsel to seek clarification about their work. Those in need of non-academic or personal counseling outside the purview of the faculty members' professional capabilities may be referred to the Cook Counseling Center.

9.7.2 Tutoring

Faculty members and graduate teaching assistants do not accept fees for tutoring students enrolled in their classes, either on a group or single-student basis. They are free to tutor for payment otherwise under university consulting policies.

9.7.3 Students with Disabilities

The university, as a federal aid recipient and state agency, is required to provide opportunities and reasonable accommodation to all identified students with disabilities. Section 504 of the Rehabilitation Act, the Americans with Disabilities Act, the Virginians with Disabilities Act, and Policy 4075, “Univeristy Accommodations of Persons with Disabilities,” provide guidelines and requirements for colleges and universities in providing academic assistance. Accommodation means more than the removal of architectural barriers and the provision of auxiliary services such as note takers, readers, and interpreters for the deaf. It means reasonable accommodation must be made in the instructional process to ensure full educational opportunity. For faculty, this means that teaching strategies and methods, including web page design and distance learning, as well as instructional policies, must be sensitive to the laws and the needs of students with disabilities and responsive to the university’s legal obligations.
Students with disabilities may self-identify and may qualify for accommodations through Services for Students with Disabilities (SSD). Students must present medical or extensive psychoeducational documentation of physical, medical, psychological, or learning disabilities to SSD. Accommodations for students with disabilities are established by the SSD, in accordance with medical and professional information in the student’s record, legal precedent, and national standards for services for students with disabilities. Faculty are urged to include a syllabus statement that encourages the student with a disability to disclose their need for accommodation to the professor as early in the semester as possible. Examples of inclusive disability syllabi statements are found on the Services for Students with Disabilities page. Contact SSD for more information regarding accommodation and services.

9.8 The Virginia Tech Honor Code Pledge

The Virginia Tech honor code pledge for assignments is as follows: “On my honor as a Virginia Tech student, I have neither given nor received unauthorized assistance on this assignment.”

The pledge is to be written out on all graded assignments at the university and signed by undergraduate, graduate, and professional students. The honor pledge represents both an expression of the student’s support of the honor code and an unambiguous acknowledgment that the student has, on the assignment in question, abided by the obligation that the honor code entails. In the absence of a written honor pledge, the honor code still applies to an assignment.

9.8.1 The Undergraduate Honor System

The undergraduate honor code defines the expected standards of conduct in undergraduate academic affairs. The honor code cultivates a culture of academic honesty and integrity on campus. It embodies a spirit of mutual trust and intellectual honesty that is central to the very nature of the university and represents the highest possible expression of shared values among the members of the university community. Policy 6000, “Undergraduate Honor Code”, provides the framework for honor code maintenance, revisions, and procedures for resolution for alleged academic misconduct cases.

The fundamental beliefs and ideals underlying the honor code are: trust in a person is a positive force in making that person worthy of trust; every student has the right to an academic environment free from the injustices caused by any form of intellectual dishonesty; and the honesty and integrity of all members of the university community contribute to its academic and intellectual vitality.

Details of the undergraduate honor code are available on the Office of Undergraduate Academic Integrity website.

9.8.1.1 Faculty Participation in the Undergraduate Honor System

The support of faculty is essential to cultivating a culture of academic integrity. Faculty members are encouraged to support the undergraduate honor system and are expected to abide by the procedures designed for the effective implementation of the undergraduate honor code.
Faculty are expected to adhere to policy pertaining to the reporting and adjudication of violations of the honor code. Initiating formal procedures when academic misconduct is suspected is a necessary and obligatory component of a faculty member’s duties. Any suspected violations of the honor code should be reported promptly, in writing, to the director of the Office of Undergraduate Academic Integrity. Forms of this purpose are available from all department offices, the undergraduate honor system office, and the Office of Undergraduate Academic Integrity website. A faculty member involved in a case is also expected to cooperate with undergraduate honor system personnel, attend hearing panels, faculty-student resolution meetings, and to maintain confidentiality.

In addition, the undergraduate honor system offers the following guidelines to faculty:

Faculty are encouraged to describe the prohibited behavior and the consequences of such activity to students, as well as to openly discuss academic integrity with students in their courses early and throughout the semester.

When an alleged violation is detected, the suspected student(s)’ paper should not be collected until the test is completed. However, any evidence that would be necessary in an investigation should be collected immediately. The test should be graded without prejudice and the alleged violation should be reported to the undergraduate honor system. Please provide the original assignment in question in the submission of evidence. Grades should not be adjusted in a course to compensate for suspected dishonesty.

If a professor suspects that a student or students are cheating, it is permissible to speak with the suspected student(s)—after the test or other work has been completed—and indicate these suspicions. However, it is not permissible to penalize or berate the student(s) or to take any other action that might affect the student(s).

Faculty members are not required to proctor quizzes, tests, and examinations. Faculty are expected to personally administer the examination and to remain within reasonable proximity of the examination room to answer questions that may be raised by the students. However, it is not a compromise of the undergraduate honor system to stay in the room or visit frequently, when a test is being given. In fact, precautionary measures in the spirit of reducing the opportunity for academic misconduct are advisable, especially in large classes. Seats should be spaced in examination rooms whenever possible. Alternate test forms may be used. In rare cases, such extreme measures as requiring ID when a test is handed in may be necessary to prevent organized “paid substitutes” from taking tests for other students.

Faculty are encouraged to speak with the director of the Office of Undergraduate Academic Integrity to obtain information designed to prevent academic misconduct.

The faculty, along with the students and other university personnel, share the responsibility of cultivating a culture of academic integrity and honesty through upholding the undergraduate honor code.
9.8.1.2 Undergraduate Honor Code Statement in Course Syllabi
All undergraduate course syllabi shall contain a section that states and refers students to the honor code procedures available on the Office of Undergraduate Academic Integrity website. The minimum required statement is, “As a Hokie I will conduct myself with honor and integrity at all times. I will not lie, cheat, or steal, nor will I accept the actions of those who do.” Additional information about the expectation of academic integrity in a particular course may be appropriate.

Each student who enrolls at Virginia Tech is responsible for abiding by the honor code. A student who has doubt about how the honor code applies to any graded assignment is responsible for obtaining specific guidance from the instructor before submitting the assignment for evaluation. Ignorance of the rules does not exclude any member of the university community from the requirements and expectations of the honor code. For additional information, please see Office of Undergraduate Academic Integrity website.

9.8.1.3 Undergraduate Honor Code Definitions of Academic Misconduct
Commission of any of the following acts shall constitute a violation of the undergraduate honor code. The list is not, however, exclusive of other acts that may reasonably be said to constitute academic misconduct.

**Cheating** includes intentionally using unauthorized materials, information, notes, study aids, or other devices or materials in any academic exercise, or attempts thereof.

**Plagiarism** includes the copying of the language, structure, programming, computer code, ideas, and/or thoughts of another and passing off the same as one’s own original work or attempts thereof.

**Falsification** includes the statement of any untruth, either verbally or in writing, with respect to any circumstances relevant to one’s academic work or attempts thereof.

**Fabrication** includes making up data and results, and recording or reporting them, or submitting fabricated documents, or attempts thereof.

**Multiple submission** includes the submission for credit—without authorization of the instructor receiving the work—of substantial portions of the same work (including oral reports) previously submitted for credit at any academic institution or attempts thereof.

**Complicity** includes intentionally helping another to engage in an act of academic misconduct or attempts thereof. Violation of university, college, departmental, or faculty rules includes the violation of any course, departmental, college, or university rule relating to academic matters that may lead to an unfair academic advantage by the student violating the rule(s).
9.8.1.4 Undergraduate Honor Code Sanctions

Instances of academic misconduct represent behavior of an especially serious nature. Sanctions assigned for academic misconduct are responses to student behavior that will often have an impact on a student’s course grade. Sanctions assigned in instances of academic misconduct should convey the message that the behavior serves as a destructive force within the academic community. However, a wide range of sanctions can be employed in order to strike an appropriate balance between sending a message of accountability and enhancing a student’s moral and cognitive development.

The undergraduate honor system is empowered with assigning and implementing sanctions for academic misconduct. A faculty member may recommend sanctions for academic misconduct to the undergraduate honor system. Most cases of academic misconduct should result in an F* as the student’s final course grade. An F* sanction indicates that a student failed the course due to an honor code violation. However, a faculty member may recommend more severe or less severe penalties to the undergraduate honor system if the circumstances warrant. Examples of other sanctions that may be assigned include lowered final course grade, reduction of points on an individual assignment, zero on the assignment, and completion of the academic integrity education program. With the approval of an honor system hearing panel, the sanctions of suspension and expulsion may also be assigned. Faculty are strongly encouraged to consult the undergraduate honor system prior to making recommendations on the appropriate sanction.

9.8.1.4.1 Grade Adjustments for Suspected Academic Misconduct

Grades may not be adjusted in a course to compensate for suspected academic misconduct.

When an alleged violation of the undergraduate code occurs, the incident should be reported to the honor system by submission of a violation report form. Sanctions for academic misconduct will be assigned through the Undergraduate Honor System.

The faculty, along with the students and other university personnel, share the responsibility for cultivating a culture of academic integrity and honesty through upholding the undergraduate honor code.

9.8.2 Graduate and Professional Student Honor Systems

9.8.2.1 Graduate School Honor System

Detailed information concerning the graduate honor system applicable to all graduate students is found in the graduate honor system constitution, published in the Graduate Catalog. The graduate honor system constitution describes the rights and responsibilities of students as well as faculty with regard to the honor code.

9.8.2.2 Virginia Maryland College of Veterinary Medicine

The honor system for students in the College of Veterinary Medicine is described in the Virginia-Maryland Regional College of Veterinary Medicine student honor code.
9.8.2.3 Virginia Tech Carilion School of Medicine

The honor code for students in the Virginia Tech Carilion School of Medicine (VTCSOM) is described in the VTCSOM Student Handbook.

9.9 Classroom Conduct

Maintaining a good learning environment in the classroom is an important part of a faculty member’s responsibility as a teacher. The teacher should endeavor to create a classroom atmosphere that is comfortable and welcoming of all students, including women and members of minority groups. Disruptive classroom conduct on the part of some students may be distracting, annoying, or intimidating to other students and should not be tolerated by the teacher.

As much as possible, the teacher should endeavor to create a classroom environment in which there is active participation on the part of most of the students, rather than the domination of the class by a few individual students. This may require different teaching strategies such as the use of small groups or teams, as well as different approaches to the structure of classroom presentations. Assistance for faculty who are trying to improve the learning environment of the classroom is available through the Center for Excellence in Teaching and Learning.

Faculty have the prerogative of deciding the classroom conduct and the appropriate dress of their students as long as these actions do not infringe upon the students’ rights as guaranteed in principles underlying the section in the Student Code of Conduct. It is the faculty member’s obligation to ensure that the classes following find a clean and orderly space.

9.10 Teaching Evaluation

Good teaching evaluation processes are essential for maintaining the quality of academic programs, for reviewing the job performance of faculty members with respect to the instructional mission of the university, and for designing effective faculty development initiatives. All of the colleges have processes of teaching evaluation, which are used in promotion and tenure decisions and in annual performance evaluations.

9.10.1 Student Evaluation of Courses and Faculty

The university expectation is that all faculty members will be evaluated in all courses taught each year. More information about this matter is available from departmental offices and from the academic deans. Student evaluation of courses and instructors is an integral component of a good teaching program. While specific procedures vary across the colleges, in general, committees in each college are responsible for designing appropriate evaluation procedures and for receiving such evaluations. Faculty members should ensure that their college’s procedures for conducting student teaching evaluations are followed in a way that is absolutely free of intimidation or influence by the teacher’s presence.

Student Perceptions of Teaching (SPOT) system was developed to provide a centrally supported, university-wide method for collecting student feedback regarding courses and instruction. The SPOT questionnaire is designed for use across all university departments; as such, it focuses on
issues with broad pedagogical significance. It is not intended to stand-alone in providing evidence regarding teaching effectiveness. Rather, it provides one form of information regarding the quality of courses and instruction that may be integrated and interpreted with other forms—such as instructor-developed course-specific questionnaires, peer observation of teaching, and instructor self-assessment—for purposes of instructional development and/or evaluation.

9.10.2 Peer Evaluation of Courses and Faculty
Good teaching evaluation includes more than the student perception of instruction. The university expectation is that in-depth peer evaluation of teaching will be conducted periodically for all faculty members and at least twice during the probationary period for tenure-track faculty.

Colleges, departments, and individuals wishing assistance in devising evaluation forms may consult the Center for Excellence in Teaching and Learning, where a variety of such forms are available. Faculty members may find such evaluations helpful in revealing information that leads to improvement of classroom presentation, evaluation of students, and student response to their classes.

9.11 Student Record Policy
In response to the Family Educational Rights and Privacy Act (FERPA), a statement of policy on the maintenance and disclosure of student records was adopted by the university. This policy protects the privacy of student records; the specific policy document is available from the university registrar’s Student Privacy (FERPA) page.

9.11.1 Academic Records
Names of current and former students, that are not marked suppressed or confidential, may be selected and released to non-university entities only on the basis of class level (e.g., freshman, senior), major, or place of residence.

Pursuant to the Code of Virginia § 23.1-405, student and former student addresses (both physical and VT email) and phone numbers should not be released to non-university entities regardless if they are marked suppressed or confidential or not.

The protection of academic records, which exist in enrollment management and in the college and departmental files, is covered by this policy. This includes the student’s right to review these records.

Responses to telephone inquiries are limited to the following information: whether the student is currently enrolled; dates of enrollment; degree(s) earned if any, date, major, and honors received; address and telephone number. The Office of the University Registrar must provide official certification of these items. Special note: no information, including directory information, may be released if a student has marked all or part of their record suppressed or confidential.
Grade reports may not be released to parents, guardians, or any other person without prior written approval from the student. Students may not have access to financial aid information about their parents or guardians without written approval from the parent or guardian.

The university may withhold transcripts, certificates, registration materials, or any other information about a student’s record if financial obligations are unmet. The university also reserves the privilege of withholding materials if violations of university regulations have not been cleared.

9.11.2 Lecture Recording

Lecture recordings should be handled in a manner that ensures a student(s) personally identifiable information isn't released outside of FERPA requirements. The following guidelines should be considered when using lecture recording:

- Faculty should not upload recordings of a class session where the students are the focus in anyway in the recording, either by name or by image, to a public site.
- Faculty who wish to record lectures for use in later semesters may do so by recording the course in such a way that the students’ identity in the course is never revealed.
- Faculty may use recorded lectures that identify a student(s), such as names viewable in a zoom session or student's presenting for a portion of the course, only if they are shared through Canvas ONLY with that course section.

9.12 Undergraduate Student Advising

Undergraduate advising at Virginia Tech is a collaborative process between student and advisor, leading to the exchange of information that encourages the individual student to make responsible academic and career decisions. The university is committed to effective advising by recognizing and supporting the needs of both students and advisors. Each undergraduate student is provided information and assistance to aid the student in making academic and career decisions. Each advisor is provided with the necessary tools to respond to student needs and the opportunity to be recognized for exemplary advising.

Statement of university responsibility: The university shares responsibility for successful advising. Senior leaders will: review the advising process to assess the impact of recommendations implemented; provide information for students, advisors, parents, and other constituents that clearly explain responsibilities and expectations related to advising; make information available about advising for all new faculty and appropriate staff; collect and disseminate information that contributes to effective advising; assist students in clarification of academic and long term goals; support initiatives that enhance the use of technology in advising; support Web-based interactive advising support systems for students, advisors, parents, and other constituents; and support a Virginia Tech plan that effectively assesses, recognizes, and rewards advising in the annual professional evaluation.
Statement of student responsibility: The student shares responsibility for developing an advising partnership with the advisor. Over time, this partnership results in increased responsibility for the student.

The student will: communicate goals, needs, wants, and concerns to the advisor in a respectful and sincere manner; keep abreast of their own academic progress and requirements related to their academic programs; make, keep, and be prepared for appointments with the advisor; inform the advisor of changes in plans and/or circumstances that might impact academic performance; know departmental procedures regarding changing advisors; and bring concerns regarding quality of advising to the attention of the advisor.

Statement of advisor responsibility: The advisor shares responsibility for developing an advising partnership with undergraduate students. The advisor will: communicate with students and delivering individualized and accurate information in a professional and sincere manner; be informed of and provide accurate information about current academic policies and procedures; keep appointments and be available for assistance; provide appropriate referrals, contacts, and information; do appropriate follow-up with students; and seek out and take advantage of opportunities for professional development.

9.13 Identifying and Referring the Distressed Student

The college years can be stressful for students. In the contemporary climate of competition and pressure, some students adequately cope with these stresses, but others find that stress becomes unmanageable and interferes with learning. In some cases, these students may even disrupt the learning of others.

Identifying the distressed student: Many students initially seek assistance from faculty. A student in distress may display: excessive procrastination and very poorly prepared work, especially if inconsistent with previous work; infrequent class attendance with little or no work completed; dependency (e.g., the student who hangs around or makes excessive appointments during office hours); listlessness, lack of energy, or frequently falling asleep in class; marked changes in personal hygiene; impaired speech and disjointed thoughts; repeated requests for special consideration; threats to others; expressed suicidal thoughts; excessive weight gain or loss; behavior that regularly interferes with effective class management; frequent or high levels of irritable, unruly, abrasive, or aggressive behavior; inability to make decisions despite repeated efforts to clarify or encourage; bizarre behavior that is obviously inappropriate for the situation; or may appear overly nervous, tense, or tearful.

Guidelines for interacting with the distressed student: Talk to the student in private. Express concern and be as specific as possible in stating your observations and reasons for concern. Listen carefully and repeat the essence of what the student has told you so that your attempts to understand are communicated. Avoid criticizing or sounding judgmental. Consider the Cook Counseling Center as a resource and discuss referral with the student. If the student resists
referral and you remain uncomfortable with the situation, contact the Cook Counseling Center or the Office of the Dean of Students to discuss your concern.

**Referring the distressed student to Cook Counseling Center:** Suggest that the distressed student call or come in to make an appointment. Give him or her the Cook Counseling Center’s phone number (540-231-6557) and location (240 McComas Hall). It is usually more effective to assist the student by calling for an appointment with the student present. When you reach the center’s receptionist, identify yourself as a faculty member and ask for an appointment for the student. The student’s name and Tech ID number are required for the appointment. Write down the appointment time, date, and name of the counselor for the student. If you feel the situation is an emergency or urgent enough to require immediate attention, tell the receptionist that the student needs to see a counselor immediately. It may be necessary for you to walk the student to the center. If you are concerned about the student, but unsure about the appropriateness of a referral, call the center for a consultation.

**Receiving the assistance of the Office of the Dean of Students:** The dean of students offers several guides and videos that may be helpful in identifying and interacting with the distressed student.

Responding to Students in Distress, which is available online or a print copy may be requested by calling the Office of the Dean of Students at 540-231-3787 or by sending an email request to dean.students@vt.edu.

Assisting Students: A Faculty and Staff Resource Guide may be obtained by calling the Office of the Dean of Students at 540-231-3787, or by sending an email request to dean.students@vt.edu. The listing is available in two formats—a re-positional sticker, or a 4x6-inch card that includes contact information for student affairs departments able to assist with distressed students.

The Office of Dean of Students partners with faculty and staff members to support students for whom there may be concern. Concerns may be shared by phone at 540-231-3787, email dean.students@vt.edu, or face-to-face contact with staff in the Dean of Students Office. After regular business hours, contact Virginia Tech Police at 540-231-6411 for connection to the dean of students’ on- call staff member.

The Office of the Dean of Students also offers an additional tool for faculty members to use in sharing concerns about a student. This online reporting system should not be used for emergencies. The Dean of Students Reporting System is available through the Hokie SPA menu. This system closely parallels the academic advising system already used by faculty. As always, matters needing immediate attention should be directed to the Virginia Tech Police at 540-231-6411.
10.0 Policies for Research, Creative and Scholarly Activities

Research at the university is classified as departmental research, core research, and/or sponsored research. Individual research projects may receive funds under one or more of these categories, as described below.

10.1 Principal Investigator Guidelines

A principal investigator (PI) bears responsibility for the intellectual leadership of a project. The PI accepts overall responsibility for directing the research, the financial oversight of the award’s funding, as well as compliance with sponsor terms and all relevant federal, state, and university regulations, policies, and procedures. Additional information and PI guidelines are maintained by the Office for Research and Innovation and can be found on the Office of Sponsored Research (OSP) Principal Investigator Resources page.

10.2 Research Classifications

10.2.1 Departmental Research

Research supported by departmental operating funds and/or through adjustment of teaching responsibilities is called departmental research. In this category, faculty are free to pursue research to enrich their teaching, scholarship, and greater understanding of their discipline.

10.2.2 Core Research

Core research focuses primarily on the needs of Virginia and is funded by state and federal appropriations through the instructional division and Virginia Cooperative Extension /Agricultural Experiment Station. There are six core research sub-programs:

- agriculture and forestry research
- coal and energy research
- environmental and water resources research
- industrial and economic development research
- veterinary medical research, and
- supporting research

Faculty, who believe their research relates directly to one or more of the sub-programs and is applicable to problems or concerns of the commonwealth, should contact their department head or chair about procedures for securing core research support.
10.2.3 Sponsored Research

Sponsored research is supported through awards funded by external sponsors resulting from proposals submitted, on a project-by-project basis, by university faculty. Such proposals are submitted to state and federal agencies, corporations, and private foundations. Through sponsored research, faculty obtain the resources needed to conduct expanded research programs and may receive additional months of salary support. Research time is charged when the work activity and work reported are during the same period.

Sponsored awards add stature to the recipient and the university; thus, faculty members are encouraged to seek such support. Restrictions for sponsored research include that the research must not constitute undue competition with commercial testing and research laboratories or with private consultants, and that it is compatible with the primary mission of the university. Questions about the appropriateness of a specific research project should be directed to the department head or chair, dean's office, or to the Office for Research and Innovation.

10.3 Preparation of Proposals for Sponsored Projects

The Office of Research and Innovation assists faculty in obtaining research sponsorship. Policies, procedures, and pre-award contacts are available on the Office of Sponsored Programs (OSP) website. Faculty are encouraged to explore research sponsorships by viewing funding opportunities on the Office of Research and Innovation website. Office of Research and Innovation personnel consult with faculty regarding research support and help faculty locate programs and individuals at government agencies, industry, and private foundations.

Most funding agencies have their own scientific and technical priorities and funding restrictions. Therefore prior to writing a formal proposal, faculty are encouraged to review their proposal concept with the appropriate person at the agency to which the proposal will be submitted. Faculty may wish to discuss proposal preparation with the appropriate member of their college dean's staff. Before final budget preparation, an OSP official must review the proposed budget. The OSP official provides information and guidance about university policies for cost sharing, budgetary matters, confidentiality, publication, and intellectual property undertakings.

Faculty should be aware that some agencies limit the number of proposals, frequency of institutional proposal submission or the total dollar amount of proposals that can be submitted by an institution in response to a research sponsor's solicitation. Some sponsors also limit the number of active awards for a given program by institution. Additional guidance for these programs, along with deadlines and procedures for submitting internal notices of intent for these solicitations or program notices are available on the Research and Innovation Limited Submissions page.

The required process for submitting a sponsored project proposal is on the OSP website, Procedure 20002, Proposal Submission. Each proposal requires considerable processing. Deadlines for submitting proposals to OSP in advance of agency deadlines are also available on the OSP website.
10.4 Laboratory Services and Facilities
Several colleges and departments maintain shops and facilities for design, fabrication, maintenance, and repair of specialized equipment. The Office of Research and Innovation can assist faculty in locating an appropriate facility.

Environmental Health and Safety (EHS) must be consulted before any laboratory is established in a university facility. The EHS staff will determine if the proposed laboratory meets all necessary facility and laboratory requirements. The EHS staff ensures that all personnel who will be working in the laboratory are familiar with the various university policies, procedures, and publications that cover laboratory operations. These may include chemical hygiene plans, laboratory safety manuals, safe handling, use, and disposal of Biosafety Level 2 (BSL-2) or Biosafety 3 (BSL-3) agents, or when applicable, lab licensing and radiation safety manuals approved by the Radiation Safety Committee.

Research involving biohazardous agents, including recombinant and/or synthetic nucleic acid molecules, and select agents and toxins (SATs) is governed by regulations established (1) the Centers for Disease Control and Prevention [CDC] and (2) the U.S. Department of Agriculture Animal and Plant Health Inspection Service (USDA APHIS). Acquisition and use of biohazardous agents cannot occur without prior notification and review by the university’s designated responsible official (the biosafety officer in EHS), and review and approval of proposed uses of those materials by the Institutional Biosafety Committee (IBC). Inspection and authorization by CDC and USDA APHIS are required for labs where biohazardous agents are proposed to be stored and used.

Research and teaching animals may be housed and maintained in college herds or flocks, in departmental or researcher-maintained housing (also known as satellite areas) or is designated centralized animal vivaria managed by Animal Resources and Care Division (ARCD) personnel. Researchers who want to house animals in new areas or facilities not currently used for that purpose must request inspection by the Institutional Animal Care and Use Committee (IACUC) to ensure housing is consistent with applicable regulations and standards and receive approval of the space before animals are ordered and housed in the new facility/area.

10.5 Research Involving Human Subjects, Animal Subjects, and Biohazardous Agents
The Virginia Tech division of Scholarly Integrity and Research Compliance (SIRC) provides administrative support to the university’s compliance committees responsible for reviewing and approving research involving humans, animals used in teaching and research, recombinant DNA, dual use research of concern, and biohazardous agents. SIRC ensures institutional compliance with applicable federal laws, regulations, and guidelines by providing training to researchers, staff, and students, and by performing post-approval monitoring of approved protocols. SIRC supports four compliance review committees with federally mandated membership composition including faculty peers and community members, that review each research protocol to ensure scientific
quality, ethical treatment of research subjects (animal and human), and compliance with related federal and state research regulations.

10.5.1 Research with Human Subjects
The Virginia Tech Institutional Review Board (IRB) has general oversight responsibility for the university’s compliance with its federal-wide assurance with the Office for Human Research Protections in the U.S. Department of Health and Human Services, the ethical principles established in the Belmont Report, and human subjects protection regulations in the Code of Federal Regulations title 45, part 46 (45 CFR 46) and 21 CFR 50. All research with human subjects, as defined in 45 CFR 46 and 21 CFR 50, conducted by Virginia Tech faculty, staff, or students, regardless of funding source (including non-funded research), must be reviewed and approved by the IRB before research is initiated and subjects are recruited. In accordance with federal law, the Virginia Tech IRB has the authority to approve, disapprove, or require modifications in protocols before approval is granted. For studies that the IRB deems to be greater than minimal risk, the investigator must seek continuing IRB review, at least annually, or as determined by the IRB. Continuing review materials must be reviewed and approved by the IRB before the study’s expiration date. No changes may be made to an approved nonexempt protocol until an amendment application is approved by the IRB. Investigators must seek research determinations from the Human Research Protection Program for all proposed research projects, which fall into one of the following categories: Not human subjects research, exempt, expedited or full-board review. Policy 13040, “Virginia Tech Human Subjects Research Policy,” establishes requirements for research involving human participants. These requirements are intended to protect the rights and welfare of human research subjects recruited to participate in research activities.

The Privacy and Research Data Protections program (PRDP) has oversight of privacy and confidentiality protections of research data in collaboration with Virginia Tech information security and related policy stakeholders. The PRDP collaborates with researchers, the IRB, University Libraries, and university IT resource owners on data use and storage opportunities to facilitate secure storage and use of personally identifiable information and protected health information. PRDP provides guidance to researchers regarding compliance with regulatory requirements such as HIPAA, GDPR, FERPA, PCI-DSS, and related state, federal, and international privacy laws.

10.5.2 Teaching and Research with Animals
The Institutional Animal Care and Use Committee (IACUC) has oversight responsibility for Virginia Tech’s compliance with its approved animal welfare assurance on file in the National Institutes of Health Office of Laboratory Animal Welfare, its approved research facility registration with USDA Agriculture, Animal, and Plant Health Inspection Service, the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals, the PHS principles for the use and care of vertebrate animals used in testing, research, and training, the federal Animal Welfare Act and animal welfare regulations, and accreditation by AAALAC International. All proposed research and teaching use of vertebrate animal species, regardless of funding source (including non-funded research), must be reviewed and approved by the IACUC before animals are acquired.
and activities initiated. In accordance with federal law, the Virginia Tech IACUC has the authority
to approve, disapprove, or require modifications in protocols before approval is granted. No
changes may be made to an approved protocol until a protocol amendment application is
approved by the IACUC. Researchers and instructors must provide annual continuing review
information and as requested. In accordance with federal regulations, protocols can only be
approved for a three-year period, after which a renewal protocol must be submitted for review and
approval by the IACUC. Per federal law, every six months the IACUC must inspect areas where
animals are housed or used (e.g., labs where animals may be taken) and review the animal
governing the use of animals in research and training. These requirements are intended to
safeguard and ensure the humane treatment of animals used in research and training.

10.5.2.1 Animal Resources and Care Division (ARCD)

The Animal Resources and Care Division (ARCD) within the Office of Research and Innovation
has oversight responsibility for the provision of adequate veterinary care as defined in federal
regulations and other standards (e.g., PHS Policy, the Guide for the Care and Use of Laboratory
Animals, the Guide for the Care and Use of Agricultural Animals in Research and Teaching) that
address the use of animals in research and teaching activities conducted under IACUC approved
protocols. The Attending Veterinarian delegates the responsibilities for the daily provision of
veterinary care, including emergency care provided on weekends, holidays, and after normal
business hours, to trained and experienced ARCD clinical veterinarians and veterinarians
employed by the Veterinary Teaching Hospital within the Virginia-Maryland College of Veterinary
Medicine. Delegated veterinarians use professional judgement to provide veterinary care that
encompasses but is not limited to preventive medicine; disease surveillance, diagnosis,
treatment, and control; surgical and perioperative care; appropriate use of anesthesia, analgesia,
and euthanasia; and animal well-being. Delegated veterinarians are responsible for the
management of clinical records and addressing animal health or welfare issues related to
procedures conducted under IACUC approved protocols.

ARCD personnel manage the daily operations of multiple animal care facilities (a.k.a. vivaria) that
house a variety of species utilized under IACUC approved protocols. ARCD personnel provide
daily husbandry and care procedures in accordance with applicable regulatory, institutional, and
accreditation standards.

10.5.3 Laboratory Research

The Institutional Biosafety Committee (IBC) provides compliance review and oversight of research
and instructional activities that involve the use of infectious agents, federally-designated select
agents, recombinant and/or synthetic nucleic acids, gene editing systems, genetically modified
organisms, genetically engineered organisms, transgenic organisms, gene transfer, gene therapy,
biologically derived toxins, and the culturing and/or manipulation of human and/or non-human
primate material, including cell lines from vendors. Oversight by the IBC is not limited to specific
funding sources and includes non-funded research. In accordance with the NIH Guidelines, the
Virginia Tech IBC has the authority to approve, disapprove, or require modifications in protocols
before approval is granted. Protocols are approved for a period of three years, after which a renewal protocol must be submitted for review and approval by the IBC. No changes may be made to an approved protocol until an amendment application is approved by the IBC. The IBC coordinates its activities with Environmental Health and Safety (EHS), specifically the biosafety officer (who is also the designated responsible official for select agents and toxins), and other lab safety professionals. Policy 13030, “Virginia Tech Recombinant DNA and Biohazard Research Property,” establishes requirements for the safe, secure, and compliant use of recombinant or synthetic nucleic acid molecules and/or biohazardous materials. These requirements are intended to protect university personnel, the public, and the environment.

The Institutional Review Entity (IRE) provides guidance in identifying, as well as compliance review and oversight for, activities confirmed to be life sciences Dual Use Research of Concern (DURC) performed at Virginia Tech and/or performed by Virginia Tech employees. DURC is defined in the US government Institutional Life Sciences DURC Policy (USG Policy) as activities involving at least one of the agents and/or toxins listed in Section 2.1.1 of the USG Policy, and which produces, aims to produce, or can be reasonably anticipated to produce, one or more of the effects listed in Section 2.1.2 of the USG Policy. Any activities involving the use of one or more agents or toxins listed in the USG Policy must be submitted to the IRE for evaluation. As defined in the USG Policy, there are no exempt quantities of botulinum neurotoxin, and all use of the toxin needs to be evaluated by the IRE for DURC potential. The Institutional Biosafety Program (IBP) is the administrative office for the IRE. The Associate Vice President for Research and Innovation/director of SIRC is the Institutional Contact for dual use research.

10.6 Ownership and Control of Research Results

The university asserts its right to the results of research funded wholly, or in part, with university resources. University ownership of intellectual properties is covered in Policy 13000, “Policy on Intellectual Property.” University ownership rights, as defined in the Policy on Intellectual Property, may extend to all permanent, visiting, or research faculty, staff, wage employees, and students.

The faculty principal investigator or project leader is expected to manage the university’s ownership of research results and material (including all data) that best advance the standard routes of publication, presentations, and other usual means of dissemination of research results for that particular field. Creation of intellectual property (IP) must be disclosed to the university by submitting an IP disclosure form, which is available on the Virginia Tech Intellectual Properties (VTIP) page or by contacting the License team within the Office of Research and Innovation. Invention Disclosures should be made as soon as possible after creation (i.e., before publication or other public discussion) to protect the potential value and utility of the IP.

As project leader, it is the responsibility of the faculty principal investigator to preserve the research material and results in the manner that is customary to the field. This includes all notebooks and files (independent of whether they are in analog or digital format), computer files, samples, specimens, prototypes, etc. germane to the veracity and validity of the research claims. Sponsored research projects may require additional document retention based on sponsor
requirements or fulfillment of the project’s data management plan, included in the original proposal. All research data, results, and related materials must be retained as required by state law and in accordance with the retention requirements of the Library of Virginia’s state records management program. The faculty principal investigator is also responsible for complying with any additional applicable regulations regarding data retention for specific records.

Additional requirements concerning ownership and control of research data, results, and related records are set forth in Policy 13015, “Ownership and Control of Research Results.”

10.7 Financial Conflicts of Interest Related to Sponsored Research

Virginia Tech recognizes the value and necessity of engaging with outside entities to translate research into beneficial products. Transparency and appropriate management of these relationships promotes objectivity in research and safeguards the interests and reputation of Virginia Tech and its employees.

To ensure compliance with state law and federal regulations, and to provide consistent institutional policies and practices in relation to all research sponsors, investigators engaged in sponsored activities research must take training and disclose financial interests related to their institutional responsibilities as described in Policy 13010, “Conflict of Interest.” The Research Conflict of Interest Program is responsible for assessing and implementing management strategies for investigator financial conflicts of interest. The program also administers the university’s system for outside activity and financial interest disclosure.

Once an Investigator discloses a financial interest to the university, the Research Conflict of Interest program determines whether the financial interest could directly and significantly affect the design, conduct, or reporting research. If so, the situation represents a financial conflict of interest (FCOI) and the program must ensure that a plan to manage the financial interest is developed and implemented prior to the start of the research. The management plan is designed to mitigate the conflict, promote research objectivity, and promote academic and professional protection of graduate students and postdoctoral scholars, respectively. If needed, the Management Plan Advisory Committee (MPAC), a standing committee of the university, will make recommendations to the Research Conflict of Interest program director regarding how the financial conflict of interest should be managed to ensure that sponsored research will be objective and free from bias to the extent possible.

There is a particular significance to financial conflict of interest processes when a faculty member has a financial interest in a small business that is pursuing SBIR/STTR funding in collaboration with Virginia Tech. Note that use of university resources on behalf of a small business is not permitted unless Virginia Tech is performing the scope of work authorized through the subaward from the small business to Virginia Tech and that subaward is fully executed before work begins. Only the documented subawarded work is authorized to be performed using Virginia Tech resources. University personnel cannot support the small business funding application whatsoever, including developing a budget or proposal on behalf of the small business. The
involvement of the university in such activities occurs only to the extent that Virginia Tech is an intended subawardee in the research, in which case typical involvement of Virginia Tech researchers and research administrators is permissible. University personnel cannot provide any pre- or post-award support to the small business or make arrangements/handle reimbursements for small business travel. Note that rights to intellectual property cannot generally be assigned to an entity other than Virginia Tech except as permitted pursuant to Policy 13000, “Policy on Intellectual Property”. See chapter two for additional information regarding disclosure and management of potential conflicts of interest or commitment.

10.8 Classified and Controlled Unclassified Research
The U.S. government occasionally seeks the expertise of Virginia Tech faculty to engage in classified or controlled unclassified research. Faculty must realize that working in classified or controlled unclassified research requires that they relinquish opportunities to disseminate the knowledge gained in this effort without prior approval from the sponsor. However, the university does recognize that individual investigators may wish to work in areas that have classified or controlled unclassified aspects and/or cannot conduct the research in compliance with applicable federal statues and executive orders without access to classified or controlled unclassified information. To accommodate this need, the university has a continuing compliance and security program administered by the Office of Export and Secure Research Compliance in accordance with government regulations. Virginia Tech policy and procedures for complying with U.S. export and sanctions laws in research and other university activities are set forth in Policy 13045, “Export Control, Sanctions, and Research Security Compliance Policy.”

10.9 Special Circumstances for Theses and Dissertations
The university may withhold the publication of theses and dissertations for up to one year for the purpose of obtaining a patent or for other proprietary reasons. To exercise this option for a thesis or dissertation, an electronic thesis/dissertation (ETD) approval form must be completed and signed by the thesis or dissertation author and by the advisor, with a request that the thesis or dissertation be withheld from public release.

In cases where theses or dissertations contain classified or controlled unclassified, including export-controlled information, students and faculty advisors will consult with the Office of Export and Secure Research Compliance in the Office of The Vice President for Research and Innovation as well as the Graduate School. Theses or dissertations containing classified or controlled unclassified information cannot be submitted to the Graduate School through the normal ETD process.

10.10 Publication of Research
The final step to complete a research project is to share the knowledge gained with the professional/scientific community. Barring special circumstances (e.g., classified research, DURC), the university's expectation is that research results will be shared with the scientific community through peer-reviewed journals, books, reports, or other public mechanisms. Department heads or chairs can help determine how best to complete and publish the results of

10.11 Scholarly Integrity and Misconduct in Research
As stated in Policy 13020, “Policy on Misconduct in Research,” Virginia Tech endorses the highest ethical standards for the conduct of all scholarly pursuits to ensure public trust in the integrity of results. The university requires that all affiliated persons (including faculty, staff, researchers, and students) conduct activities with integrity. The university is committed to fostering an environment that promotes responsible conduct of research, training, and all other scholarly activities. Scholarly integrity is characterized by honesty, transparency, personal responsibility, excellence, and trustworthiness. All persons engaged in scholarly pursuits at the university are expected to conduct their scholarship in accordance with their respective field’s scholarly expectations and best practices.

The university recognizes that deception in research erodes the credibility of an institution and the confidence of those who might benefit from the research. The university takes all reasonable and practical steps to foster a research environment that promotes the responsible conduct of research and research training (and activities related to that research or research training), discourages research misconduct, and deals promptly with allegations or evidence of possible research misconduct. Policy 13020, “Policy on Misconduct in Research,” establishes expectations for integrity in research, outlines prohibited practices, and describes the procedure for handling allegations of research misconduct. These requirements are intended to protect the integrity of research produced by university personnel and associates.

10.11.1 Definitions
Misconduct in research (or research misconduct) means fabrication, falsification, plagiarism in proposing, performing, or reviewing research, or in reporting research results.

Fabrication is making up data or results and recording or reporting them.

Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

Plagiarism is the appropriation of another person’s ideas, processes, results, or words, including those of a student, colleague, or mentor, without giving appropriate credit.

Research misconduct does not include honest error, differences in opinion, or disputes over authorship except those involving plagiarism. While the following activities are considered detrimental research practices and are subject to other university policies and supervisory oversight, they are not included in the legal definition of research misconduct: issues relating to sexual harassment, personnel management, fiscal errors, poor or incomplete record keeping, misrepresentation of study findings, and abuse or improper procedures with laboratory animals or human subjects.
10.11.2 Activities Covered

Policy 13020, “Policy on Misconduct in Research,” applies to allegations of research misconduct (fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results) involving a person who at the time of the alleged research misconduct was employed by, was an agent of, or was affiliated by contract or agreement with the university and was engaged in research under the auspices of the university at the time of the occurrence of the alleged research misconduct. Any student engaged in sponsored research is also covered by this policy.

Misconduct in non-research activities and other ethical violations are covered by separate policies. Ethical misconduct of faculty, including self-plagiarism (sometimes referred to as “text recycling”), is covered in chapter two, “Professional Responsibilities and Conduct,” which describes the principles of ethical behavior. Violations of ethical conduct by graduate students are guided by the constitution of the graduate honor system, which is available on the graduate school website. Professional students in the Virginia Maryland College of Veterinary Medicine or the Virginia Tech Carilion School of Medicine must consult the honor code for their college/school. Violations of ethical conduct by undergraduate students are guided by the university’s honor system, as outlined on the Office of Undergraduate Academic Integrity website. Standards of conduct and performance, as well as procedures for dealing with alleged violations of unacceptable conduct and grievance procedures, are available on the Human Resources, Resources for Employees page.

10.11.3 Procedures for Reporting, Investigating, and Resolving Misconduct in Research

The university has established detailed procedures for reporting, investigating, and resolving misconduct in research. Those procedures are available in Policy 13020, “Policy on Misconduct in Research.” The research integrity officer is responsible for overseeing the procedural process. Any questions regarding the policy or procedures should be addressed to the research integrity officer in the Office of the Vice President for Research and Innovation.

10.12 Removal of a Principal, Co-Principal, Lead Investigator, or Equivalent

Funding agreements are legal contracts between the sponsor and the university rather than an individual, thereby obligating the university to ensure compliance with any and all applicable policies, regulations, or specific conditions as stipulated in the funding agreement. Removal of an investigator from a sponsored project may be necessary or warranted under unusual circumstances such as incapacity (unable to carry out the responsibilities as an investigator), misuse of funds, failure to comply with university and sponsored programs’ policies or state or federal regulations, failure to disclose or appropriately manage a significant conflict of interest, established cases of research misconduct (see Policy 13020, “Policy On Misconduct in Research”), or in response to a request by the sponsor of the project.
Policy 13025, “Removal of a Principal, Co-Principal, Lead Investigator or Equivalent”, governs the removal of a principal, co-principal, lead investigator, or the equivalent. Funding agencies and sponsors vary in their requirements; the terms of the specific contract with a sponsor guide the university’s actions whenever this policy is invoked. This policy applies to investigators who hold identified responsibilities as principal, co-principal, lead investigator, or equivalent (hereafter referred to collectively as the investigator).

10.13 Effort Certification and Salary Charges to Sponsored Grants and Contracts

10.13.1 Effort Certification

The purpose of effort certification is to confirm after the end of the reporting period that salaries and wages charged to each sponsored agreement are reasonable in relation to the actual work performed. Policy 3105, “Effort Certification,” describes the procedures for required effort certification in accordance with federal regulations. Individual investigators, departments, and other university administrators have specific responsibilities under the policy for certifying effort, monitoring compliance, and assuring that only allocable charges are made to grants and contracts. Federal audits have made clear that only effort directly related to a project can be charged to that project and salary expenditures on behalf of the project must occur during the effort reporting period. The university takes its obligations to comply with federal regulations very seriously; failure to comply may mean severe financial penalties and/or loss of opportunity for future grants from the federal sponsor. To be consistent and fair to all sponsors, the same kind of accountability applies to non-federal grants and contracts.

Salary costs for faculty, staff, and graduate and professional students are one of the largest cost categories for sponsored projects. Internal controls over salary costs include procedures to ensure that salary costs comply with federal regulations and Policy 3240, “Costing Principles for Sponsored Projects.” That is, all salary costs charged to a sponsored project must be reasonable for the work performed, necessary for the performance of the project, allowable per sponsor and university policies, and allocable to the project.

Effort certification is particularly complex for instructional faculty members who manage multiple responsibilities simultaneously, seamlessly moving from class to supervising graduate and professional students, to conducting research and developing the next proposal in the same day or week. Indeed, most instructional faculty members are engaged in teaching, administrative tasks, or other duties in addition to their work on sponsored projects, even during the summer. Yet only activities directly related to a sponsored project may be charged to that grant or contract; institutional activity is supported by other, non-sponsored funding (or may be uncompensated during the summer).

If the faculty member (regardless of type of appointment) has responsibilities for competitive proposal writing or participation in well-defined, regular teaching or administrative duties (e.g., committee work, hiring, advising, tenure review), a 100% allocation of the salary to sponsored projects is prohibited during the effort reporting period in which such activity occurs.
Incidental, inconsequential non-project activity performed rarely may be considered de minimis and need not be part of full load for purposes of effort reporting.

Proposal writing for new competitive awards and competitive renewal awards may not be charged to sponsored projects, nor would such proposal writing be considered de minimis activity. Preparation of non-competitive, continuation award proposals (progress reports) may be charged to the applicable sponsored project.

Faculty members who receive summer salary from sponsored projects must certify the effort expended on those projects during the summer period. Work done on the sponsored project during the academic year cannot be counted toward summer effort on the project.

Failure to follow the provisions of Policy 3105, “Effort Certification”, may subject the individuals and departments responsible for the violation(s) to administrative and/or disciplinary actions in accordance with university disciplinary procedures.

If effort reports are not completed and returned in a timely manner, salary costs associated with uncertified grant activity may be removed and charged to a departmental account.

Following appropriate notice, faculty members with delinquent or improperly completed effort reports may be placed on a suspension list by the Office for Sponsored Programs and denied eligibility for OSP services, including but not limited to proposal preparation, account set-up, and budget transfers, until effort reports are up to date and properly completed and certified.

Certification of effort reports that are known to be materially inaccurate may expose the individual who completed the reports to personal disciplinary actions.

10.13.2 Summer Research Appointments for Nine-Month Faculty Members

Faculty members on academic year (nine-month) appointments are permitted to earn up to three months of additional salary for effort related to sponsored projects, subject to sponsor policies and appropriate internal approvals. Summer funding may be accomplished by research extended appointments or as summer wages.

Policy 6200, “Policy on Research Extended Appointments,” outlines the requirements and procedures for faculty members to extend their nine-month appointments to 10-, 11-, or 12-month appointments depending on the availability of sponsored funding for additional months of salary and full fringe benefits. Although the sponsored funding supports the extended employment contract, salary must be charged to reflect a reasonable estimate of effort throughout the entire appointment period, not just the summer. Given the continuation of some typical university responsibilities during the summer, such as meeting with graduate students, attending professional conferences, or preparing future grant proposals or coursework, faculty members should have a mixture of sponsored and institutional funding to support their summer activities. This can be accomplished by making appropriate charges to the project during the academic
year and deferring some institutional funding to the summer period. Faculty members on research extended appointments earn annual leave proportional to the length of their appointment, and they must record the use of annual leave whenever used during the appointment period (all 10, 11, or 12 months). There is no payout for accrued annual leave at the time of reconversion to the base academic year appointment or at the time of separation from the university.

Instead of research extended appointments, academic year faculty members may receive support from sponsored grants and contracts as summer research wage payments, without full fringe benefits. This would typically be the case for faculty members with one or two months of “summer salary” included in the funded grant project. For those with three full months of funding, project effort during the academic year may be charged to the grant (with attendant changes in the fringe benefit rate), thereby allowing departmental salary savings to support non-project related responsibilities during the summer. Faculty members certify their effort across the entire summer period, and some flexibility is allowed if the overall effort and salary charges during the period are consistent.

10.13.3 Compliance Issues for Research Faculty Members
As described above, a research faculty member with regular, well-defined responsibilities for new proposal preparation, teaching, or administrative duties is prohibited from charging 100% percent of salary to sponsored projects during an effort reporting period in which such activity occurred, unless those activities are specifically allowed on the sponsored project.

Research faculty members are typically on standard 12-month appointments, which earn and accrue annual leave by university policy. Use of annual leave is recognized as an acceptable charge to a sponsored project when such leave is part of the standard university appointment.

10.14 Policy on Intellectual Property
Publicly (state) supported universities have the multiple missions of teaching, research, support of the public interest and fostering of economic development of the area/state in which they are located. Scholarly activities in a university setting create intellectual properties (IPs). IP includes research papers, books, software programs, new inventions, journal articles, etc.

The university's mission includes dissemination of IPs in the most efficient and effective manner possible. The identification and optimization of opportunities for the industrial/commercial utilization of some IPs is also part of this mission, as is the protection of the ownership rights of both the individuals and the university.

While many IPs are best disseminated by publication and placing in the public domain, there are a significant number that are most effectively handled by protection under the IP laws (i.e., patenting and copyright) and licensing (or other transfer) to private sector entities, with attendant financial considerations.

Timely disclosure of IPs to the University (pursuant to Policy 13000, “Policy on Intellectual Property”) is critical to preserving potential value of certain IPs while enabling Virginia Tech to
deliver on its mission to ensure impact of research, discovery, and scholarly output. Policy 13000, “Policy on Intellectual Property,” outlines intellectual property (IP) ownership criteria, resolution of ownership questions, and responsibilities of university employees concerning the disclosure and potential assignment of intellectual properties. Policy 13000 also sets forth the authority and responsibility of the Intellectual Property Committee (IPC), the chair of which is the senior vice president for research and innovation officer or designee. Membership of the IPC is set forth in the bylaws of the University Council.

CHAPTER ELEVEN
FACULTY BENEFITS

11.0 Faculty Benefits
Below is an overview of required and optional benefits available to faculty members. Contact the Division of Human Resources for information and to make changes to benefits. In the event of any changes in third-party benefits, vendor information is immediately available in the “Benefits” section of the Human Resources website.

11.1 University Provided Benefits
Required benefits are mandated by federal, state, or university regulations and are detailed in this section.

11.1.1 Group Life Insurance
Participation in the group life insurance program is required of all full-time and part-time salaried faculty. The university pays the monthly premium for the group life insurance.

Coverage is effective on the first day of employment. The amount of the insurance is determined using the annual salary rounded up to the nearest thousand dollars; then doubled. Thus, if the salary is $49,400, the amount of insurance is $100,000. In cases of accidental death, the insurance is four times the rounded annual salary. In the example above, the insurance payout would be $200,000.

A faculty member who leaves the university may convert the term insurance policy to a private policy if the request is made within 31 days after termination. Eligibility to make this conversion will depend upon individual circumstances. Contact the Human Resources Service Center for detailed information.

Faculty members who have reached their earliest reduced retirement eligibility will have continued mandatory life insurance coverage after they separate from the university. The life insurance...
amount will decrease by 25% percent on January 1 after one full calendar year of separation. The face amount will continue to decrease by 25% percent each January thereafter until the face amount is equal to half of the final salary (or one-fourth of the original face amount). All accidental death and dismemberment insurance terminates at separation.

The life insurance program is administered through the Virginia Retirement System and is underwritten by Securian Financial. Per IRS requirements, life insurance in excess of the established excludable limit, in a calendar year, is taxable to current employees and those eligible for retirement upon separation. This benefit is not optional.

11.1.2 Long-Term Disability Insurance
Virginia Tech faculty who enroll in the Optional Retirement Plan (ORP) will be placed in Virginia Tech’s faculty sick leave plan. Faculty who enroll in the Virginia Retirement System (VRS) will choose between the Virginia Tech faculty sick leave plan or the Virginia Sickness and Disability Plan (VSDP). Election of a disability plan is required within 60 days of employment. No election results in defaulting in VSDP.

11.1.2.1 Virginia Tech Faculty Sick Leave Long-term Disability Plan
Long-term disability insurance provides income replacement based on 60% percent of the pre-disability salary after a six-month waiting period if the employee is deemed disabled. These benefits may be offset by Social Security and federal retirement (if applicable). The maximum and minimum monthly benefits are outlined in the contractually negotiated amounts with the applicable vendor and are available on the “Benefits” section of the Human Resources website. In addition to paying a monthly benefit, a retirement contribution of 10.4 percent (8.5 percent for faculty members hired on or after July 1, 2010) of base salary is paid into the Optional Retirement Plan for those faculty members receiving disability benefits. The Standard Life Insurance Company underwrites the program. This benefit is not optional, and the faculty member pays a monthly premium based on salary amount and contractually negotiated rates, which is approximately 0.25 percent of the employee’s salary.

11.1.2.2 VSDP Plan
Long-term disability insurance provides income replacement based on 60% of the pre-disability salary after a six-month period if the employee is deemed disabled. These benefits may be offset by Social Security and federal retirement (if applicable). The maximum and minimum monthly benefits are outlined on the “VSDP” section of the Virginia Retirement System (VRS) website. The premiums are covered by the employer.

11.1.3 Faculty Retirement
All eligible faculty are required to participate in either the Virginia Retirement System (VRS) plan or a defined-contribution Optional Retirement Plan (ORP). Faculty have 60 days from the date of
appointment to choose either the Virginia Retirement System or an ORP. If no choice is made, the retirement default is the VRS Hybrid Plan (or other applicable whichever VRS plan option into which the faculty member might be grandfathered). Defaulting into the Virginia Retirement System also defaults the faculty member into the Virginia Sickness and Disability Program.

Part-time salaried faculty members working half time, or more are eligible to participate in either the university’s defined contribution ORP or the Virginia Retirement System to the extent permitted by VRS.

11.1.4 The Virginia Retirement System

All VRS contributions are subject to applicable compensation and contribution limits per the Internal Revenue Code (IRC). Defined benefit vesting is the minimum length of service members need to qualify for a future retirement benefit. Vesting is dependent upon plan participation. If members are not vested, employer-paid contributions are forfeited upon retirement or leaving employment. See Virginia Retirement System website for plan details.

VRS Plan 1: Faculty members who have Virginia state service prior to July 1, 2010, and have five years of VRS or ORP service prior to January 1, 2013 (and still maintain an account balance in their retirement account) will be participants in considered for the VRS Plan 1.

VRS Plan 2: Faculty members who have Virginia state service before July 1, 2010, and did not have five years of service as of January 1, 2013, or have Virginia state service between July 1, 2010, and December 31, 2013 (and still maintain an account balance in their retirement account) will be participants in considered for the VRS Plan 2.

VRS Hybrid Plan: Faculty members hired after January 1, 2013, with no previous Virginia state service or faculty members hired after January 1, 2013, and closed out or rolled over a previous Virginia state retirement account will be considered for participants in the VRS Hybrid Plan.

The VRS Hybrid Plan is a qualified plan under Internal Revenue Code (hereinafter “IRC”) section 401(a) and contains both a defined benefit portion and a defined contribution portion. The employee and the employer both make contributions to fund the defined benefit portion of the Hybrid Retirement Plan. The employee contributes 4% percent of their creditable compensation. The employer's contribution is based on an actuarially determined. The employee is required to contribute 1% percent to the defined contribution portion of the Hybrid Retirement Plan and will receive a 1% employer match to the defined contribution plan. The employee also has the option to voluntarily contribute up to an additional 4% percent in .5% percent increments to receive the maximum 2.5% employer match to the defined contribution plan. Employees can increase or decrease their voluntary contributions on a quarterly basis. The employee’s voluntary contributions will be made to the state deferred compensation plan which is qualified under IRS code section IRC section 457(b). The employer must match the first 1 percent of voluntary contribution with a corresponding contribution of 1% of the employee’s creditable compensation.

Each of the employee’s additional voluntary contributions will be matched by the employer.
All VRS contributions are subject to applicable compensation and contribution limits per the IRC. Defined benefit vesting is the minimum length of service members need to qualify for a future retirement benefit. Vesting occurs when a member has at least 60 months of service credit. If vested, faculty members are eligible for the defined benefit as early as age 60. If members are not vested, employer-paid contributions are forfeited upon retirement or leaving employment.

Defined contribution vesting is the minimum length of service members need to be eligible to withdraw contributions. Vesting is based upon the length of participation in the plan. Upon retirement or leaving employment, members are eligible to withdraw a percentage of employer contributions based upon the following schedule:

- After two years, members are 50 percent vested and may withdraw 50 percent of the employer defined contribution plan contributions.
- After three years, members are 75 percent vested and may withdraw 75 percent of the employer defined contribution plan contributions.
- After four or more years, members are 100 percent vested and may withdraw 100 percent of employer defined contribution plan contributions.

11.1.5 Optional Retirement Plan

Optional Retirement Plan (ORP), a qualified retirement plan under IRS code section 401(a) plan, contributions are subject to applicable compensation and contribution limits per the IRC.

Within 60 days of the date of appointment, eligible faculty may select the Optional Retirement Plan (ORP) in lieu of the defined benefit Virginia Retirement System or the Hybrid Plan. The ORP contribution rates are as follows:

- For faculty members hired before July 1, 2010, the university contributes 10.4% percent of base salary to the 401(a) ORP account. No employee contribution is required.
- For faculty members hired on or after July 1, 2010, the university contributes 8.5% percent of base salary, and the employee contributes 5% five percent of their base salary to the ORP.

Benefits at retirement are based on contributions, and net earnings market performance. The faculty member can choose from several investment options. The ORP is qualified under IRS code section 401(a). ORP contributions are subject to applicable compensation and contribution limits per the IRC and vesting is immediate. Investment risks are made and risks are borne by the employee; with risks varying based on the types of funds selected investment selection. Fidelity and TIAA are the providers—current designated record keepers for the plan Virginia Tech’s ORP.

11.1.6 Voluntary Transitional Retirement Program for Faculty with Tenure or Continued Appointment

Tenured faculty members (or those with a continued appointment in University Libraries or the Virginia Cooperative Extension) who are at least 60 years of age and have at least 10-20 years
of full-time service at Virginia Tech are eligible for the university’s voluntary transitional retirement program. The program allows the university to make it possible for long-term faculty to remain actively involved in the life of the institution while reducing their professorial responsibilities as they transition towards full retirement. Further details of the program are provided Policy 4410, “Voluntary Transitional Retirement Program for Tenured Faculty.”

11.1.7 Short-Term Disability Income Protection

Faculty members on regular appointments who select the Virginia Tech Faculty Sick Leave Plan, in lieu of the Virginia Sickness and Disability Program (VSDP), are provided with 1040 hours (based on 1 FTE) of sick leave at the time of hire. This equates to six months of income protection, i.e., short-term disability coverage. After short-term disability, is exhausted, the faculty long-term disability program outlined in chapter eleven, “Long-Term Disability Insurance,” takes effect and provides disability income to age 65 or for five years if over age 60 at the onset of disability.

This benefit is not available to faculty in restricted positions. Faculty in restricted positions accrue five hours of sick leave per pay period. Beginning July 1, 2012, all of Virginia Tech’s restricted faculty members who are not enrolled in the Virginia Sickness and Disability Program (VSDP) will be covered under a short-term disability plan administered by the Standard Insurance Company short-term disability plan vendor.

Restricted faculty members who accrue sick leave each pay period will automatically be enrolled in the Standard Insurance Company short-term disability plan vendor. These employees will continue to accrue sick leave and will not be required to pay any additional premium for the coverage.

The Standard Insurance Company short-term disability plan vendor provides employees who are on approved short-term disability leave to collect up to 60% of their regular salary for up to six months, after the initial seven-day waiting period. Employees who are still considered disabled after six months will transition into the faculty long-term disability plan.

Alternatively, faculty members on regular or restricted appointments who enroll in the Virginia Retirement System may consider the Virginia Sickness and Disability Plan (VSDP), which provides short-term disability for six months and long-term disability to age 65 or later depending on age at the time of disability. There is a one-year waiting period from the date of appointment under VSDP to be eligible for the short- and long-term disability benefits. Beginning September 1, 2017, per VRS directive, the election for coverage under VSDP is irrevocable. Therefore, if faculty members on restricted appointments had previously elected coverage under VSDP then later convert to regular faculty appointments, on or after September 1, 2017, the applicable VRS directive disallows VSDP opt-out election. Their previous election for disability benefits are provisioned in the VSDP as outlined above.

Faculty members who default into the VRS plan will be placed in the VSDP.
11.2 Types of Leave and Leave Reporting

Several types of approved leave, with or without salary, are available to faculty members. Unapproved absence from assigned duties, not covered by an approved or earned leave, is subject to a subsequent adjustment in pay.

11.2.1 Leave Reporting

Salaried faculty and staff use the university leave and time worked reporting system to record all types of leave. A summary of leave policies and detailed procedures to complete the report is available on the Human Resources Leave page.

Calendar year faculty are required to submit leave reports in a timely manner during any leave period in which leave is used and are to submit leave periods six and 12 for financial reporting purposes. A department head or chair may require that all faculty in the department submit monthly leave reports.

Regular calendar year faculty members are eligible to donate annual leave hours to the leave sharing program. Only full-time and part-time salaried staff employees may be recipients of leave sharing. When college faculty members are absent during the academic year to attend meetings or consult about research funding, etc., and when these absences take fewer than five days, the department head or chair is the principal approving officer and is responsible for ensuring the adequate coverage of the duties of the absent colleague. An absence of up to two weeks is managed entirely within the college and requires the approval of the department head, chair, and dean. But absences beyond two weeks must be forwarded through the department head, chair, and dean to the provost for review and approval. A determination is made about the necessity of a leave of absence without pay or a change of duty station with pay for university approved activities away from the home location. (See chapter two, “Change of Duty Station and Special Leave.”)

11.2.2 Educational Leave

Leaves of absence on partial salary (not to exceed one-half salary) may be granted to faculty members for educational purposes. Such leaves are granted for formal educational advancement ordinarily leading to an advanced degree from another institution, which is of demonstrable benefit to the university and to the faculty member.

The leave is granted only if satisfactory arrangements can be made for effective continuation of the relevant program. Only that fraction of a position not supported by the partial salary of the leave is available for the appointment of a replacement faculty member during the period of the leave. Educational leave is ordinarily granted for periods of one year or less. If the program of study is completed, or if the faculty member ceases active participation in that program before the ending date of the approved leave, the faculty member immediately returns to full employment or resigns employment. With the recommendation of the department head, chair, and dean (or appropriate administrator) application is made to the provost or executive vice president and chief operating officer, depending upon the reporting structure.
On approval of educational leave with partial pay, the faculty member must sign a memorandum of agreement, which obligates the faculty member to return to full employment in the university for a period twice the time of the approved leave or to repay the university the salary received plus interest. If a leave recipient returns to the university, but resigns before completing that obligation, the salary repayment is prorated.

Policies governing advanced study at Virginia Tech without leave are covered in chapter two, “Advanced Study at Virginia Tech.”

11.2.3 Military Leave

Military leave is available to all faculty members, including those on restricted, wage, or adjunct appointments. Faculty members are eligible for leave with pay for 4521 days including an additional day for a physical in a federal fiscal year (October 1 through September 30) for military duty, including training, if they are members of any reserve component of the Armed Forces or the National Guard. Fifteen-Twenty-one days of paid military leave plus an additional day for a physical is the maximum allowable for one tour of duty, even when that tour encompasses more than one federal fiscal year. Employees may use accrued annual leave to continue their pay while on military leave. Employees are granted unconditional leave without pay for the duty indicated in their military orders that is not covered by military leave with pay. To qualify for military leave, faculty members must furnish their department head, chair, and Human Resources with copies of their orders.

Employees are reinstated to their previous positions or to positions comparable to their previous positions provided that certain conditions are met. Requests for reinstatement must be made to Human Resources and should state that the individual is seeking reinstatement to employment upon return from military service. If the military leave was for a period of 31 to 180 days, the employee must apply for reinstatement within 14 days of discharge. If the military leave was for a period of 181 days or more, the employee must apply for reinstatement within 90 days of discharge. Contact Human Resources for guidance and a full description of military leave benefits and conditions, and reinstatement.

11.2.4 Administrative Leave

If a faculty member is called for jury duty, subpoenaed, or summoned to appear in court, this absence may be charged to administrative leave, except when a defendant in a criminal or civil case. This leave should be requested before it is taken. Any time spent in court as a defendant in a criminal or civil case must be charged to annual leave, compensatory leave, or leave without pay. Faculty members receive full pay for administrative leave, provided a copy of the subpoena or other supporting document accompanies the leave report.

Administrative leave with pay is not granted for more time than actually required for the purpose for which it is taken. Any additional administrative leave taken on the same day must be charged to leave without pay or appropriate leave balances and reported in the monthly leave report.
Faculty members are granted administrative leave to attend work-related hearings as a witness under subpoena or regarding a personal claim. Administrative leave may be used when called to serve on councils, commissions, boards, or committees of the commonwealth. If a faculty member is serving as an official representative of the university, then administrative leave is not used. The service time is treated as part of the faculty member’s regular work hours.

11.2.5 Annual Leave and Holidays

Instructional and research faculty members on academic year appointments do not earn or accrue annual leave. Regular administrative and professional (A/P) faculty members on an academic year (AY) appointment earn annual leave only during the period of their appointment and at the same rate as regular A/P faculty members on a calendar year (CY) appointment. Faculty members on a calendar year appointment earn two days (16 hours) of annual leave per month in accordance with leave policies; after 20 years of continuous employment by the Commonwealth, 18 hours of annual leave are earned per month. Faculty members on a research extended appointment earn annual leave proportional to their appointment. However, unused annual leave will not be compensated at the time of reconversion or separation for a faculty member on a research extended appointment or restricted appointment.

All faculty members who earn annual leave are expected to record the appropriate leave type on the monthly leave report if they do not work during the academic breaks. Approval of the department head, chair, or supervisor is required in advance of using annual leave.

Faculty members on calendar year regular appointments, may carry forward accrued annual leave to a maximum of 36 days (288 hours) at the beginning of each leave year or may be paid up to the maximum on termination of employment. After 20 years of service, the maximum accrued leave carried forward or paid upon separation becomes 42 days (336 hours).

Annual leave must be earned before it is used. Holidays observed by university faculty members are New Year’s Day, Martin Luther King Jr. Day, Memorial Day, Juneteenth, Independence Day, Labor Day, Thanksgiving Day and the day following, Christmas Day, the four days comprising winter break between December 25 and January 1, and other holidays that the governor may designate. If faculty members are required to work on these days due to extenuating circumstances as determined by the supervisor, or if they are designated as emergency personnel, they may use compensatory leave at a later date, but compensatory days do not accrue as earned annual leave.

The university closes between December 25 and January 1 each year. Twelve-month faculty (and those on research extended appointments earning leave), research faculty, and administrative and professional faculty must use annual or other appropriate leave balances to cover the days not worked, with the exception of the official faculty holidays or other holidays that the governor may designate.

Faculty members with accrued annual leave who temporarily change their status (for example, going on leave without pay or changing to a part-time appointment for a short period of time)
should contact Human Resources to discuss their options and indicate their preference for either payout of their leave balance or retention of their leave balance until they resume full-time status. Calendar year faculty on study-research assignment earn annual leave at a rate that is half their usual annual leave earnings.

Regular calendar year faculty members are eligible to donate annual leave hours to the leave sharing program. Under state policy, only full-time and part-time salaried staff employees may be recipients of leave sharing.

### 11.2.6 Sick Leave

Faculty members whose appointments began on or after September 1, 1981, are subject to this policy. Eligible faculty members have immediate protection of 26 weeks of sick leave. On return from sick leave, re-accrual to a maximum of 26 weeks takes place at the rate of one week of sick leave for each two weeks of full-time work. Isolated minor illnesses extending over a maximum of 10 days are managed at the department level with the cooperation of faculty colleagues for the covering of necessary duties. Sick leave must be recorded for absences exceeding 10 days in duration. Faculty members are strongly encouraged to record use of sick leave, even when the occurrence is less than 10 days. Faculty members are also encouraged to apply for leave under the federal Family and Medical Leave Act for any absence greater than five workdays. Documenting an incident the onset of illness can provide critical financial protection for faculty members who ultimately need long-term disability. Provision is made for prorated sick leave usage when partial resumption of duties can be undertaken. However, re-accrual does not begin until full-time service resumes. Faculty members whose appointments began on or after September 1, 1981, are subject to this policy.

Faculty members whose appointments began before September 1, 1981, had the option of selecting the above policy or continuing coverage under the previously existing sick leave policy. Under that policy, sick leave is accrued at the rate of 15 days (120 hours) per calendar year with no maximum accrued limitation. Sick leave credit does not occur for service of less than a full pay period—one-half month; leave cannot be granted before it is earned. This also applies to all faculty members on a restricted appointment have coverage under this previously existing sick leave policy.

Faculty members in full-time restricted salary positions receive 10 hours per month of sick leave. Faculty on part-time restricted appointments earn sick leave based on their percentage of employment.

In 1999, state employees in regular or restricted positions, who were participants under the Virginia Retirement System (VRS), could choose to enroll in the Virginia Sickness and Disability Program (VSDP). VSDP provides employees with a minimum of 64 hours of sick leave and 32 hours of family/personal leave annually. These hours are replenished each year, but do not carry over. In addition, VSDP provides salary continuation during periods of short-term disability up to six months and long-term disability to age 65 or later depending on age at the time of disability.
Beginning September 1, 2017, per VRS directive, the election for coverage under VSDP is irrevocable. Therefore, if faculty members on restricted appointments had previously elected coverage under VSDP then later convert to regular faculty appointments, on or after September 1, 2017, the applicable VRS directive disallows VSDP opt-out election.

The sick leave plans do not provide compensation for unused sick leave upon termination (some employees are exempted under old plans).

Under all policies, sick leave may be used for illness, accidents, and pregnancy-related conditions. Faculty under the first two plans may use family sick leave for family emergencies. (For more information on leave for family emergencies and pregnancy-related conditions, see chapter eleven, “Family and Medical Leave Act” and “Family Leave.”) The university may require certification of the medical necessity of the period of absence from work due to illness, accident, or pregnancy-related condition. Certification, when required, is requested from the attending health care provider and/or a health care provider designated by the university.

Faculty on academic year appointments are not covered during the period of a summer appointment under any sick leave policy. Faculty positions are not released for replacement purposes because of sick leave. The dean’s authorization is required when replacement becomes necessary.

Full details of all sick leave policies and procedures, including eligibility, are available from Human Resources.

11.2.7 Family **Sick Leave**

The university recognizes that faculty members have family responsibilities that may make extraordinary claims on their time, making it difficult to fully fulfill their responsibilities. Department head, chair, deans, and other supervisory personnel are urged to be as flexible as possible within existing university policy in responding to the need for leave or temporary adjustment of duties for family-related reasons.

Paid sick leave is available for pregnancy-related medical conditions, childbirth, and recovery. The length of time charged to sick leave varies and is based on the recommendation of a physician. Sick leave may also be used for family emergencies. Leave for this purpose is restricted to a total of 10 days (80 hours) during a calendar year for absence necessitated by the serious illness or death of a family member or any individual residing in the same household. Use of such leave must be recorded through the regular leave reporting system so that total usage during the period can be monitored. Restricted faculty may use 80 hours of their earned sick leave or annual leave for these purposes.

11.2.8 Family and Medical Leave Act (FMLA)

Federal law (Family and Medical Leave Act) guarantees employees a minimum period of 12 workweeks of leave during a year for family care if they have been employed at Virginia Tech for at least 12 months and if they have worked at least 1,250 hours during the previous 12 months.
The time frame for calculating a year is measured forward from the date the employee is approved for FMLA. Accrued sick and annual leave may be used, as appropriate; the use of paid leave should be concurrent with the approved FMLA period (i.e., run concurrently). The remainder of the 12-workweek leave period is leave without pay. The faculty member may request a longer period of leave without pay as suggested in the following section, which requires approval of the department head, chair, dean or vice president, and senior administrator. Adjunct faculty are eligible for unpaid leave under FMLA if they meet the minimum employment requirements.

Eligible faculty are granted unpaid family or medical leave for one or more of the following: birth of a child; placement of a child with the faculty member for adoption or foster care; the care of an immediate family member (child, spouse, parent) who has a serious health condition; or a serious health condition that makes the faculty member unable to perform the position’s function. Prior to leave approval, the department head, chair, or supervisor may require documentation of the health condition necessitating care of a family member by the employee or the employee’s own health condition.

The period of up to 12 workweeks of family leave for purposes of birth or adoption may be taken intermittently or on a reduced schedule if the faculty member and department head, chair, or supervisor agree, and it does not create an undue hardship on the program or project. In the case of medical leave because of a faculty illness or illness of a family member, leave may be taken intermittently or on a reduced schedule when medically necessary. The department head, chair, or supervisor may require documentation of such medical necessity. The department head, chair, or supervisor may reassign responsibilities or transfer the faculty member to another position with the same salary to accommodate the intermittent or reduced leave schedule.

On return from leave, the faculty member returns to the same position or an equivalent position with the same benefits and salary at the time leave was taken. There is no accrual of additional sick or annual leave during the leave without pay period taken, or service toward the minimum six-year requirement for consideration for research-study leave. However, if the requested amount of leave extends beyond the term of appointment of a restricted faculty member or wage/adjunct employee and reappointment is not anticipated, the department head, chair, or supervisor is not required to maintain the position of the faculty member on leave beyond the original termination date. The request for family or medical leave shall not constitute sufficient reason for non-reappointment, termination, or other retaliatory action.

Eligibility for family leave for the purpose of birth or adoption expires at the end of the 12-month period beginning on the date of birth or placement. The faculty member gives the department head, chair, or supervisor at least 30 days’ notice regardless of reason, whenever practicable. If leave is requested for care of a family member, documentation of the serious health condition necessitating care by the faculty member may be required.

Benefits are continued for full-time employees in accordance with state personnel policies and the federal Family and Medical Leave Act of 1993. Contact Human Resources for detailed information on which benefits are continued and for what period. The procedures for requesting
FMLA are available from Human Resources. Unlike some other leave types, the employee and medical professionals must complete specific forms.

11.2.9 Additional Leave Benefits for Faculty on Regular, Salaried Appointments

The Governor of Virginia’s Executive Order Number 12 (2018) provides eight (8) weeks (320 hours) based on 1 FTE of paid parental leave to employees who have been employed by the commonwealth for a minimum of twelve (12) consecutive months for regular and restricted faculty appointments. Eligible employees will receive paid parental leave following the birth, adoption, or foster placement of a child younger than 18 years of age. The paid parental leave policy is in addition to other leave benefits available to commonwealth employees, such as Virginia Sickness and Disability Program leave (VSDP), sick leave, annual leave, and leave under the federal Family Medical and Leave Act (29 U.S.C. §§ 2601-2654). If both parents are eligible employees, each shall receive parental leave which may be taken concurrently, consecutively, or at different times within six (6) months following the birth, adoption, or foster placement of the child. Further information about this program is available from the Division of Human Resources.

In addition, faculty members on regular, salaried appointments wishing or requiring an extended period of time for child or family care may be granted leave without pay for up to one year (academic year or calendar year depending on type of appointment) thereby guaranteeing their job during the period of leave. A second year of leave without pay may be requested and approved in unusual cases. (See chapter eleven, “Leave Without Pay,” for terms and conditions.) Sick leave and accrued annual leave, if appropriate and applicable, may be used prior to leave without pay.

It is in the university’s interest to help employees combine new parenthood (or other temporary extraordinary family obligations) and employment when possible and preferred by the faculty member over a full leave from the university. Regular faculty members who find that they cannot carry on their usual university duties in the usual manner and fulfill their family obligations at the same time may request consideration for part-time employment at proportional pay. Assigned responsibilities for a part-time load vary depending on the needs of both the individual and department. Expectations for learning, discovery, engagement, and committee assignments should be discussed in advance with the department head, chair, or supervisor. The department head, chair, or supervisor may require the faculty member to be assigned different responsibilities or transferred to another position at the same salary to accommodate the intermittent leave or reduced schedule.

Probationary faculty on the tenure or continued appointment track who are moving to part-time status for the purposes of child or family care receive an extension of the mandatory tenure or continued appointment review date, consistent with sections in chapter three, “Extension of Pre-Tenure Probationary Period (Extending the Tenure Clock),” and chapters four and fourteen, “Extending the Continued Appointment Clock.”
Department heads, chairs, and supervisors should be sensitive and responsive where possible in establishing work hours, course and committee scheduling, and other aspects of employment for faculty members who are new parents or who are experiencing temporary extraordinary family obligations.

A one-year probationary period extension is automatically granted to either parent (or both if both parents are tenure-track or continued appointment-track faculty members) in recognition of the demands of caring for a newborn child or a child under five newly placed for adoption or foster care. The request should be made within a year of the child’s arrival in the family.

An extension of the probationary period may also be approved on a discretionary basis for other extenuating non-professional circumstances that have had a significant impact on the faculty member’s productivity, such as a serious personal illness or major illness of a member of the immediate family. (See chapter three, “Extension of Pre-Tenure Probationary Period (Extending the Tenure Clock),” and chapter four and fourteen, “Extending the Continued Appointment Clock.”)

**11.2.10 Leave Without Pay**

Faculty members wishing to take leave from their duties without salary may request such leave from the provost or executive vice president and chief operating officer, depending upon the reporting structure, on the recommendation of the department head, chair, or supervisor and the dean (or appropriate administrator). The period of requested leave cannot exceed two years. The request must be made with sufficient notice to allow time to secure a qualified replacement. The request should include the reason for the leave, whether for personal reasons or because of an opportunity for further professional development.

When leave approval is granted, a date is specified by which any request for extension of the leave or notification of intent not to return to the university at the conclusion of the leave is required. The granting of the leave or of any extension is dependent on the interests of the university and those of the faculty member. Consult with Human Resources to determine what benefits may be purchased.

**11.2.11 Disaster Relief Leave**

Department heads, chairs, and supervisors may grant release time to faculty when they are formally called to provide disaster relief services because of their specialized skill or training. Release time for faculty is not recorded in the leave system. For audit purposes, a record of time off should be noted in the faculty member’s departmental file, along with the written request.

**11.3 Optional Benefits Programs Offered to Employees**

There are several insurance plans and benefits programs, including but not limited to, health insurance, retirement, disability, and life insurance, available for faculty members. Some have a portion of the premiums paid by the university; others are the employee’s responsibility.
11.3.1 Health Insurance
Health insurance is an optional program available to all full-time and eligible part-time faculty and staff members. Coverage is offered for the member’s spouse and for eligible dependents through the end of the calendar year that they reach age 26. Employees may participate in the state employees’ health insurance plans by contacting the Human Resources Service Center.

For employees who work at least .75 FTE the employer pays a major portion of the employee’s health care premium. Employee plus one and family coverage is also available under this plan. Employees whose FTE is between .50 and .74 are eligible to enroll in a health care plan, however the employee pays 100% of the premium.

Newly eligible employees (newly hired or rehired) must request enrollment within 30 calendar days to enroll in a health plan and/or flexible spending accounts (FSA) offered by the state. If the enrollment action is received within the 30-day calendar timeframe, coverage will be effective the first of the month coinciding with or following the date of employment. The 30-day countdown period begins on the first day of employment. For employees whose employment starts on the first day of the month, and who have completed an application within 30 calendar days, the coverage will begin on their date of hire.

Status changes to an eligible position have up to 60 calendar days to enroll in a health plan offered by the state. The 60-day countdown period begins on the date of the status change. Coverage will be effective on the first of the month following receipt of the request or following the event, whichever is later. When the later date is the first of the month, changes are effective that day.

Enrollment or enrollment changes cannot be made outside of the open enrollment period unless there is a qualifying mid-year event such as marriage, divorce, birth, or adoptions. Enrollment must be made within 60 calendar days of the qualifying event.

Open enrollment is usually held during the month of May each year for employees desiring to enroll or to make changes in their health care program. Any enrollment or changes made during open enrollment are effective on July 1.

11.3.2 Health Flexible Spending Account
Salaried faculty members who work at least 20 hours per week (.50 FTE) are eligible to enroll in the commonwealth’s health flexible spending account (FSA), which allows them to set aside part of their income on a pre-tax basis and then use that money to pay for eligible out-of-pocket health care expenses for themselves, a spouse, and dependents. The minimum that may be set aside is $10 per pay period; the annual maximum is established by the IRS and may change from year to year. A monthly pre-tax administrative fee does apply.

New Faculty (with the exception of transfers from other state agencies) must request enrollment within 30 calendar days to enroll in the health FSA. Each year during open enrollment in the spring, faculty may renew FSA accounts or elect to enroll for the first time. Changes made during open enrollment are effective the following July 1. Certain qualifying mid-year events may be
made outside the open enrollment period if the request for change is made within 60 calendar days of the qualifying event. Contact the Human Resources Service Center about specific qualifying mid-year events for family status change.

11.3.3 Dependent Care Flexible Spending Account
Salaried faculty who work at least 20 hours per week (.50 FTE) are eligible to enroll in the commonwealth’s dependent care flexible spending account (FSA), which allows them to set aside part of their income on a pre-tax basis to pay for eligible dependent care expenses throughout the coverage period for the care of a child, disabled spouse, elderly parent, or other dependents who are physically or mentally incapable of self-care so that the faculty member (and spouse) can work or actively seek work. The minimum that may be set aside is $10 per pay period; the annual maximum is $5,000 per year established by the IRS and may change from year to year. A monthly pre-tax administrative fee does apply.

Faculty employees (with the exception of transfers from other state agencies) must request enrollment within 30 calendar days to enroll in the dependent care (FSA). Each year during open enrollment in the spring, faculty may renew FSA accounts or elect to enroll for the first time. Changes made during open enrollment are effective the following July 1. Certain qualifying mid-year events may be made outside the open enrollment period if the request for change is made within 60 calendar days of the qualifying event. Contact the Division of Human Resources Service Center about specific qualifying mid-year events for family status change.

11.3.4 Tax-Deferred Investments/Deferred Compensation/Cash Match
These programs offer opportunities for employees to invest a portion of their salaries and/or wages on a pre-tax or post-tax basis. Full-time or part-time salaried faculty and staff may be eligible for the employer-paid cash match program. Contact the Human Resources Service Center for detailed information. Information is also available on the Human Resources website under Human Resources Retirement page.

11.3.5 Optional Term Life Insurance
Optional term life insurance for the faculty member, the spouse, and children is available through the optional term life insurance program. If you apply for optional term life insurance within 31 days from the date of employment, you may receive all options, up to a maximum death benefit of $400,000, without medical underwriting. Coverage may be applied for outside of the 31 days, but medical underwriting will be required. The coverage is provided by Securian Financial.

11.3.6 New York Life Insurance Company
New York Life Insurance Company offers a guaranteed issue whole life insurance. After the initial enrollment period in 2015, only new hires and those who initially elected to take at least a minimum $5,000 policy will be allowed to add to their coverage on a guaranteed basis. New York Life whole life insurance is an optional program available to full time faculty and staff members who meet eligibility requirements.
Employees can purchase a minimum $5,000 to a maximum $100,000 of death benefit on a guaranteed issue basis. Spouses, domestic partners, children, and grandchildren are eligible for a minimum $5,000 and maximum $25,000 of death benefit with no medical questions if the employee participates.

11.3.7 Long-Term Care Insurance
Genworth Life Insurance Co. offers long-term care insurance coverage, under the Commonwealth of Virginia Voluntary Group Long Term Care Insurance Program, which assists with costs related to long-term care services such as nursing home care or at-home care to assist with bathing, eating or other activities of daily living which may not be covered by most medical plans. Participant-paid coverage provides a monthly benefit allowance for covered long-term care expenses. Employees do not have to be a VRS member to be eligible, and family members may also apply for coverage.

11.3.8 Legal Resources
Legal Resources is an optional benefit that may be purchased which provides comprehensive legal services and representation for the employee, spouse and dependent children paid at 100% percent for the most often-needed legal services. Other services are offered at a 25% percent discount. New employees may enroll within 60 days of employment and all other changes to coverage may be made during open enrollment, which for this benefit is annually during the month of September.

11.3.9 Aflac
Aflac offers several supplemental insurance plans that pay cash benefits to help with expenses due to injury or illness. The cost of these plans will vary based upon the level of benefits purchased. The benefits are pre-determined and paid regardless of any other insurance that an individual may have. Aflac offers the following plans: accident plan, cancer plan, critical care, hospital protection, and short-term disability. Aflac is an optional program available to faculty and staff members on at least a half-time appointment.

New hires may enroll within 30 days and all other changes may be made during open enrollment, which for this benefit is held annually during the month of September.

11.3.10 Accidental Death and Dismemberment Insurance
Accidental death and dismemberment insurance is an optional program available to faculty and staff members on at least half-time appointment. The policy is with Zurich.

Accidental death and dismemberment insurance is available in multiples of $5,000, in a range of benefits from $10,000 to $250,000. The employee pays the entire premium. Coverage is effective on the first day of the month following the month in which the application is received by Human Resources. An employee may enroll at any time in this program.
This coverage has full 24-hour, 365-days-a-year protection against accidents occurring during business or pleasure. The insurance includes accidents whether on or off the job, occurring in or away from the home, or traveling by public or private transportation. The benefits provided under this plan are payable in addition to other insurance that may be in effect at the time of accident. There are no geographical limits on this coverage. This policy also provides travel-assist coverage at no additional cost.

11.3.11 Employee Assistance Program
The Employee Assistance Program (EAP) is a counseling and referral service available to faculty and staff to help deal with a range of problems that might have an impact on their work lives as well as personal lives. The EAP provides confidential short-term intervention, assessment, and referral services for benefitted employees. Employees may self-refer to the EAP. A supervisory referral can be made when a work performance or work site problem exists. Supervisors must consult in advance with Employee Relations in Human Resources on appropriate ways to address the issue with the employee.

The Employee Assistance Program is part of the health benefits program provided by the Commonwealth of Virginia, which contracts with a provider of mental health and behavioral management services. The contract provides employees with several free counseling sessions with a mental health professional certified by the approved EAP contractor. The cost of additional services, beyond the specified number of free sessions, is the responsibility of the employee.

With appropriate approvals by senior administrators, an employee may be referred for a mandatory fitness-for-duty examination in cases where the employee poses a hazard or risk to self or others, or if a determination of the employee’s medical or psychological fitness to perform the essential job functions is needed. A supervisor who is considering a mandatory EAP referral must first have the approval of the vice president for human resources or designee, as well as the relevant vice president or designee for faculty.

11.3.12 Charitable Deductions
Payroll deduction may be made for participation in the Commonwealth of Virginia Campaign (CVC), which provides contributions to many national, state, and local social and health charitable organizations, including several local United Way organizations.

11.4 Special Programs
All employees are covered against job-related illness/injury by the Commonwealth of Virginia Worker’s Compensation. Employees who lose their job through no fault of their own are eligible to apply for unemployment insurance through the Virginia Employment Commission.

11.4.1 Unemployment Insurance
All employees of the university are covered by unemployment insurance. If for some reason employees become unemployed by no fault of their own, they may qualify for this insurance. If
employees lose their jobs, they should contact the Virginia Employment Commission immediately to file an unemployment claim.

11.4.2 Severance Benefits
The university provides severance benefits for eligible faculty who are involuntarily separated due to budget reduction, agency reorganizations, or workforce downsizings for reasons unrelated to performance or conduct. Faculty hired on restricted appointments funded from sponsored contracts or grants, or term appointments with a specified ending date, regardless of funding source, are not eligible to receive severance benefits. Non-reappointments and voluntary resignations for any reason are not deemed “involuntary separation” for purposes of the severance policy.

11.4.3 Workers’ Compensation Program
All employers are required to provide protection to their employees for job-related injuries, illnesses, or loss of life. The purpose of the workers’ compensation program is to ensure that all university employees with injuries or illness arising out of and during the course of employment with the university are offered fixed, certain, and speedy relief. The Commonwealth of Virginia workers’ compensation services are provided by Managed Care Innovations, LLC, Workers’ Compensation Department, P.O. Box 1140, Richmond, VA 23208-1121.

11.4.3.1 Reporting Work-Related Injuries
In the event of a job-related injury or illness, Policy 4415, “Workers’ Compensation,” provides procedures the employee and supervisor should follow. An injured employee is required to report an accident or illness to the direct supervisor as soon as possible. Once an employee reports a job-related injury, the supervisor must file the employer’s accident report within 24 hours of the occurrence. A claims adjuster from Managed Care Innovations, LLC, the university’s worker’s compensation carrier, will be assigned to handle the claim.

CHAPTER TWELVE
VIRGINIA TECH CARILION SCHOOL OF MEDICINE FACULTY

12.0 Virginia Tech Carilion School of Medicine (VTCSOM) Faculty
Tenure track and tenured faculty members, see chapter three for policies pertaining to faculty members employed by Virginia Tech who are on the tenure track or tenured. “Employment Policies for Tenure-Track and Tenured Faculty.”

Virginia Tech will grant tenure to faculty members with appointments in the Virginia Tech Carilion School of Medicine who are employed by the university through a department in the VTCSOM
and whose promotion and tenure materials have been reviewed and found to meet the rigorous
departmental, VTCSOM, and university standards.

VTCSOM faculty members are of two types: faculty employed by the university or faculty
employed by other entities (in most cases the Carilion Clinic). At all times, regardless of employer,
faculty members providing instruction, academic support, or performing academic duties or roles
as a VTCSOM faculty member are governed by the university’s policies and procedures.

All faculty members employed by Virginia Tech, fully or in part, are subject to employment policies
stipulated in the Faculty Handbook. Faculty members with assigned duties in the VTCSOM, but
not employed by Virginia Tech, are subject to the employment policies of their employer(s), but
the VTCSOM has sole responsibility for assigning duties, including discontinuation of assignment,
in accordance with governance procedures stipulated in VTCSOM bylaws.

12.1 Virginia Tech Carilion School of Medicine Faculty Appointments

Regular* Faculty: A member of the faculty may have a primary appointment to the VTCSOM in
a tenure-to-title track or non-tenure-to-title track. Ranks are assistant professor, associate
professor, or professor.

Regular* Primary: A primary appointment includes a substantial commitment to the mission of
the VTCSOM with regular engagement in teaching and service to the VTCSOM, and the pursuit
of scholarship in medicine.

Instructional Faculty: Instructional faculty members have an appointment to the VTCSOM in the
rank of adjunct assistant professor, adjunct associate professor, adjunct professor, clinical
preceptor, instructor, or senior instructor.

VTCSOM Faculty Appointments and Ranks

<table>
<thead>
<tr>
<th>Regular* Appointment</th>
<th>Appointment Description</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tenure-to-Title Track</td>
<td>Primary appointment within the medical school on the tenure-to-title track; possess a substantial commitment to the mission of VTCSOM, regularly engage in teaching and service to VTCSOM, and pursue scholarly activities in medicine.</td>
<td>Eligible for promotion as experience and accomplishment warrant to the following ranks: Assistant Professor Associate Professor Professor</td>
</tr>
</tbody>
</table>
### Non-Tenure-to-Title Track

Primary appointment within the medical school on the non-tenure-to-title track; possess a substantial commitment to the mission of VTCSOM, regularly engage in teaching and service to VTCSOM, and pursue scholarly activities in medicine.

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### Instructional Appointment

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<thead>
<tr>
<th>Position</th>
<th>Appointment Description</th>
<th>Rank</th>
</tr>
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<tbody>
<tr>
<td><strong>Adjunct</strong></td>
<td>Current or previous appointment with another academic institution; defined role in teaching or mentoring medical students. Must possess a doctoral or other terminal degree. Appointments are typically for up to three years and may be renewed. Ineligible for tenure-to-title, but eligible for reappointment.</td>
<td>Assistant Adjunct Professor</td>
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<td></td>
<td></td>
<td>Associate Adjunct Professor</td>
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<td></td>
<td></td>
<td>Adjunct Professor</td>
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<td></td>
<td></td>
<td>Adjunct Professor</td>
</tr>
<tr>
<td><strong>Clinical Preceptor</strong></td>
<td>Faculty members who teach medical students primarily in a clinical setting. Clinical Preceptors are physicians with a MD, DO, MBBS, or equivalent degree. Appointments are typically for up to three years and may be renewed. Ineligible for tenure-to-title, but eligible for reappointment and promotion.</td>
<td>The Clinical Preceptor title does not change, even with prolonged service, unless a promotion is granted.</td>
</tr>
<tr>
<td><strong>Instructors and Visiting Faculty</strong></td>
<td>Instructors are faculty members who may not have doctoral level degrees but have instructional roles with students. Senior instructors are faculty members with doctoral degrees and have a significant instructional role with students. Ineligible for tenure-to-title, but eligible for reappointment and promotion. Visiting faculty members are individuals who are applying for a faculty position, but for whom the opportunity to instruct medical students is anticipated before the faculty appointment process is completed. Appointment as Senior Instructor or Instructor may be up to three years. The appointment as a Visiting Instructor is for no more than six months. Ineligible for tenure-to-title, but eligible for reappointment and promotion.</td>
<td>Instructor Senior Instructor Visiting Instructor</td>
</tr>
</tbody>
</table>
*Note: the term “regular” for VTCSOM faculty appointments is distinct from the use of the same term in chapter two of this handbook where it is used to distinguish faculty appointments with opportunity for renewal from those appointments that are “restricted” and that have an end date such as research faculty whose salaries are paid from external funding, visiting professorships or other temporarily available faculty positions.

12.2 Tenure-to-Title Track Faculty Appointments

Tenure-to-title is the conferring of permanent appointment to VTCSOM. Tenure-to-title is recognition by the VTCSOM of service and accomplishment of the faculty member and represents the expectation of continued exceptional service and accomplishment by the faculty member.

Tenure-to-title is awarded in recognition of a body of accomplishment in teaching, clinical care (if relevant), and scholarship, and in acknowledgment of service to the missions of VTCSOM. As the criteria for tenure-to-title are virtually identical to criteria for promotion, tenure-to-title typically is awarded at the time of promotion.

Tenure-to-title is granted at the discretion of the VTCSOM without any right to, interest in, or expectation of any compensation or guarantee for compensation or future employment and is granted only in the VTCSOM to individuals who are not employed by Virginia Tech.

Once conferred, tenure-to-title is subject to review by the department and school committees on appointment, retention, promotion, and tenure (to title) and can be rescinded for imposition of a severe sanction or dismissal for cause.

Each VTCSOM department shall establish and communicate written guidelines for promotion and tenure-to-title for all applicable categories of appointment. Departmental guidelines must be consistent with VTCSOM and all relevant university promotion guidelines.

12.3 Department and VTCSOM Evaluation for Tenure-to-Title and/or Promotion in Rank

The tenure-to-title and/or promotion in rank dossier is reviewed at three levels: (1) by an appropriately charged departmental committee and the department head or chair, (2) by an appropriately charged VTCSOM-level committee and the dean, and (3) by the provost. The department head or chair and dean make separate recommendations to the subsequent review levels. The provost reviews VTCSOM committee and dean recommendations and makes recommendations to the president. The Board of Visitors grants final approval.

Each department will establish a committee and process with appropriate faculty representation to evaluate candidates for promotion and/or tenure-to-title sent by the chair of the department. The department chair may chair the committee or remain separate from the committee’s deliberations and subsequently receive its recommendations. A faculty member may not participate in the evaluation of a spouse, family member, or other individual with whom the faculty member has a close personal relationship.
The VTCSOM committee reviews the candidates recommended by the departmental committee and/or chair. The VTCSOM committee makes a recommendation on each candidate to the dean. The division of the vote at both the departmental and VTCSOM levels is conveyed to the provost and remains confidential.

If requested by the dean, the VTCSOM committee reviews cases receiving negative recommendations by both the departmental committee and the head or chair. The purposes of the review are to verify that the recommendations are consistent with the evidence, reflect VTCSOM standards, and consider the goals, objectives, and programmatic priorities of the VTCSOM and university.

12.4 Conflicts of Commitment and Interest
In addition to university policies, VTCSOM faculty members are, as appropriate, subject to the Standards for Commercial Support as promulgated by the Accrediting Council for Continuing Medical Education (AACME).

12.5 Additional Policy Obligations
Individuals with appointment to the VTCSOM faculty are subject to all relevant and appropriate sections of the Virginia Tech Faculty Handbook and university policies. Including Faculty Handbook section 2.11, Professional Responsibilities and Conduct; and section 3.6, “Imposition of a Severe Sanction or Dismissal for Cause”.

CHAPTER THIRTEEN
EMERGENCY PREPAREDNESS

13.0 Virginia Tech Emergency Management Introduction
— 540-231-4873
— oem@vt.edu
— emergency.vt.edu

Students look to the person at the front of the room for leadership, anticipating that the instructor will know what to do if an emergency occurs. This chapter provides a framework for faculty to prepare for such occurrences. For additional information, please contact Virginia Tech Emergency Management (VTEM) at 540-231-4873 or oem@vt.edu.

13.1 During Any Emergency Preparing to Lead
Students look to the person leading the class for direction, especially in an emergency.
• Review basic emergency preparedness during the first week—10 minutes of pre-planning can save lives. Contact Virginia Tech Emergency Management at 540-231-4873 or oem@vt.edu if you need assistance. Visit emergency.vt.edu for additional resources.
• Remind students to update emergency contact information on Hokie SPA and to sign-up for VT Alerts at alerts.vt.edu.
• Download the HOKIE READY preparedness app
• Dial 911 to report any emergency from the classroom, lab, office, or other location.
• Individuals with disabilities—who self-identify—may provide information on special assistance needs if an emergency occurs. They could need assistance leaving a building during an evacuation.
• In an emergency, lead by example and follow emergency procedures.

13.1.1 Know your environment
• Know the spaces in which you work, instruct, and conduct research. Identify two or more exit routes from each one in case you need to evacuate.
• Be familiar with the Emergency Action Plan Building Annex for each building you frequent.
• Become weather aware. Make it a habit to check the forecast each day so you know when severe weather is likely.

13.1.2 Know what to do in an emergency
• Become familiar with the information in this chapter. Keep it with you as a reference.
• Consider how you would take different protective actions in your office, teaching, and research spaces.
• Become Hokie Ready. Review the preparedness material on VTEM’s web site (https://emergency.vt.edu/ready.html) and consider what steps you can take to ensure your personal safety and to help create a resilient university community.

13.1.3 Have the tools you need to receive and disseminate information
• Sign up for VT Alerts, (https://subscribe.alerts.vt.edu/). Set an annual calendar reminder to verify your contact information in the system.
• Make it a habit to bring a charged cell phone to class, your lab, or other work location.
• In your cell phone or in hardcopy, maintain a list of important contact numbers (e.g., department leadership, lab supervisors).
• Download the Hokie Ready app (https://emergency.vt.edu/programs/HokieReadyApp.html).

13.2 Preparing Students
Ensuring students have basic emergency preparedness information will prime them to follow your lead if an emergency occurs. Ten minutes of preparedness can save lives! During the first week of the semester, review the following items with your students:
• What to do in an evacuation;
• What to do when instructed to Shelter-in-Place;
• What to do when instructed to Secure-in-Place;
• Remind students of VT Alerts and the Hokie Ready app.

13.3 During an Emergency

Project a calm demeanor. Lead by example and follow emergency procedures or take protective actions as instructed by VT Alerts or emergency personnel. Students and bystanders will take their cues from authority figures.

Report the emergency as soon as you can do so safely. Dial 9-1-1 from the classroom, lab, office, or any other campus location. Not all VOIP phones will work during power outages. Interior emergency phones (blue wall boxes) will work during power disruptions to the building.

13.2.4 Reporting an Emergency

Dial 911 for police, fire, or emergency medical services. Remain calm—your actions will influence others. When communicating with the 9-1-1 dispatcher:

- Provide your location – the more precise, the better. Tell the dispatcher you are at Virginia Tech, give the street address, building name, and room number.

- In case you are disconnected, give your full name and the telephone number from which you are calling, in case you are disconnected.

- Describe the nature of the emergency clearly and accurately.

- Do not hang up the telephone. The dispatcher may need additional information or may be needed to provide you with further assistance.

- If possible and safe to do so, have someone else meet emergency personnel outside of the building.

13.3 Prepare

In addition to your daily class materials, carry:

- A charged cell phone. Make sure you have signed up for VT Alerts in advance.
- A list of important telephone numbers (i.e., department leadership, lab supervisors if applicable, etc.).

13.4.5 Medical Emergency

- Create space for the affected individual(s) and emergency personnel
- Do not move an injured person before responders arrive unless they are at greater risk by remaining
- Call 911
- Have someone meet and direct emergency personnel to the site
9-1-1 dispatchers can give you instructions to help. Such as Only those trained properly should provide first aid or CPR or bleeding control techniques.

13.5.6 SECURE-in-Place

The intent of securing in place is to put barriers between yourself and an assailant and to deny them access to you. Virginia Tech will send a VT Alert advising you to secure in place if an active, potentially violent, incident is occurring that requires you to act. To secure in place:

- **Remain calm**
- If indoors, Inside: lock the room door and/or place a barricade between yourself and the violence or danger.
- If outdoors, Outside: seek safety in an interior space in the nearest unlocked building. Lock and/or barricade the door. If buildings are locked, move away from the danger or leave campus if it is safe to do so.
- Turn off lights and any A/V equipment, silence phones (but keep them on), draw blinds, and move away from windows and doors.
- Await further instruction from VT Alerts and/or emergency personnel.
- **DO NOT** leave until VT Alerts and/or emergency personnel provide instructions lifting the Secure-in-place an “All Clear” is instructed by first responders.

13.6.1 Controlling Entry to a Secure Location

If there is any doubt about the safety of the individuals inside the room or building, the area needs to remain secure. Allowing someone to enter a secure location may endanger you and others who are already safe. Use good judgement before opening a secure door. Factors to consider: If there are individuals outside the secured door who wish to get in, consider several factors to determine if it is safe:

- Can you see the area outside the door to determine that someone is not lying in wait or that the person attempting to gain access is under duress, or might they be lying in wait? If you have a description of the subject, consider similarities such as:
  - Compare the person wanting entry to the description provided by the secure-in-place alert. Consider age, race, clothing description, height, weight, sex, hair, and eye color.
  - If occupants of a secure location decide to let a person in, consider the following: How quickly can the area be re-secured? Have the person leave anything he or she is carrying (a backpack, laptop case, package, etc.) on the ground, outside of, and away from, the secure area.
  - Have the person lift up their shirt, coat or jacket until the waistline is visible and rotate 360 degrees to see if they might be concealing a weapon.
  - Remember, always use your best judgement. There are exceptions to all guidance and prescribed directions.
13.7 Run, Hide, Fight

If you witness, or are directly confronted with, an active threat of violence, you should take immediate protective actions. The following are three distinct actions you can take based on the situation occurring:

- **Run** – Move as quickly as you can away from the known location of the violent actor. Evacuate the room, building, or space and continue well away from the incident until you are reasonably assured of your safety. Do not call 9-1-1 while evading the threat – focus on getting away and then call 9-1-1 to report the incident. Encourage others to go with you, but do not wait for them.

- **Hide** – If you are not able to Run immediately, you should seek cover and concealment as quickly as possible. If possible, select a location that you can lock or barricade to place physical barriers between you and the threat. Avoid trapping yourself by having more than one way out if needed. Consider your options to Run or Fight as the situation changes.

- **Fight** – You may need to physically defend yourself from the assailant. There is no fair fight. Be aggressive and decisive. You can disrupt the assailant and then Run or Hide, as appropriate.

These are distinct options you can use depending on the situation. Apply problem solving skills and use the actions you believe appropriate at the time. You may need to Hide to Run, or Hide, then Fight, then Run. Create distance and barriers between yourself and the threat wherever possible and commit to your own successful outcome. Taking action and applying your best judgement are the most important tools you have in these situations.

13.8 8 SHELTER-in-Shelter in Place

The intent of sheltering in place is to put barriers between yourself and an environmental danger. Virginia Tech will send a **shelter in place** message if a severe weather incident or similar situation is occurring, but do not wait for a VT Alerts notification if you become aware of an incident first.SHELTER-in-place events are usually weather-related emergencies. During a tornado, seek shelter on the lowest level possible. To shelter in place:

**Remain calm**

- Respond immediately, **DONOT** wait to see a tornado or severe weather event before you react. Do not go outside to check the weather conditions.

- Seek shelter in the closest building. **The best shelter for severe weather is on the building’s lowest level**, in an interior room or corridor, **and** away from windows, glass, and unsecured objects that may fall.

- **DO NOT** lock doors – **do so may prevent in case others need to** from reaching shelter-in-place.
• Avoid sheltering in large free-standing spaces such as auditoriums and gymnasiums.
• **Do Not** use elevators.
• Await further instruction from VT Alerts and/or emergency personnel first responders.
• **Do Not** leave until VT Alerts and/or emergency personnel provide an “All Clear” instruction.

13.8.1 Weather Definitions

The National Weather Service uses "watch" and "warning" in its weather communication to differentiate between possible weather hazards and those which are occurring now.

**Watch:** Conditions are favorable for the development of severe weather. Closely monitor the situation in case conditions worsen.

**Warning:** Severe weather has been observed. Listen closely to instructions provided by weather radios, emergency officials, and other alert mechanisms. Seek shelter immediately.

13.9 Evacuation

Evacuation routes are posted in hallways, usually near stairwells or exits.

• Know two evacuation routes. Use EXIT signs to determine primary and secondary exits.
• Fire alarms are mandatory evacuations. Do not use elevators unless authorized by emergency personnel.
• Encourage everyone to leave the building – do not wait for those who refuse to leave. Inform first responders of those that are in the building.
• **Once you have evacuated, Keep** your class together. **If possible and safe, proceed to the designated assembly point, or Stay** 50 feet from the building to allow access for emergency personnel.

13.10 Persons with Disabilities Access and Functional Needs

Persons with access and functional needs may need assistance taking protective action during an emergency. Those who voluntarily disclose their status may be able to communicate their assistance needs before an incident occurs, and they may also need help planning for emergencies. If you have access and functional needs, consider:

• How you will be affected by situations that are common during emergencies, such as reduced visibility or inoperable telephones and elevators;
• How you will become aware of an emergency through direct observation or communication;
• How you will take protective action (e.g., Secure-in-Place, Shelter-in-Place, Evacuation) during an emergency; and
• Whether you will need assistance to take that action.
Students with access and functional needs may not have considered these factors. They also may be accustomed to academic environments in which authority figures already know their needs. Common support needs may include:

Services for Students with Disabilities 540-231-3788 and/or Equity and Access at 540-231-2010.

Ask students to self-identify in confidence if they require special assistance during an emergency.

- **Auditory**: Individuals with hearing impairments may not hear alarms or verbal guidance. Use with a note or hand gestures to communicate with them. Message Boards will display VT Alerts messages.

- **Visual**: Individuals with vision impairments may need verbal descriptions of a situation or the aid of describe the situation and act as a “sighted guide” to move to safety escort them to a safe location. Identify a “buddy” before an emergency. Buildings with Fire Alarm annunciators will audibly “speak” VT Alerts messages.

- **Mobility**: Individuals with restricted mobility may be unable to move to safety. If a person cannot safely leave the building during an evacuation, a “buddy” someone can accompany the individual to an area of refuge (e.g., a stairwell) without blocking the evacuation path. Do not attempt a rescue evacuation of an individual with a disability restricted mobility unless the mobility impaired individual consents you have had the appropriate rescue training and the individual gives permission.

For more information, contact Services for Students with Disabilities at 540-231-3788 and/or Equity and Access at 540-231-2010.

### 13.11 Stay Informed

- **Virginia Tech Emergency Management** - emergency.vt.edu | 540-231-4873 | @BeHokieReady
- **Virginia Tech Police Department** - police.vt.edu | 540-382-4343 | @VaTechPolice
- **VT Alerts** - alerts.vt.edu | @vtalerts
- **Virginia Tech News** - news.vt.edu | @vtnews
- **National Weather Service** - weather.gov | @NWSBlacksburg
14.0 Virginia Extension Faculty with Continued Appointment or on the Continued Appointment-Track

Virginia Cooperative Extension Faculty are of two types:

- **Extension Faculty with Continued Appointment**
  Ranks: assistant professor, associate professor, professor

- Extension Faculty with Administrative and Professional Faculty (A/P) appointment
  (Covered in chapter seven of the Faculty Handbook)

- **Extension Agent**
  Ranks: associate Extension agent, Extension agent, senior Extension agent

- **Extension Specialist**
  Ranks: associate Extension specialist, Extension specialist, senior Extension specialist

- **4-H Center Program Director**
  Ranks: associate program director, program director, senior program director

Extension faculty may or may not hold appointments in the college faculty. Specification of faculty rank in Extension does not imply a rank in a college department. Extension faculty may hold adjunct status in a college department to formally recognize their contributions to the undergraduate or graduate program.

They are, nonetheless, subject to high professional standards in the dissemination of knowledge through the Virginia Cooperative Extension programs and in the planning and delivery of educational programs and programs of assistance to industries and local governmental agencies. In these functions, Extension faculty members share many of the professional concerns of their collegiate colleagues, including the need for the protection of academic freedom in these responsibilities.

Continued appointment is the equivalent of tenure in a college. Extension faculty may hold continued appointment or may be on the continued appointment-track; just as college faculty may be tenured or on the tenure-track. Term appointments during a probationary period are the same as those for college faculty. Evaluation for continued appointment (in contrast to term appointment) is made no later than the sixth year of a probationary period.

An Extension faculty member with continued appointment can expect continued employment until retirement. Termination of employment is based only on unsatisfactory performance, proof of misconduct, discontinuance, or reduction in a segment of the university’s Extension programs, or reorganization because of changing patterns of programming.
If a position held by an Extension faculty member with continued appointment is eliminated or changes to such a degree that the incumbent can no longer fulfill the requirements, every effort will be made to reassign the faculty member to another position. If the position of an Extension faculty member with continued appointment is terminated, it will not be re-established and filled for two years unless the appointment was offered to and declined by the displaced faculty member.

Tenure awarded to any member of the Virginia Cooperative Extension faculty before July 1, 1983 continues to be recognized.

The University Promotion and Continued Appointment Committee reviews promotions in rank and/or continued appointment and makes recommendations to the provost. The provost makes recommendations to the president who makes recommendations to the Board of Visitors. Final approval of promotion and continued appointments rest with the Board of Visitors.

14.1 Continued Appointment Track and Continued Appointment Extension Faculty Ranks

14.1.1 Instructor on the Continued Appointment Track

The rank of instructor is for Virginia Cooperative Extension faculty on the continued appointment-track whose positions have been designated for continued appointment-track and who have not completed the terminal degree. Annual appointments may be renewed within the limits of a probationary period.

Ordinarily, continued appointment would not be awarded at the instructor rank, although time spent at this rank counts in the probationary period leading to continued appointment. A master’s degree or significant professional experience is the minimum expectation for appointment at this rank.

The unit chair with the approval of the director, dean, provost, and president may recommend Extension instructors who complete their terminal degree for promotion. Final approval for Extension promotions rests with the Board of Visitors.

Promotion of Extension faculty to the ranks of associate or professor is conducted in accordance with procedures outlined below.

14.1.2 Assistant Professor

The rank of assistant professor is the usual rank of initial appointment for faculty on the continued appointment-track. Appointment to the rank of assistant professor carries with it professional responsibilities in learning, discovery, and engagement. An assistant professor may be assigned responsibility for teaching graduate courses and for supervising master’s theses and dissertations, as well as serving on graduate student committees. The terminal degree appropriate to the field is expected for appointment to this rank. Information on qualification
credentials for instruction is in chapter two, “Qualification and Teaching Credentials for Instructors of Record,” and on the provost’s Faculty Credentials page.

14.1.3 Associate Professor
In addition to the requirements for assistant professor, a person appointed as associate professor must have demonstrated substantial professional achievements by evidence of an appropriate combination of outstanding teaching, creative scholarship, and recognized performance in Extension, outreach, or related academic and professional service.

14.1.4 Professor
In addition to the requirements for associate professor, appointment to the rank of professor is contingent upon national recognition as an outstanding scholar and educator.

14.1.5 Emeritus or Emerita Designation
The title of emeritus or emerita is conferred on retired professors, associate professors, administrative officers, faculty with continued appointment, and senior Extension agents who have given exemplary service to the university, and who the president recommends to the Board of Visitors for approval. Policy 4405, “Emeritus/Emerita Faculty,” provides guidance concerning emeritus or emerita status and continued involvement in the life of the university.

14.2 Appointments with Continued Appointment
An appointment with continued appointment may be made with the review and approval of the department head or chair, the divisional promotion and continued appointment committee, the director of Extension, a subcommittee of the university promotion and continued appointment committee, the provost, and the president. Ultimately, final approval rests with the Board of Visitors.

The director forwards to the provost and president for their consideration and decision: the candidate’s application package, including cover letter, curriculum vitae, and at least two letters of reference which address the appointment of rank and continued appointment; documentation of the division-level promotion and continued appointment committee’s approval of rank and continued appointment, and concurrence of the dean or director with as much supporting evidence as deemed appropriate; and a brief overview of the search: how many candidates applied, were interviewed, and what is the compelling case for the candidate.

In general, faculty recruited from a comparable university should be recommended for a position at Virginia Tech at a similar level with continued appointment. If the recommended appointment involves a promotion or the initial awarding of continued appointment or is coming from a university with a less extensive research mission, the case must be strongly justified.
14.2.1 Part-Time Continued Appointment and Continued Appointment-Track Appointments

While continued appointment and continued appointment-track appointments are usually full time, Virginia Tech recognizes the importance of allowing flexibility in the percent of employment so that faculty members can better manage the balance between their professional work and family or personal obligations over a defined period, or perhaps permanently. This policy is intended to encourage departments to accommodate reasonable requests for part-time appointments; however, part-time appointments are not an entitlement, and requests may be turned down when the faculty member and the department cannot agree upon a workable plan.

When conducting a search for a continued appointment-track position, departments continue to advertise for full-time continued appointment or continued appointment-track positions and must have funding for a full-time hire. Advertisements include information about university policies for flexible appointments. If desired, the faculty member requests and negotiates a part-time appointment at or after the point of hire if acceptable to the department.

Continued appointment-track faculty members may request a part-time appointment only for reasons of balancing work and family such as the arrival or care of a child, the care of a family member, or for personal circumstances related to the health of the faculty member. In addition, they may request a term part-time appointment only (with specific starting and ending dates) allowing the issue to be revisited on a defined cycle. While such term appointments can be renewed throughout the probationary period, a permanent part-time appointment may not be granted until continued appointment is awarded.

Faculty members with continued appointment may request either term or permanent part-time appointments for reasons stated above, or to balance work at Virginia Tech with professional practice or significant community or public service, for example, a professor who wishes to serve as a consultant in addition to an appointment at Virginia Tech; a professor who wishes to engage in entrepreneurial activity outside of university responsibilities; or a professor who runs for public office for a limited term and wishes to reduce the workload at Virginia Tech for that period. Other reasonable justifications may be considered if approved by the department head or chair, University Libraries dean or director of Extension, and provost.

14.2.1.1 Part-Time Term Continued Appointment and Continued Appointment-Track Appointments

Part-time continued appointment and continued appointment-track appointments are either term or permanent. Term part-time appointments are in increments from one semester up to two years. During the duration of a part-time term appointment, terms of the appointment are only changed via the agreement of all parties. A term agreement must specify the date on which the faculty member is expected to return to full-time status. Renewal of a term appointment should be negotiated no less than three months before the end of the current term so that the department can plan accordingly. For term part-time appointments, departments can use the salary savings to replace the work of the faculty member on part-time appointment.
Only the faculty member may initiate a request for conversion from full-time to part-time appointment. The reasons for the request for a change in the percentage of appointment should be clearly stated. The department head or chair supervisor should make a careful assessment of the needs of the department and works with the faculty member requesting the part-time appointment to facilitate the request whenever possible. The period for which this part-time appointment is granted shall be clearly stated (renewable terms from one semester up to two years, or permanent).

The written agreement should include a careful and thorough statement of work expectations for the part-time appointment. Generally, faculty members continue to contribute to all areas of responsibility, but with reduced expectations for accomplishment proportional to the fractional appointment. Service responsibilities for faculty members on part-time appointments are generally proportional to their appointments. Faculty members on part-time appointments are not excused from regular departmental, division, or university service because of the part-time appointments.

The written agreement for either an initial appointment or a conversion of a full-time appointment to part-time status and any subsequent renewal requires the approval of the faculty member, department head or chair, University Libraries dean or director of Extension and provost.

An initial term part-time continued appointment, either continued appointment or continued appointment-track, may be approved to accommodate a dual career hire if funding is not immediately available to support a full-time position, or if the faculty member seeks a part-time appointment consistent with the intent of this policy. The expectation is that the subsequent reappointment, if recommended, is for a full-time position, unless the faculty member requests a renewal of the term part-time appointment in accordance with these guidelines. A part-time appointment created for a dual career hire is approved through the usual approval processes for dual career hires. (See chapter two, “Dual Career Program.”)

Faculty members on part-time appointments, whether term or permanent, retain all rights and responsibilities attendant to their appointment as a continued appointment and continued appointment-track faculty member.

14.2.1.2 Permanent Part-Time Continued Appointments

For permanent part-time continued appointments with no end date, a return to a full-time appointment is not guaranteed. If holding continued appointment, the faculty member remains entitled to the continued appointment on the part-time basis only. However, an increase in the percent of the appointment up to full-time may be renegotiated between the faculty member and department head or chair supervisor if mutually agreeable and funds are available. The department and the division determine the best way to cover the costs of the work in the case of conversion to a permanent part-time appointment.
Faculty members on part-time appointments, whether term or permanent, retain all rights and responsibilities attendant to their appointment as a continued appointment and continued appointment-track faculty member.

Part-time appointments are made for any fraction 50\% or greater of a full appointment; faculty members receive proportional salary. Faculty members considering such appointments are strongly encouraged to meet with representatives in the benefits office in Human Resources to gain a clear understanding of the consequences of the change to their benefits. Office and laboratory space may be adjusted for longer term or permanent part-time appointments.

14.3 Continued Appointment and Promotion


Members of the Extension faculty not holding appointments in an academic department in a college may be considered for continued appointment or for promotion in faculty rank in recognition of appropriate professional accomplishments as noted in the sections above.

14.3.1 Continued Appointment Eligibility

Like tenure, continued appointment is for the protection of the academic freedom of University Libraries and Extension faculty who are engaged in creating new programs and scholarship. Eligibility for continued appointment consideration is limited to faculty members holding regular faculty appointments of 50\% to 100\% in the University Libraries or Virginia Cooperative Extension. Continued appointment is not granted to faculty members with temporary appointments. Individuals holding continued appointment who are appointed to administrative positions, however, retain the status and privileges of continued appointment.

14.3.2 Probationary Period and Progress Reviews

The term “probationary period” (“pre-continued appointment”) is applied to the succession of term appointments, which an individual undertakes on a full- or part-time regular faculty appointment, and during which evaluation for reappointment and for an eventual continued appointment takes place. The beginning of the probationary period for faculty members on term appointments is taken as July 1 or August 10 of the calendar year in which their initial full-time appointment begins, depending on whether they are on a calendar year or academic year appointment, regardless of the month in which their services are initiated. (The probationary period for new faculty appointed for spring semester begins the following fall even though the spring contract period officially begins December 25.)

Under usual circumstances, divisional promotion and continued appointment committees review the professional progress and performance of pre-continued appointment faculty members twice during the probationary period, usually in their second and fourth or third and fifth years. The
timing of the reviews depends upon the nature of the faculty member’s discipline and must be clearly indicated in written departmental policies. The terms of faculty offer (TOFO) identifies the initial appointment period. Pre-continued appointment reviews may be delayed if there is an approved extension as described below. Changes or variations in the standard review cycle must be documented in writing.

The initial review for a part-time faculty member should be no later than the third year of service (regardless of percent of employment) to give early feedback on their progress. At least two reviews should be conducted for part-time faculty members during their probationary period; more are recommended. The anticipated schedule for such reviews for appointment and for the mandatory review for continued appointment should be documented in writing as part of the agreement for the part-time appointment. Changes should be agreed upon and documented by the faculty member and the department.

Reviews are substantive and thorough. At a minimum, divisional promotion and continued appointment committees must review the faculty member’s relevant annual faculty activity reports, peer evaluations, and authored materials.

The pre-continued appointment reviews should analyze the faculty member’s progress toward promotion and continued appointment and offer guidance regarding future activities and plans. Pre-continued appointment faculty should be encouraged to develop a narrative about their scholarship goals with special emphasis on the place of their research and creative activity. Although this narrative may change across time, creating the context for their work can assist candidates in understanding how to continue to develop professionally in a national and international context in preparation for promotion and continued appointment. The dean or director, the mentor(s), and the divisional committee should engage in discussions with instructors and assistant professors across the probationary period to encourage professional growth and development of the candidate’s scholarly work.

All reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for the faculty member’s division-level file. In addition, the promotion and continued appointment committee and the director meet with the faculty member to discuss the review and recommendations. Individual faculty members are also encouraged to seek guidance and mentoring from senior colleagues. Pre-continued appointment faculty members bear responsibility for understanding division-level expectations for promotion and continued appointment and for meeting those expectations.

The initial appointment for instructors and assistant professors (or those appointed to higher ranks) without continued appointment is ordinarily for a period of not less than two years. Multiple-year reappointments may be subsequently recommended.

The maximum total period for full-time probationary appointments is six years unless an approved extension is granted. Decision about continued appointment, if not made earlier, is made in the
sixth year of the probationary appointment. If the continued appointment decision made in the sixth year is negative, a one-year terminal appointment is offered.

Pre-continued appointment faculty members may request a term part-time appointment as described in chapter fourteen, “Part-Time Continued Appointment and Continued Appointment-Track Appointments,” for reasons of balancing work and family or personal health issues. In such cases, the probationary period is extended proportionately. For example, two years of service at 50% percent counts as one year of full-time service. The term appointment may be renewed. (A permanent part-time appointment may be requested and granted following award of continued appointment.)

In determining the mandatory continued appointment review year for those with partial appointments, general equivalency to full-time appointments is expected, so that approximately five years of full-time equivalent service is expected prior to the mandatory continued appointment review year if no continued appointment clock extensions have been granted; six years if one year of extension is granted, and seven years if two extensions are granted. (In summing partial years of service, a total resulting in a fraction equal to or less than .5 is rounded down, and a fraction greater than .5 is rounded up.) However, review for continued appointment must occur no later than the tenth year of service, resulting in somewhat less full-time equivalent service (4.5 years) for a faculty member with 50% percent appointment throughout all nine probationary years prior to review. If denied continued appointment following a mandatory review, a one-year terminal appointment is offered.

Faculty members on part-time appointments may request a continued appointment clock extension in accordance with procedures described in “Extending the Continued Appointment Clock.” (extensions are granted in one-year increments, not prorated by the part-time appointment percentage.) However, the extension is not approved if it results in a mandatory review date beyond the tenth year.

Up to three years of appropriate service at other accredited American four-year colleges and universities may be credited toward the six-year probationary period, as specified in “Guidelines for the Calculation of Prior Service.”

A faculty member on a probationary appointment who wishes to request a leave of absence consults with the director about the effect of the leave on the probationary period, taking into account the professional development that the leave promises. The request for leave addresses this matter and the provost’s approval of the leave request specifies whether the leave is to be included in the probationary period.

14.3.2.1 Extending the Continued Appointment Clock

A one-year probationary period extension is automatically granted to either parent (or both if both parents are continued appointment-track faculty members) in recognition of the demands of caring for a newborn child or a child under five newly placed for adoption or foster care. The request should be made within a year of the child’s arrival in the family.
An extension of the probationary period may also be approved on a discretionary basis for other extenuating non-professional circumstances that have a significant impact on the faculty member’s productivity, such as a serious personal illness or major illness of a member of the immediate family. In rare cases, extraordinary professional circumstances not of the faculty member’s own making may be acceptable justification for a probationary period extension, for example exceptional delays in providing critical equipment, laboratory renovations, or other elements of the committed start-up package essential to establishing a viable research program.

Faculty members who benefit from this policy are expected to fulfill their usual responsibilities during the probationary period extension unless they are also granted a period of modified duties or unless other arrangements are made. (See “Modified Duties.”)

Probationary period extensions are granted in one-year increments. A cumulative total of two years is usually the maximum probationary period extension for any combination of reasons. Requests should be made within a year of the qualifying event or extenuating circumstance. The provost may approve exceptions to these limitations.

Faculty members may only be evaluated two times for promotion and tenure or continued appointment. The two evaluations may each be in a non-mandatory year, but in the case of a second non-mandatory negative decision, the faculty member will not be allowed a third evaluation. If the second evaluation results in a negative decision, a one-year terminal appointment is offered.

Requests for a probationary period extension are submitted in writing to the department head or chair. (A form is available on the provost’s Faculty Forms page.) Approval is automatic for new parents. Documentation of medical reasons (other than childbirth or adoption) is required prior to approval; documentation of other extenuating circumstances may also be required. Approvals by the department head or chair, director, and provost are required for probationary period extensions. The faculty member may appeal denial of the request to the next higher level in their organizational reporting structure.

It is very important that all individuals and committees participating in continued appointment reviews understand that any individual who receives a probationary period extension must be held to the same standard—not a higher or more stringent one—to which other candidates without such an extension are held. This is also true in the case where the candidate’s dossier is considered on the original schedule for review. However, in this instance where an approved extension was granted but not utilized, the continued appointment review is not considered mandatory and can be conducted again in the subsequent year without penalty. A probationary extension also usually extends the time frame for each subsequent review and reappointment during the probationary period. For example, an extension granted prior to the fourth-year review and reappointment typically delays that review by one year.
14.3.3 Guidelines for the Calculation of Prior Service

At the time of a faculty member’s initial appointment to Extension, the director notifies the new faculty member of his or her standing regarding their continued appointment status. Excepting temporary appointments with limited terms, the faculty appointees are given clear notice of when their appointment will be considered for renewal and, if on the continued appointment-track, the length of the probationary period until mandatory consideration for continued appointment.

In this latter calculation, appropriate full-time service in another accredited four-year American college or university is credited toward probationary service at Virginia Tech only if the appointed faculty member requests such credit.

In such a request, all prior service is presented if undertaken after the faculty member completes the terminal degree appropriate to the field. A maximum of three years may be credited toward probationary service at Virginia Tech. The request must be made in writing within one year of the initial appointment. The specification of credit for prior service toward the probationary period is subject to the approval of the provost on the recommendation of the director of Virginia Cooperative Extension.

14.3.4 Evaluation for Promotion and Continued Appointment

Promotion to a higher rank or an award of continued appointment may be granted to faculty members on a regular faculty appointment who demonstrate outstanding accomplishments in an appropriate combination of learning, discovery, engagement, and other professional activities. Every faculty member is expected to maintain a current curriculum vitae, with copies filed with the Extension unit. The curriculum vitae together with annual faculty activity reports, student or client evaluations, copies of publications, reference letters, and other similar documents comprise a dossier, which furnishes the principal basis for promotion and continued appointment decisions.

The evaluation of candidates for continued appointment closely parallels the process for tenure consideration for college faculty, and incorporates the same, or similar, elements of procedure whenever relevant or reasonable. Given the small number of faculty members on the continued appointment-track, their dossiers are reviewed at two levels (rather than three as required for college faculty): first by the Extension promotion and continued appointment committee and/or the director of Virginia Cooperative Extension, and second by the University Promotion and Continued Appointment Committee and the provost.

Although some participants in the review process may serve at more than one level—for example a departmental committee member may also serve on the divisional committee—participants may only vote once on a case. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Because the job descriptions and responsibilities of the candidates being considered do not conform to a single pattern or norm, it is not possible to set forth a statement of criteria with
reference to which all recommendations for promotion or continued appointment must be made. Nevertheless, members of the general faculty seeking continued appointment or promotion in faculty rank are generally expected to have records of outstanding accomplishment in an appropriate combination of the following categories:

**Professional responsibilities:** Carrying out the responsibilities of the position within the organizational unit by effective staff work, display of leadership, and a high degree of initiative.

**Research and scholarly activities:** Publishing in journals, presenting papers at professional meetings, developing other works of creative scholarship, organizing or chairing sessions at professional meetings, and carrying out instructional responsibilities or graduate student advising.

**University activities:** Participating in the conduct of the activities of the administrative unit and the university. Such service takes innumerable forms, including serving on committees or in faculty governance positions, or participating in seminars or conferences.

**External activities:** Participating in local, state, regional, and national professional associations. Such participation includes activities such as holding office, serving on committees, conducting workshops, serving on panels, and attending conferences, conventions, or meetings.

**Awards and honors:** Receiving awards, grants, and honorary titles or being selected for membership in honorary societies.

Activities and accomplishments in other appropriate areas, beyond these five, may be included in dossiers and are considered.

Extension faculty are expected to develop within this framework the performance criteria that are most relevant to the responsibilities of those units. These criteria serve both as an aid to faculty development and as a set of measures that the University Promotion and Continued Appointment Committee may apply.

The criteria by which faculty with part-time appointments are evaluated for continued appointment is the same as the criteria by which full-time faculty are evaluated. Promotion and continued appointment committees consider years of full-time equivalent service when reaching decisions, excluding any approved probationary period extensions granted under the extending the continued appointment clock policy.

Besides consideration of specific professional criteria, evaluation for promotion or continued appointment should consider the candidate’s integrity, professional conduct, and ethics. To the extent that such considerations are significant factors in reaching a negative recommendation, they should be documented as part of the formal review process.
14.3.4.1 Division-Level Evaluation for Promotion and Continued Appointment

Extension divisions have committees with appropriate faculty representation to evaluate candidates for promotion and/or continued appointment. They make recommendations to the director of Virginia Cooperative Extension. The director may chair their committees or remain separate from the committee’s deliberations and subsequently receive its recommendations. (See guidelines in chapter fourteen, “Composition of Extension Division-Level Promotion and Continued Appointment Committees.”)

The promotion and continued appointment committees review the cases of candidates for promotion and/or continued appointment, including those faculty members in the final probationary year. The director furnishes the committee with a dossier for each candidate.

14.3.4.2 Composition of Extension Division-Level Promotion and Continued Appointment Committees

Rules governing eligibility and selection of members to serve on the Extension Promotion and Continued Appointment (review committee), and operating guidelines for the review committees’ deliberations must be documented in written division-level policies, formally approved by the faculty.

Extension divisions determine who is eligible to serve on the review committees from among faculty members with continued appointment.

The review committee may include district directors; however, these members may not vote on cases from their districts since each has already had an opportunity to vote or make a recommendation on those candidates.

If possible, some significant element of faculty choice should be a part of the review committee selection procedure. Where small numbers make an election process impractical, the director appoints the representative.

If Extension district directors serve on the review committees, their total number is less than that of other faculty members.

Review committee appointments should be staggered to assure continuity from one year’s deliberation to the next. If possible, members should not serve for more than two successive terms.

Selection of the review committee chair is determined in accordance with policies approved by the faculty.

The director may be present at the Extension promotion and continued appointment committee deliberations. The director serves in an advisory capacity to the review committee to assure compliance with university procedures and fairness and equity of treatment of candidates. The
director does not vote on committee recommendations but provides a separate recommendation to the provost.

Faculty members appointed to serve on the University Promotion and Continued Appointment Committee are encouraged to observe the deliberations of the Extension review committee to better prepare for their roles but should not participate or attempt to influence the review committee’s recommendations.

14.3.4.3 Recommendations of Extension Divisional Promotion and Continued Appointment Committees

The review committee makes a recommendation on each candidate to the director of Virginia Cooperative Extension, including a written evaluation that assesses the quality of the candidate’s performance in each relevant area. The division of the vote is conveyed to the University Promotion and Continued Appointment Committee and provost but must otherwise remain confidential outside the review committee. In the absence of a unanimous recommendation, a minority report may be included. Whenever the director does not concur with the committee’s recommendation, the committee is notified.

Evaluation for continued appointment is mandated in the sixth year of probationary service unless the faculty member has given written notice of resignation from the faculty. If the review committee feels that the faculty member’s record does not warrant a continued appointment, there is an automatic review of the candidate’s dossier by the director of Virginia Cooperative Extension. If the director concurs, the faculty member is notified by the dean or director, in writing, of the decision and the specific reasons for it.

The review committee may ask the candidate to appear before the committee to present additional information or clarification of recommendations.

14.3.4.4 Review and Recommendations by the Director of Virginia Cooperative Extension

The director of Virginia Cooperative Extension sends forward to the provost the full dossier of every candidate for whom there is a positive recommendation from either the division-level review committees or the director, or both. The director prepares separate letters of recommendation to be forwarded with the dossiers from their division. Whenever the dean or director does not concur with the review committee’s recommendation, the committee is notified.

The dossiers that the director sends to the provost are accompanied by a statement describing the formation and procedures of the review committee and a summary of the number of candidates considered by the division in each category. The division of the vote is conveyed to the university-level committee and provost but must otherwise remain confidential.
14.3.4.5 University Evaluation for Promotion and Continued Appointment

The University Promotion and Continued Appointment Committee (university-level committee) is appointed and chaired by the provost or the provost’s designee. The committee reviews the qualifications of the candidates recommended for promotion and/or continued appointment by the director of Virginia Cooperative Extension. It also reviews those cases in which the director does not concur with the review committee’s positive recommendations. (University-level review of a case with differing recommendations by the director and the review committee is automatic and does not require an appeal.) The purpose of the reviews is to verify that the recommendations are consistent with the evidence, reflecting university standards, and that they are consistent with university objectives, programmatic plans, and budgetary constraints.

The university-level committee makes a recommendation on each candidate to the provost. The provost makes recommendations to the president, informing the university committee of those recommendations, including the basis for any non-concurrence with the university committee recommendations. The provost informs the president of any variation between the provost’s recommendations and those of the university committee.

The president makes recommendations to the Board of Visitors with the Board of Visitors being responsible for the final decision.

The provost notifies the director of any negative decision reached by the provost, the president, or the Board of Visitors. The director notifies the faculty member, in writing, and notes appeal options.

The University Promotion and Continued Appointment committee consists of the dean of the University Libraries; the director of Virginia Cooperative Extension; and four faculty members with continued appointment—two each from the University Libraries faculty and the Extension faculty. The provost asks for nominations to this committee from the University Libraries faculty and the director of Virginia Cooperative Extension. Where possible, some significant element of faculty choice should be part of the selection procedure.

All members of the university-level committee hold voting privileges. Regardless of the size of the committee, the faculty must always have at least a majority of the potential votes. Consistent with the principle that participants at all levels of the promotion and continued appointment review process vote only once on an individual case, the director does not vote on cases from the Extension divisions. Similarly, faculty members serving on the university committee do not vote on any case they previously voted on, should this circumstance occur.

Members of the university-level committee with continued appointment in Extension divisions hold staggered terms of three years; university-level committee members with tenure in a college hold staggered terms of two years; the provost makes the committee appointments.

The provost or his or her designee chairs the committee but does not vote.
All voting within the committee should be by written secret ballot; the division of any ballot must remain confidential.

14.3.5 Appeals of Decisions on Reappointment, Continued Appointment, or Promotion

A faculty member who is notified of a negative decision following evaluation for a term reappointment during the probationary period, for continued appointment, or for promotion may appeal for review of the decision under conditions and procedures specified in this section. The appellant has a right to an explanation of the reasons contributing to the denial.

Such an appeal must be filed, in writing, within 14 calendar days of formal notification of the decision, which shall refer to appeal procedures. The appeal can only be based on the grounds that certain relevant information was not provided or considered in the decision, or that the decision was influenced by improper consideration.

In their recommendations, administrators and committees hearing an appeal should address the standards outlined in the previous paragraph. They shall not substitute their own judgment on the merits for that of the body or individual that made the decision under appeal. The recommendations should address the allegations in the appeal with specificity and cite appropriate evidence.

Appeals should be resolved as quickly as possible without compromising fairness or thoroughness of review. Whenever possible, the goal should be to achieve a final resolution in time to accommodate the first meeting of the Board of Visitors in the fall semester.

A faculty member who believes that the appeal procedures described in this section have been improperly followed may, at any point, seek advice from the Faculty Senate Committee on Reconciliation and/or file a grievance in accordance with the grievance procedure “Faculty Grievance Policy and Procedures.”

14.3.5.1 Probationary Reappointment

Faculty members on probationary term appointments should make no presumption of reappointment. Procedures for term reappointment or the granting of continued appointment for members of the Extension faculty are developed in Extension divisions. A decision for non-reappointment to a term appointment, based primarily on performance evaluation, is final if reached by the Extension Promotion and Continued Appointment and Review Committee and is sustained by the director of Virginia Cooperative Extension, as appropriate. Notice of non-reappointment is furnished according to the schedule in chapter two, “Retirement, Resignation, and Non-Reappointment.” The specific reasons for the decision are provided to the faculty member in writing, if requested.

If the non-reappointment decision is reached by the director in contradiction to the recommendation of the Extension Promotion and Continued Appointment and Review
Committee, the faculty member may request that the non-reappointment decision be reviewed by the provost for a final decision.

The faculty member presents the appeal in writing as specified in “Appeals of Decisions on Reappointment, Continued Appointment, or Promotion.” The provost may ask the University Promotion and Continued Appointment Committee to review the case and make recommendation as an aid to that decision.

14.3.5.2 Continued Appointment Decision

Occasionally faculty members are evaluated for continued appointment during the probationary period, but before the final probationary year. In such a case, there is no recourse to appeal or review of a negative decision, at whatever level it is reached, because of the certainty that the evaluation will be undertaken again within a limited time.

If a faculty member is denied continued appointment in a mandatory review by both the review committee and the director of Virginia Cooperative Extension, the faculty member may appeal the negative decision in writing in accordance with provisions of this section. The appeal is submitted to the provost for review by the University Committee for Promotion and Continued Appointment, which shall make a recommendation to the provost for a final decision. No further appeal is provided. The University Committee for Promotion and Continued Appointment may choose to hear oral arguments. Substantive procedural violations may be addressed through the grievance process described in “Faculty Grievance Policy and Procedures.”

Should the University Promotion and Continued Appointment Committee find reason to believe that the review committee’s evaluation was biased or was significantly influenced by improper considerations, the University Promotion and Continued Appointment Committee may request that the director form a new ad hoc review committee. The ad hoc committee makes a recommendation to the University Committee for Promotion and Continued Appointment that requested its formation. The University Promotion and Continued Appointment Committee then makes a recommendation to the provost. Should the provost not concur with a positive recommendation from the University Committee for Promotion and Continued Appointment, whether that recommendation culminates a usual review or an appeal, the faculty member is so notified in writing of the specific reason for the decision. The faculty member may appeal to the Faculty Review Committee. That committee investigates the case and, if the differences cannot be reconciled, makes a recommendation to the president of the University on the matter. The president’s decision is final.

14.3.5.3 Review of Progress Toward Promotion to Professor

At least one review of progress toward promotion to professor should be conducted three to five years after promotion and continued appointment is awarded (or after continued appointment is awarded at the current rank of associate professor). The review is required for faculty promoted and awarded continued appointment during 2012-13 and thereafter. The review is to be substantive and thorough. At a minimum, an appropriate departmental committee (e.g., continued
appointment committee, personnel committee, or annual review committee) must review the faculty member’s relevant annual activity reports, peer evaluations of teaching, and authored materials since the last promotion. The committee may also wish to review an updated curriculum vitae.

The review should be developmental and focused on the faculty member’s progress toward promotion to professor. The developmental guidance should focus on recommended future activities and plans that will position the faculty member for promotion. All reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for their departmental file. In addition, the faculty member may request a meeting with the department committee chair and the department head or chair to discuss the review and recommendations. Individual faculty members are also encouraged to seek guidance and mentoring from senior colleagues and the department head or chair.

14.3.5.4 Promotion Consideration and Decision

There is no specification for minimum or maximum time of service in any rank. A faculty member may request at any time a consideration for promotion in rank if the review committee has not chosen to undertake such an evaluation. However, appeal of a negative promotion decision is provided only if the faculty member has been in rank for at least six years and if the faculty member has formally requested, in writing, consideration for promotion in a previous year. Candidates for promotion who have been denied by both the Extension division-level review committee and the director of Virginia Cooperative Extension may appeal to the provost, who asks the University Promotion and Continued Appointment Committee to consider the appeal. The faculty member presents the appeal in writing as specified in chapter four, “Appeals of Decisions on Reappointment, Continued Appointment, or Promotion.”

The university-level committee makes a recommendation to the provost. If the committee and the provost concur with the negative decision, the decision is final; if not, the president makes a final decision.

14.4 Annual Evaluation and Post-Continued Appointment Review
14.4.1 Annual Evaluation and Salary Adjustments

All departments are required to have written guidelines outlining the process and criteria used in faculty evaluations. The adoption of such guidelines promotes consistency and transparency in this important aspect of faculty life.

Every faculty member’s professional performance is evaluated annually, and written feedback is provided separately from confirmation of any merit adjustments. The process begins with submission of a faculty activity report (FAR). All non-temporary faculty members must submit a FAR annually. These reports form part of the basis for performance evaluations, awarding merit adjustments, and promotion, continued appointment, and post-continued appointment reviews.
The director is responsible for conducting annual faculty evaluations, either independently or in consultation with an appropriately charged committee in accordance with Extension divisional procedures. All evaluations must be in writing and include a discussion of contributions and accomplishments in all areas of the faculty member’s responsibilities, comments on the faculty member’s plans and goals, and any recommendations for improvement or change. Faculty members should receive their written evaluations within 90 days of submission of required materials, and they acknowledge receipt by signing and returning a copy for their Extension divisional file, or the electronic equivalent. Acknowledging receipt of the evaluation does not imply agreement. If a faculty member substantially disagrees with the evaluation, they may submit a written response to the director for inclusion in his or her personnel file.

In addition to their annual evaluation letters, all pre-continued appointment faculty members receive at least two thorough reviews during the six-year probationary period and written feedback on their progress toward continued appointment by their Extension Divisional Promotion and Continued Appointment Committee prior to reappointment in accordance with guidance included in chapter four, “Probationary Period.”

Faculty members with part-time appointments are reviewed on the annual review cycle used for all faculty members in the department. For the purposes of annual review, the fraction of the appointment must be taken into account when considering the appropriate level of achievement in that year.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the director and are reviewed by the provost and the president. Because salary adjustments are determined administratively on an annual basis and based significantly on the quality of the faculty member’s response to assigned responsibility, they do not necessarily reflect an accurate measure of the full scope of the faculty member’s professional development as evaluated by relevant committees in the continued appointment and promotion process.

The salary adjustments of continuing appointment faculty members are approved by the Board of Visitors and each faculty member is informed in writing of the board's action as soon as possible. (See chapter two, “Employment Policies and Resources for All Faculty.”)

**14.4.2 Unsatisfactory Performance**

For continued appointment and pre-continued appointment faculty members, failure to meet the minimal obligations and standards the division has stipulated for its faculty results in an "unsatisfactory" rating. Written notification of an unsatisfactory rating and the considerations upon which it was based is given to the faculty member, with a copy to the provost. A single unsatisfactory evaluation indicates a serious problem, which prompts remedial action. Faculty members may respond in writing with a letter to the director for inclusion in their personnel file, or they may seek redress through either the reconciliation or grievance procedures. Two successive
annual ratings of unsatisfactory performance for a faculty member with continued appointment results in a post-continued appointment review.

### 14.4.3 Extension Divisional Minimal Standards

The Extension divisions shall develop, maintain, and publish a statement of minimal standards for satisfactory faculty performance using the following process should be written with the participation of faculty in the division and approved by a vote of the continued appointment-track faculty in the division. Standards developed and approved by the Extension Division Promotion and Continued Appointment Committee and the director are then reviewed and approved by the provost. Once approved, the standards are published and available to all faculty members in the division. Revisions of divisional standards also follow these procedures.

The following guidance is provided for the development of Extension divisional minimal standards:

- Extension divisions should carefully assess and state the overall standards of professional performance and contribution they consider minimally acceptable for continued appointment faculty. Each division’s evaluation mechanism should allow a distinction between performance that is deficient in one or more areas requiring improvement, and performance that is so seriously deficient as to merit the formal designation "unsatisfactory."

- Extension divisional standards should embrace the entire scope of faculty contributions. Expectations recognize differences in faculty assignments within the same department or unit. Extension divisional standards should typically address the individual's skill, effort, and effectiveness in contributing to all aspects of the instructional mission; the individual's activity in and contributions to the discipline; the individual's contributions to the collective life of the division and university; and the individual's activity in and contributions to the university's outreach mission.

- Extension divisional statements should affirm support for the basic principles of academic freedom and should express tolerance for minority opinions, dissent from professional orthodoxies, and honest and civil disagreement with administrative actions.

- Departmental statements should include the expectation that faculty with continued appointment will adhere to the standards of conduct and ethical behavior as stated in the Faculty Handbook and/or promulgated through other official channels.

### 14.4.4 Post-Continued Appointment Review

Nothing in this section should be interpreted as abridging the university's right to proceed directly to dismissal for cause as defined in chapter two “Dismissal for Cause,” or the right of individual faculty members to pursue existing mechanisms of reconciliation and redress.

A post-continued appointment review is mandatory whenever a faculty member with continued appointment receives two consecutive annual evaluations of unsatisfactory performance. Annual reviews for years spent on leave without pay are disregarded for the purpose of this calculation. The Extension Divisional Promotion and Continued Appointment Committee conducts the review
unless the same committee was involved in the original unsatisfactory annual evaluations. In this case, the division elects a committee to carry out the review function.

Upon recommendation of the director, a post-continued appointment review may be waived or postponed if there are extenuating circumstances (such as health problems).

The purpose of a post-continued appointment review is to focus the perspective of faculty peers on the full scope of a faculty member’s professional competence, performance, and contributions to the Extension division and university missions and priorities.

The faculty member has both the right and the obligation to provide a dossier with all documents, materials, and statements he or she believes are relevant and necessary for the review. Ordinarily, such a dossier includes at least the following: an updated curriculum vitae, the past two or more faculty activity reports, teaching or client assessments, if any, and a description of activities and accomplishments since the last faculty activity report. The faculty member is given a period of no less than four weeks to assemble the dossier for the committee. The director supplies the review committee with the last two annual evaluations, all materials that were considered in those evaluations, any further materials deemed relevant, and other materials the committee requests. Copies of all materials supplied to the review committee are given to the faculty member. The faculty member has the right to provide a written rebuttal of the evidence provided by the director.

The review committee weighs the faculty member's contributions to the discipline, the Extension division, and the university through learning, discovery, and engagement. The burden of proving unsatisfactory performance is on the university. The committee prepares a summary of its findings and makes a recommendation to the director and provost. Final action and notification of the faculty member is the responsibility of the director, with the concurrence of the provost.

The review may result in one of the following outcomes:

**Certification of satisfactory performance:** The review committee may conclude that the faculty member's competence and professional contributions are satisfactory to meet the Extension division’s minimal expectations, thus failing to sustain the assessment of the director. The review is then complete. An unsatisfactory rating in any subsequent year is counted as the first in any future sequence.

**Certification of deficiencies:** The review committee may concur that the faculty member's competence and/or professional contributions are unsatisfactory to meet the Extension division’s minimal expectations. The committee may recommend dismissal for cause, a sanction other than dismissal for cause, or a single period of remediation not to exceed two years.

**Remediation:** If a period of remediation is recommended, the review committee specifies in detail the deficiencies it noted, defines specific goals and measurable outcomes the faculty member should achieve, and establishes a timeline for meeting the goals. The director meets with the faculty member at least twice annually to review the individual's progress. The director prepares
a summary report for the review committee following each meeting and at the end of the specified remediation period, at which time the review committee either certifies satisfactory performance or recommends dismissal for cause or a sanction other than dismissal for cause following the procedures described below.

**Sanction other than dismissal for cause:** An Extension division-level committee recommendation to impose a severe sanction, as defined in chapter fourteen, “Imposition of a Severe Sanction,” is referred to the University Promotion and Continued Appointment Committee, which reviews the case as presented to the Extension division-level committee, provides an opportunity for the faculty member to be heard, and determines whether the recommendation is consistent with the evidence. The university committee may reject, uphold, or modify the specific sanction recommended by the Extension division-level committee. If the Extension division-level committee also recommends imposition of a severe sanction, then the same procedures used for dismissal for cause guide the process. The review conducted by the Extension division-level committee satisfies the requirement in step two for an informal inquiry by an ad hoc or standing personnel committee. Thus, in the case of a post-continued appointment review, this step is not repeated.

If a severe sanction is imposed or ultimately rejected, then the post-continued appointment review cycle is considered complete. An unsatisfactory rating in any subsequent year is counted as the first in any future sequence.

**Dismissal for cause:** If dismissal for cause is recommended, the case shall be referred to the Extension division-level Promotion and Continued Appointment Committee as described in chapter fourteen, “Procedures and Recommendations of Extension Division Level Promotion and Continued Appointment Committee,” which reviews the case as presented to the divisional committee and determines whether the recommendation is consistent with the evidence. If the University Promotion and Continued Appointment Committee upholds the recommendation for dismissal, then the procedures specified in chapter fourteen, “Dismissal for Cause,” begin immediately. The University Promotion and Continued Appointment Committee review satisfies the requirement for an informal inquiry by a standing personnel committee.

**14.5 Imposition of a Severe Sanction or Dismissal for Cause**

The procedures specified follow closely, but differ in occasional detail from, the "1976 Institutional Regulations on Academic Freedom and Tenure" approved by Committee A of the AAUP.

**14.5.1 Adequate Cause**

Adequate cause for imposition of a severe sanction or dismissal is related, directly and substantially, to the fitness of faculty members in their professional capacity as teachers and scholars. Imposition of a severe sanction or dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.
Adequate cause includes: violation of professional ethics (see chapter two, “Professional Responsibilities and Conduct”); incompetence as determined through post-continued appointment review; willful failure to carry out professional obligations or assigned responsibilities; willful violation of university and/or government policies; falsification of information relating to professional qualifications; inability to perform assigned duties satisfactorily because of incarceration; or personal deficiencies that prevent the satisfactory performance of responsibilities (e.g., dependence on drugs or alcohol).

Reason to consider the imposition of a severe sanction or dismissal for cause is usually determined by a thorough and careful investigation by an appropriately charged faculty committee (as in the case of allegations of ethical or scholarly misconduct, or through a post-continued appointment review) or by the relevant administrator (for example, the director, compliance and conflict resolution officer, internal auditor, or Virginia Tech Police). Generally, these investigations result in a report of findings; some reports also include a recommendation for sanctions. The report is directed to the relevant administrator for action; it is also shared with the faculty member. Imposition of a severe sanction or initiation of dismissal for cause proceedings, if warranted, follows the procedures set forth below.

### 14.5.2 Imposition of a Severe Sanction

**Definition and examples:** A severe sanction generally involves a significant loss or penalty to a faculty member such as, but not limited to, a demotion in rank and/or a reduction in salary or suspension without pay for a period not to exceed one year, imposed for unacceptable conduct and/or a serious breach of university policy.

Routine personnel actions such as a recommendation for a below average or no merit increase, conversion from a calendar year to an academic year appointment, reassignment, or removal of an administrative stipend do not constitute “sanctions” within the meaning of this policy. A personnel action such as these may be a valid issue for grievance under procedures defined in the Faculty Handbook.

**Process for Imposing a Severe Sanction:** The conduct of a faculty member, although not constituting adequate cause for dismissal, may be sufficiently grave to justify imposition of a severe sanction. Imposition of a severe sanction follows the same procedures as dismissal for cause beginning with step one. If the matter is not resolved at the first step, a standing or ad hoc faculty committee conducts an informal inquiry (step two). The requirement for such an informal inquiry is satisfied if the investigation was conducted by an appropriately charged faculty committee (as would be the case with an alleged violation of the ethics or scholarly misconduct policies) and, having determined that in its opinion there is adequate cause for imposing a severe sanction, refers the matter to the administration.

### 14.5.3 Dismissal for Cause

The following procedures apply to faculty members with continued appointment, or for dismissal of a continued appointment-track faculty member before the end of his or her current appointment.
Dismissal is preceded by:

**Step one:** Discussions between the faculty member, director, and/or provost, looking toward a mutual settlement.

**Step two:** Informal inquiry by a standing (or, if necessary, ad hoc) faculty committee having concern for personnel matters. This committee attempts to affect an adjustment and, failing to do so, determines whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the president’s decision whether to proceed.

**Step three:** The furnishing by the university president (in what follows, the president may delegate the provost to serve instead) of a statement of charges, in consultation with the director. The statement of charges is included in a letter to the faculty member indicating the intention to dismiss, with notification of the right to a formal hearing. The faculty member is given a specified reasonable time limit to request a hearing, that time limit is no less than 10 days.

**Procedures for conducting a formal hearing, if requested:** If a hearing committee is to be established, the university president asks the Faculty Senate, through its president, to nominate nine faculty members to serve on the hearing committee. These faculty members should be nominated based on their objectivity, competence, and regard in which they are held in the academic community. They must have no bias or untoward interest in the case and are available at the anticipated time of hearing. The faculty member and the university president each have a maximum of two challenges from among the nominees without stated cause. The university president then names a five-member hearing committee from the remaining names on the nominated slate. The hearing committee elects its chair.

Pending a final decision on the dismissal, the faculty member is suspended only if immediate harm to him or herself or to others is threatened by continuance. If the president believes such suspension is warranted, consultation takes place with the Faculty Senate Committee on Reconciliation concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.

Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the charges or asserting that the charges do not support a finding of adequate cause. In such a case, the hearing committee evaluates all available evidence and rests its recommendation on the evidence in the record.
The committee, in consultation with the university president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration cooperates with the hearing committee in securing witnesses and evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements of unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every possible effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The university president and the faculty member are notified of the recommendation in writing and are given a written copy of the record of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the university president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the university president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity for response.

**Appeal to the Board of Visitors:** If the university president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board). The board’s review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the hearing committee with specific objections. The hearing committee then reconvenes, taking into account the stated objections and receiving new evidence if necessary. The board makes a final decision only after studying the hearing committee’s reconsideration.

**Notice of Dismissal:** In cases where gross misconduct is decided, dismissal is usually immediate. The standard for gross misconduct is behavior so egregious that it evokes
condemnation by the academic community generally and is so utterly blameworthy as to make it inappropriate to offer additional notice or severance pay. The first faculty committee that considers the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty member with continued appointment receives up to one year of salary or notice, and (b) a probationary faculty member receives up to three months’ salary or notice. These terms of dismissal begin at the date of final notification of dismissal.

14.6 Faculty Grievance Policy and Procedures
The following procedure is provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by members of Extension faculty with continued appointment or on the continued appointment-track. The Faculty Senate Review Committee conducts the step four hearing if requested.

14.6.1 Ombuds, Mediation Services, and Faculty Senate Committee on Reconciliation

Informal dialogue: It should be possible to resolve most faculty concerns or complaints through informal communication among colleagues working together in the academic enterprise. Accordingly, a faculty member who feels there is a grievance is encouraged to take it to the immediate supervisor in the collegial spirit of problem solving rather than as a confrontation between adversaries.

University Ombuds: Any member of the university community may visit the university Ombuds Office. The Ombuds listens and explores options for addressing and resolving concerns or complaints. The Ombuds Office does not have the authority to make decisions or to reverse any decision made or actions taken by university authorities. The Ombuds Office supplements, but does not replace, the university's existing resources for conflict resolution and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Ombuds Office will not accept legal notice on behalf of the university, and information provided to the Ombuds Office will not constitute such notice to the university. Should someone wish to make the university formally aware of a particular problem, the Ombuds Office can provide information on how to do so. The only exception to this pledge of confidentiality is where the Ombuds Office determines that there is an imminent risk of serious harm, or if disclosure is required by law.

To preserve independence and neutrality, the Ombuds Office reports directly to the University President. The Ombuds Office does not keep permanent records of confidential communications.

Reconciliation: At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Faculty Senate Committee on Reconciliation in fashioning an equitable solution. Contacting the Faculty Senate Committee on Reconciliation is not required in filing a grievance, but it may be useful if the grievant feels that the issue may be amenable to, but will require time for, negotiation; or if the grievant is unsure whether his or her concern is a
legitimate issue for a grievance; or if personal relations between the parties involved in the grievance have become strained.

For a potential grievance issue to qualify for consideration by the Faculty Senate Committee on Reconciliation, the grievant contacts the chair of the Faculty Senate Committee on Reconciliation within 30 calendar days of the time when the grievant knew or should have known of the event or action that is the basis for the potential grievance, just as if beginning the regular grievance process. If the grievant requests assistance from the Faculty Senate Committee on Reconciliation, that committee must request a postponement of the time limits involved in the grievance procedure while it deals with the case. The chair of the Faculty Senate Committee on Reconciliation submits the request in writing to the vice provost for faculty affairs. Also, the grievant reaches an understanding with the Faculty Senate Committee on Reconciliation of the time frame planned for that committee’s work on the case, such time not to exceed 60 calendar days.

Faculty members may also consult the Faculty Senate Committee on Reconciliation about serious disagreements with immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the committee contacts the relevant administrator to determine if there is an interest and willingness to explore informal resolution of the dispute; it is not necessary to notify the Office of the Executive Vice President and Provost.

**Mediation:** Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

**Role of Mediators:** Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

**Requesting Mediation:** Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.
Mediation differs from reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

14.6.2 The Formal Grievance Procedure

If the assistance of the Faculty Senate Committee on Reconciliation is not desired or is not requested; or if that committee determines that it cannot provide assistance in the matter; or if the grievant finds that the length of time the Faculty Senate Committee on Reconciliation plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of that committee, the grievant may pursue the issue as a formal grievance through the following procedure. Department heads or chairs, deans, directors, and other administrative faculty will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of his or her case.

**Step one:** The grievant must meet with his or her immediate supervisor (usually the department head) within 30 calendar days of the date that grievant knew or should have known of the event or action that is basis for the grievance and orally identifies the grievance and the grievant’s concerns. The supervisor provides an oral response to the grievant within five weekdays following the meeting. If the supervisor’s response is satisfactory to the grievant, that ends the matter.

**Step two:** If a satisfactory resolution of the grievance is not achieved by the immediate supervisor’s oral response, the grievant may submit a written statement of the grievance and the relief requested to the immediate supervisor. This statement must be on the faculty grievance form, must define the grievance and the relief requested specifically and precisely, and must be submitted to the immediate supervisor within five weekdays of the time when the grievant received the immediate supervisor’s oral response to the first step meeting. Faculty grievance forms are available on the provost’s Faculty Forms page.

Within five weekdays of receiving the written statement of the grievance, the immediate supervisor, in turn, gives the grievant a written response on the faculty grievance form, citing reasons for action taken or not taken. If the written response of the immediate supervisor is satisfactory to the grievant, that ends the matter.

**Step three:** If the resolution of the grievance proposed in the written response by the immediate supervisor is not acceptable, the grievant may advance the grievance to the next level of university administration by checking the appropriate place on the faculty grievance form, signing and sending the form to the next level administrator within five weekdays of receiving the written response from the immediate supervisor. The next level of administration for faculty in Extension is usually the dean of agriculture and life sciences. The administrator involved at this next level is hereafter referred to as the second-level administrator.

Following receipt of the faculty grievance form, the second-level administrator or designated representative meets with the grievant within five weekdays. The second-level administrator may request the immediate supervisor of the grievant be present; the grievant may similarly request
that a representative of his or her choice from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the second-level administrator does not have legal counsel present. The second-level administrator gives the grievant a written decision on the faculty grievance form within five weekdays after the meeting, citing reasons for his or her decision. If the second-level administrator’s written response to the grievance is satisfactory to the grievant it ends the matter.

**Step four:** If the resolution of the grievance proposed in the written response from the second-level administrator is not acceptable, the grievant may advance the grievance within five weekdays to the level of the provost, including consideration by an impartial hearing panel of the Faculty Senate Review Committee of the Faculty Senate. A description of the charge and membership of the Faculty Senate Review Committee is included in chapter two, “Faculty Senate Review Committee.”

Upon receiving the faculty grievance form requesting step four review, the provost, or appropriate designated representative, acknowledges receipt of the grievance within five weekdays and forwards a copy of the Procedures of the Faculty Senate Review Committee to parties in the grievance process. The provost immediately forwards a copy of the grievance to the president of the Faculty Senate, who also writes to the grievant to acknowledge receipt of the grievance within five weekdays of receipt of the faculty grievance form from the provost.

The grievant may petition the provost to bypass the Faculty Senate Review Committee and rule on the grievance. If the provost accepts the request, there is no subsequent opportunity for the grievance to be heard by a hearing panel. The provost’s decision, however, may be appealed to the university president, as described in step five. If the provost does not accept the petition, the Faculty Senate Review Committee hears the grievance as outlined in these procedures.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

**Hearing Panel:** A hearing panel consists of five members appointed by the chair of the Faculty Senate Review Committee from among the members of the Faculty Senate Review Committee. The chair of the Faculty Senate Review Committee polls all appointees to ensure that they have no conflict of interest in the case. Both parties to the grievance may challenge one of the appointments, if they so desire, without need to state cause, and the chair of the Faculty Senate Review Committee appoints the needed replacement or replacements. Other replacements are made only for cause. The chair of the Faculty Senate Review Committee rules on issues of cause.

To ensure uniformity in practice, the chair of the Faculty Senate Review Committee or his or her designee serves as the non-voting chair of each hearing panel. If the chair of the Faculty Senate Review Committee has a conflict of interest concerning a case, the chair appoints a disinterested third party from among the members of the Faculty Senate Review Committee not already appointed to the hearing panel for the case to serve as chair of the hearing panel.
Hearings: After a hearing panel is appointed, the chair of the Faculty Senate Review Committee requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Faculty Senate president. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling. The hearing is then reconvened as appropriate.

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak on their behalf if so requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsel is present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel. Detailed procedures followed in hearings are specified in the Procedures of the Faculty Senate Review Committee as approved by the Faculty Senate.

Findings and Recommendations: The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Faculty Senate president. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the provost, the grievant, and the chair of the Faculty Senate Review Committee.

Provost's Action: The provost meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant about the prospects for disposition of the case. Within 10 weekdays of that meeting, the provost sends to the grievant his or her decision in writing concerning the disposition of the grievance. If the provost's decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel, that ends the matter.

Step five: If the provost's decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the university president within 20 calendar days. The university president acts as he or she sees fit. The university president’s decision is final.
14.6.3 Timeliness of Grievance and Procedural Compliance

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time when he or she knew or should have known of the event or action that is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that he or she accepted the last proposed resolution as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the chair of the Faculty Senate Review Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee (or the vice president of the senate if the president is also chair of the Faculty Senate Review Committee) is convened to rule on the question, as in disputes about the validity of issues qualifying for the grievance procedure. The special committee has the following options. It can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a significant procedural violation did occur. If the administrator committed a significant procedural violation, the grievance automatically qualifies for advancement to the next step in the grievance process. If the grievant committed a significant procedural violation, the grievance process ends at that point with the last proposed resolution established as the final disposition of the case.

14.6.4 Valid Issues for Grievance

For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation, unreasonable merit adjustment or salary level, or excessive teaching load/work assignments; substantive violations of promotion and continued appointment procedures (see appeal process in chapter fourteen, “Appeals of Decisions on Reappointment, Continued
Issues not open to grievance: While most faculty disputes with the university administration may be dealt with by this grievance policy, the following issues may not be made the subject of a grievance: determination of policy appropriately promulgated by the university administration or the university governance system; those items falling within the jurisdiction of other university policies and procedures (for example, complaints of unlawful discrimination or harassment, or an appeal related to the merits of a promotion and/or continued appointment decision); the contents of personnel policies, procedures, rules, regulations, ordinances, and statutes; the routine assignment of university resources (e.g., space, operating funds, parking, etc.); usual actions taken, or recommendations made, by administrators or committee members acting in an official capacity in the grievance process; termination of appointment by removal for just cause, non-reappointment, or abolition of position; or allegations of misconduct in scholarly activities.

Adjudication of disputes on the validity of issues qualifying for consideration under the faculty grievance procedures: If a university administrator rules that an issue does not qualify for the grievance process, the grievant may write to the chair of the Faculty Senate Review Committee within five weekdays of receiving such notification and request a ruling from a special committee consisting of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

14.6.5 Particular Concerns and Definitions
Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from his or her assigned work location when they discover the event or action that is the basis for a grievance, the 30-day period during which the grievant must meet with his or her immediate supervisor to initiate the grievance process begins when the faculty member returns to his or her assigned work location. If the date of return causes a delay of such
length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to his or her assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the grievant is able to resume his or her duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg, and he or she is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers he or she has a grievance about actions by an administrator above the level of his or her immediate supervisor that directly involve the faculty member, or with actions by an administrator not in his or her department that directly involve the faculty member, the grievant initiates the grievance process by seeking the intervention of his or her immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting his or her immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in the usual fashion.

A grievance filed by a faculty member concerning an action of the provost is handled by the chair of the Faculty Senate Review Committee and a regular impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the university president for his or her ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of the university president is addressed by a special panel appointed by the provost in consultation with the president of the Faculty Senate.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations, or by the ruling of the university president, that specific grievance is closed and may not be made the subject of another grievance.
14.6.6 Overview of the Formal Grievance Process for Faculty with Continued Appointment or on the Continued Appointment-Track

Below is an abbreviated overview of the grievance process and deadlines. Refer to chapter fourteen, “The Formal Grievance Procedure,” for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an agreement. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)

<table>
<thead>
<tr>
<th>Step One</th>
<th>Step Number</th>
<th>Description</th>
</tr>
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<tbody>
<tr>
<td>Within 30 days of event</td>
<td>1a.</td>
<td>Grievant meets with immediate supervisor (usually division head).</td>
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<tr>
<td></td>
<td>1b.</td>
<td>Supervisor provides verbal response.</td>
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<tr>
<td></td>
<td>1c.</td>
<td>If the supervisor’s response is satisfactory to the grievant, that ends the matter.</td>
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<tr>
<td></td>
<td>1d.</td>
<td>If supervisor’s response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
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<thead>
<tr>
<th>Step Two</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>2a.</td>
<td>Grievant submits written grievance to immediate supervisor.</td>
</tr>
<tr>
<td></td>
<td>2b.</td>
<td>Supervisor responds in writing on grievance form.</td>
</tr>
<tr>
<td></td>
<td>2c.</td>
<td>If the supervisor’s response is satisfactory to the grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>2d.</td>
<td>If the supervisor’s response is not satisfactory to the grievant, move to step three within 5 weekdays.</td>
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<tr>
<th>Step Three</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Step Four</td>
<td>Step Number</td>
<td>Description</td>
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</tr>
<tr>
<td>Within 5 weekdays</td>
<td>4a.</td>
<td>Grievant advances grievance form to the provost.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>4b.</td>
<td>Provost acknowledges receipt of grievance and forwards copy to Faculty Senate president to receive recommendation of an impartial hearing panel of the Faculty Senate Review Committee.</td>
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<tr>
<td>Within 5 weekdays</td>
<td>4c.</td>
<td>Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.</td>
</tr>
<tr>
<td>Within 15 weekdays</td>
<td>4d.</td>
<td>Faculty Senate Review Committee chair appoints hearing panel from among Faculty Senate Review Committee members; panel holds its initial meeting with both principals.</td>
</tr>
<tr>
<td>Within 45 weekdays</td>
<td>4e.</td>
<td>The hearing panel concludes its work and makes recommendations to provost and grievant.</td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>4f.</td>
<td>Provost meets with grievant.</td>
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</tbody>
</table>
Within 10 weekdays

4g. The provost notifies grievant in writing of his or her decision.

4h. If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendation of the hearing panel that ends the matter.

4i. If the provost’s decision is not acceptable to the grievant and not consonant with the recommendation of the hearing panel, move to step five within 20 calendar days.

<table>
<thead>
<tr>
<th>Step Five</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 20 calendar days</td>
<td>5a.</td>
<td>Grievant appeals in writing to university president.</td>
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<td></td>
<td>5b.</td>
<td>The university president’s decision is final.</td>
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14.7 Study-Research Leave

Study-research leave may be granted to faculty members for research and/or advanced study necessary to enhance the competencies of those faculty members to carry out their obligations to the university.

Full-time faculty members holding continued appointment with significant responsibility for instruction and scholarly productivity, with the rank of assistant professor or higher, having accrued a minimum of six years of service, are eligible for study-research leave. Following such a leave, an additional six years of full-time service are necessary before a faculty member is eligible for another study-research leave. Requests may be submitted prior to completion of six years of service, but faculty members must have completed the sixth year before the leave period begins.

Time spent on study-research leave, educational leave, or leave without pay is not considered in compiling minimum service requirements for further leaves.

As part of the commonwealth’s educational leave program, recipients of study-research leaves are provided with partial salary (not to exceed one-half salary). Full employee benefits remain in force while faculty members are on study-research leaves. Calendar year faculty on study-research leave earn annual leave at a rate of half their usual annual leave earnings.
Instead of a proposal for leave of a full academic or calendar year, faculty members may propose a sequence of semester leave periods at half-salary over several years, not to exceed in total one academic year (for a faculty member on academic year appointment) or 12 months (for a faculty member on calendar year appointment). If such a sequence of leaves is undertaken, all intervening periods of full-time appointment at Virginia Tech accrue toward the six-year minimum service required before eligibility for another study-research leave or sequence of leaves.

Alternatively, following completion of any study-research leave, faculty members may propose a single semester of study-research leave at half-salary following three years of full-time service to the university.

Recipients of a study-research leave may receive additional compensation from other approved sources up to a total equal to their annual salary from the university. Faculty members may receive an additional half salary from sponsored grants or contracts, resulting in a one-year period at full salary from university sources; the appropriate level of effort must be expended on grant-related activities. They may also obtain additional funds from external sources to cover expenses for travel, research, administrative assistance, and the purchase of relevant materials. The department head and provost review and approve required documentation of all external earnings and expected payments. Engagement in consulting activities must be consonant with existing university policy.

The request for study-research leave is made in the fall and, if approved, is taken the following academic year. Requests for study-research leave are submitted to the department head or chair by November 1 for processing through the college, provost, and consideration by the Board of Visitors at the March (or spring) meeting of the board. Requests are forwarded to the board, subject to recommendation of the department head or chair, dean, and the provost, with consideration of the need for effective continuation of the Extension’s program. Specific leave request due dates are established annually and are available in the Calendar of Important Dates found on the provost’s Research Leaves page.

The faculty member returns to full-time service with the university for a minimum of at least one academic year at the end of the approved leave or repays the university the salary received plus interest. If less than this required period of service is met, repayment is required of the pro rata portion of the compensation provided by the university during the leave period. Before undertaking the leave, the faculty member signs a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and department head summarizing his or her accomplishments.

### 14.8 Research Assignment

Research assignment is a special category of study-research leave that is awarded to a faculty member with continued appointment for one semester of intensive study or research that increases the quality of the individual’s professional stature and future contribution to the university. It may be taken in lieu of an ordinary year-long study-research leave. Continued
appointment-track faculty members are not eligible to apply for research assignment leave until after continued appointment has been awarded.

Full-time faculty members holding continued appointment with the rank of assistant professor or higher and having accrued a minimum of six years of service, are eligible for research assignment or study-research leave. Following such a leave, an additional six years of full-time service are necessary before a faculty member may be considered for another research assignment. Requests may be submitted prior to completion of six years of service, but faculty members must have completed the sixth year before the leave period begins. Faculty members on calendar year appointments may take research assignment leave for up to six months.

Approval for research assignment provides the faculty member with full salary and related benefits for the period of the leave; faculty members may not take on additional responsibilities for outside income except as allowed by the university’s consulting policy. Modest stipends associated with competitive visiting scholar programs at other institutions, competitive national or international fellowships, the Fulbright Scholar Program, and similar prestigious opportunities to support study and/or scholarly research may be approved where there is clear benefit to the faculty member and the university. Similarly, externally funded reimbursements or allotments for travel, temporary relocation, and other expenses associated with the proposed research assignment may be approved. The department head and provost review and approve required documentation of all external earnings and expected payments. When a faculty member proposes a period of paid employment greater than 50% percent of the annual salary in a corporate or governmental setting, leave without pay or a contract through the Intergovernmental Personnel Act may be more appropriate than a research assignment.

The primary privilege of a research assignment is entire relief from teaching, administrative duties, and other faculty duties for one semester. A secondary privilege is that the assignment may be carried out at any location approved by the director, although research programs that require facilities, resources from the University Libraries, or collaborations not available at the university are given special consideration.

An application for research assignment is submitted to the appropriate department head or chair by November 1 of the academic year preceding that in which the assignment will be made. Application forms are available from the provost’s Research Leaves page. The application is in the form of a letter, which includes a detailed description of the proposed research or other scholarly project, the location of that activity, and the relevance of the proposed activity in contributing to the faculty member’s own scholarly research program. The director reviews the application and forwards it with a recommendation to the provost by mid-December, indicating the provisions that will be made to accommodate the faculty member’s responsibilities. The director is expected to weigh fiscal and academic load considerations to assure an equitable distribution of the awards. The provost reviews the recommendations, communicates with the director, and announces the results to each candidate, following approval by the Board of Visitors.
Specific leave request due dates are established annually and are available in the Calendar of Important Dates on the provost’s Research Leaves page.

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave. If less than this required period of service is met, repayment is required of the pro rata portion of the compensation provided by the university during the leave period. Before undertaking the leave, the faculty member must sign a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and department head summarizing his or her accomplishments.

14.9 Modified Duties
The university recognizes the need for all continued appointment and continued appointment-track faculty members to balance the commitments of family and work. Special family circumstances, for example, birth or adoption of a child, severe illness of an immediate family member, or even issues of personal health, can cause substantial alterations to one’s daily routine, thus creating a need to construct a modified workload and flexible schedule for a period of time.

Since the circumstances may vary widely for faculty members at different stages of their careers and with different family and workload situations, this policy does not prescribe the exact nature of the accommodation. In many cases, it may be a reduction or elimination of a teaching assignment while the faculty member continues to meet ongoing, but more flexible research and graduate student supervision obligations. In general, the university’s commitment is to work with a faculty member to devise a modified workload and schedule that enables the faculty member to remain an active and productive member of the department. Because there is no reduction in salary, the faculty member is expected to have a set of full-time responsibilities.

An eligible faculty member is encouraged to speak with his or her department head or chair as soon as possible about the need for modified duties to ensure the maximum amount of time for planning. A department chair, in conjunction with the director of Extension, is responsible for working with a faculty member to ensure a fair plan for modified duties is implemented, if possible, budgetary constraints are considered, and student or other needs are met. The policy does not create an entitlement if there are legitimate business-related reasons for denying the request. The department head or chair, in consultation with the dean or director, makes final decisions about the nature of the modified duties.

The provisions of this policy cannot adequately address all individual circumstances. Sick leave (including disability), leave without pay, or permanent reduction in appointment to part-time status may be options to consider for longer-term or more demanding needs. This policy is not intended to provide release time from teaching for the purpose of allowing additional time for research. Reduction in teaching assignment for research purposes is the prerogative of the Extension division and a function of the university’s program of study-research leaves.
Extension of the probationary period (see chapter fourteen, “Extending the Continued Appointment Clock”) is available to faculty members on continued appointment-track appointments who are confronted with extenuating personal or family circumstances, or birth or adoption of a child. The extension may be requested as a complement to a request for modified duties. However, the semester of modified duties does not automatically affect the continued appointment probationary period.

**Eligibility:** Modified duties may be requested by any faculty member in a full-time continued appointment or continued appointment-track appointment for the purpose of managing family responsibilities or, in exceptional cases, personal health issues not addressed by sick leave. The policy applies to eligible faculty upon employment.

**Guidelines:** The period of modified duties is one semester, or an equivalent amount of time for those faculty members whose responsibilities are not tied directly to teaching on the academic calendar.

Modification of duties should not result in additional duties during the subsequent semester, e.g., the faculty member should not be asked to make up the released teaching before or after the semester of modified duties. The faculty member cannot be employed by another institution during the period of modified duties, nor can the release time be used for extensive professional travel or other increased professional activities (including consulting) that do not meet the goals of the policy.

Medical documentation is required if the period of modified duties is requested related to a health issue not addressed by sick leave.

A semester of modified duties should be considered in addition to, not as a substitute for, sick leave and family leave available to those giving birth or adopting during the period of the appointment (i.e., during the academic year for those on academic year appointments, or any time for those on calendar year appointments). There are no work expectations for individuals on approved sick or family leave.

Requests for outside consulting during the period of modified duties are not usually approved.

A faculty member should submit a request for modified duties as early as possible so the department can plan appropriately. The request form is available on the provost’s Faculty Forms page. The plan of proposed activities is developed in consultation with the department head or chair and the director of Extension. The duties can be department-based, division-based, or a combination thereof.

Subject to available funding, the Office of the Executive Vice President and Provost provides an allotment to the faculty member’s unit to replace teaching (or to use in other ways relevant to the duties) that is lost through the granting of a term of modified duties. Additional support from departments and divisions is strongly encouraged and should be noted in this request.
Approval of the department head or chair, director of Extension, and provost are necessary. If the department head or chair does not support the request, the reasons for denial are provided in writing, and the request is automatically forwarded to the dean or director for further review.

### 14.10 Consulting Activities for Virginia Cooperative Extension Faculty

See chapter two for information on Conflicts of Interest and Conflicts of Commitment. Consistent with the university’s policy and procedures on consulting activities, additional restrictions may be imposed on the consulting activity of Virginia Cooperative Extension faculty members. These restrictions are imposed to give further assurance that consulting approval is not granted for assistance, that is the usual responsibility of faculty members within Extension.

It is recognized that the outreach responsibilities of Extension are broad and, thus, program assistance parameters are difficult to define. Consequently, the following procedures are designed to provide judgmental decisions by appropriate supervisory staff for consulting requests in ambiguous areas of program responsibilities.

A Request to Engage in External Activity must be filed using the university’s online Disclosure and Management System. The request outlines the nature of the consulting activity and why it falls outside the usual responsibilities of Extension, and is sent to the department head, chair, or immediate supervisor along with a letter outlining the nature of the consulting activity and why it falls outside the usual responsibilities of Extension. (The form is available on the [Conflicts of Interest and Commitment website](#).) Typically, consulting activities do not involve university sponsorship.

The department head, chair, or immediate supervisor reviews the Request to Engage in External Activity Form 13010A and either approves or disapproves it. If approval is granted, the request is sent to the college dean for approval. The director of Virginia Cooperative Extension grants final approval. If disapproval is exercised at any level, the request is sent back through the department head or supervisor, to the faculty member along with an explanation for the action. Additional review and approval by the university conflict of interest officer is required for disclosures involving business ownership interests of investigators (or their family members), significant financial interests related to sponsored research, or other sponsored activities, employment or funding of students/trainees/staff, and any proposed management plan.

Decisions are based upon, but not limited to, the following: consistency with guidelines stipulated in chapter two, “Consulting Activities for Virginia Cooperative Extension Faculty”; whether the area of consulting is found to be within or outside usual Extension responsibilities; and whether the time required falls within the number of consulting days allowed.
RESOLUTION TO APPROVE AN APPOINTMENT TO THE BLACKSBURG-VIRGINIA POLYTECHNIC INSTITUTE SANITATION AUTHORITY

The university is requesting approval to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as the Virginia Tech representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors.
RESOLUTION TO APPROVE AN APPOINTMENT TO THE BLACKSBURG-VIRGINIA POLYTECHNIC INSTITUTE SANITATION AUTHORITY

WHEREAS, the Blacksburg-Virginia Polytechnic Institute Sanitation Authority (the Authority) consists of five members who are responsible for the management and operation of the Authority; and,

WHEREAS, each of the political subdivisions have the right to appoint one member, and three at-large members are appointed jointly by the Virginia Tech Board of Visitors and the Blacksburg Town Council; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, currently serves as the university’s representative to the Authority for a term expiring December 31, 2027; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, will retire from his university position effective June 24, 2024; and,

WHEREAS, Virginia Tech desires to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as the university’s representative to the Authority, effective June 25, 2024, for the term expiring December 31, 2027;

NOW, THEREFORE, BE IT RESOLVED, that G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, be named the university’s representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors, effective June 25, 2024, for a term expiring December 31, 2027.

RECOMMENDATION:
That the resolution recommending G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, be named the university’s representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors be approved.

June 11, 2024
RESOLUTION TO APPROVE AN APPOINTMENT TO THE MONTGOMERY REGIONAL SOLID WASTE AUTHORITY

The university is requesting approval to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as the Virginia Tech representative and member on the Montgomery Regional Solid Waste Authority Board of Directors.
RESOLUTION TO APPROVE AN APPOINTMENT TO THE
MONTGOMERY REGIONAL SOLID WASTE AUTHORITY

WHEREAS, the Montgomery Regional Solid Waste Authority (the Authority) consists of five directors who are responsible for the management and operation of the Authority; and,

WHEREAS, one director is appointed by each of the four political subdivisions, and the other director is appointed jointly by all governing bodies; and,

WHEREAS, it is necessary to appoint members of its Board of Directors in accordance with the amended Articles of Incorporation; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, currently serves as the university’s representative for a term expiring June 30, 2026; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, will retire from his university position effective June 24, 2024; and,

WHEREAS, Virginia Tech desires to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as the university’s representative, effective June 25, 2024, for the term expiring June 30, 2026;

NOW, THEREFORE, BE IT RESOLVED, that G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, be named the university’s representative and member on the Montgomery Regional Solid Waste Authority Board of Directors, effective June 25, 2024, for a term expiring June 30, 2026.

RECOMMENDATION:
That the resolution recommending G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities be named the university’s representative and member on the Montgomery Regional Solid Waste Authority Board of Directors be approved.

June 11, 2024
RESOLUTION TO APPROVE AN APPOINTMENT TO THE
NEW RIVER VALLEY REGIONAL WATER AUTHORITY

The university is requesting approval to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as the Virginia Tech representative and member on the New River Valley Regional Water Authority Board of Directors.
RESOLUTION TO APPROVE AN APPOINTMENT TO THE NEW RIVER VALLEY REGIONAL WATER AUTHORITY

WHEREAS, the New River Valley Regional Water Authority (Authority) consists of five members who are responsible for the management and operation of the Authority; and,

WHEREAS, each of the political subdivisions have the right to appoint one member and one at-large member is appointed jointly by the Virginia Tech Board of Visitors, the Blacksburg and Christiansburg Town Councils, and the Montgomery County Board of Supervisors; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, currently serves as the university’s representative to the Authority for a term expiring June 30, 2024; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, will retire from his university position effective June 24, 2024; and,

WHEREAS, Virginia Tech desires to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as the university’s representative to the Authority for a term beginning July 1, 2024 and expiring June 30, 2028; and,

NOW, THEREFORE, BE IT RESOLVED, that G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities be appointed as the university’s representative to the New River Valley Regional Water Authority, effective June 25, 2024, to complete the current appointment term expiring June 30, 2024; and,

BE IT FURTHER RESOLVED, that G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, be named the university’s representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors for a term beginning July 1, 2024 and expiring June 30, 2028.

RECOMMENDATION:
That the resolution recommending G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities be named the university’s representative to and member on the New River Valley Regional Water Authority Board of Directors be approved.

June 11, 2024
RESOLUTION TO APPROVE THE DEMOLITION OF UNIVERSITY BUILDINGS
NO. 0438 AND NO. 0440A

The university requests approval to demolish Buildings No. 0438 (Poultry Isolation Building) and No. 0440A (Cinder Block Chicken House) located at the Vet Med Research Center on Prices Fork Road, in Blacksburg, Montgomery County, Virginia. Constructed in 1955, these two buildings were formerly used for poultry teaching and research programs. The buildings have fallen into disrepair and are beyond their useful life. The university desires to demolish the structures prior to further deterioration.

The university will obtain review from the Department of Historic Resources and the Art and Architecture Review Board, and any required approvals prior to the demolition of these structures.
RESOLUTION TO APPROVE THE DEMOLITION OF UNIVERSITY BUILDINGS
NO. 0438 AND NO. 0440A

WHEREAS, under the 2006 Management Agreement between the Commonwealth of Virginia and the university, the Board of Visitors has the authority to approve the demolition of any building or land; and,

WHEREAS, Buildings No. 0438 (Poultry Isolation Building) and No. 0440A (Cinder Block Chicken House) are located at the Vet Med Research Center on Prices Fork Road, in Blacksburg, Montgomery County, Virginia, and are beyond their useful life as experimental and teaching structures; and,

WHEREAS, the university desires to proceed with demolition of these structures prior to further deterioration; and,

WHEREAS, the university will obtain required approvals prior to the demolition of these structures;

NOW, THEREFORE, BE IT RESOLVED that the Board of Visitors approve the demolition of Buildings No. 0438 and 0440A located at the Vet Med Research Center on Prices Fork Road, in Blacksburg, Montgomery County, Virginia in accordance with the applicable statues of the Code of Virginia (1950), as amended.

RECOMMENDATION:
That the resolution authorizing the demolition of University Buildings No. 0438 and No. 0440A be approved.

June 11, 2024
RESOLUTION TO APPROVE THE
DEMOLITION OF
UNIVERSITY BUILDINGS
NO. 0438 AND NO. 0440A

LIZA MORRIS
ASSISTANT VICE PRESIDENT FOR PLANNING AND UNIVERSITY ARCHITECT

June 11, 2024
Building No. 0438
(Poultry Isolation Building)

Building No. 0440A
(Cinder Block Chicken House)

PROJECT SITE

DEMO L I T I O N  O F  U N I V E R S I T Y  B U I L D I N G S  0 4 3 8 & 0 4 4 0 A
EXISTING CONDITIONS

BUILDING NO. 0438

VIEW TO THE NORTHWEST

VIEW TO THE SOUTHEAST

/ DEMOLITION OF UNIVERSITY BUILDINGS 0438 & 0440A
EXISTING CONDITIONS

BUILDING NO. 0440A

VIEW TO THE WEST

VIEW TO THE NORTHEAST

/ DEMOLITION OF UNIVERSITY BUILDINGS 0438 & 0440A
That the resolution authorizing the Demolition of University Buildings No. 0438 and No. 0440A be approved.
The Hotel Roanoke Conference Center Commission was established by resolutions adopted by Virginia Tech on November 18, 1991 and by the City Council of the City of Roanoke, Virginia on April 13, 1992, pursuant to Chapter 440 of the 1991 Acts of Assembly of the Commonwealth of Virginia, adopted March 20, 1991, and as amended in 1994 and 1997. Section 21 B of the enabling legislation provides that the Commission shall annually, prior to April 1 of each year, prepare and submit to the participating parties (City of Roanoke and Virginia Tech) (i) a proposed operating budget showing its estimated revenues and expenses on an accrual basis for the forthcoming fiscal year, and if such estimated expenses exceed such estimated revenues, the portion of the deficit proposed to be borne by each participating, and (ii) a proposed capital budget showing its estimated expenditures for such fiscal year for assets costing more than $20,000 (or such higher amount as the Commission and the participating parties may determine) and having an estimated useful life of twenty years or more and the source of funds for such expenditures, including any amount requested from the participating parties.

The Commission has adopted and approved the operating budget and planned capital expenditures for fiscal year 2024-25 as shown on the following pages. Virginia Tech and the City of Roanoke will make equal contributions of $80,000 to the Commission for fiscal year 2024-25.

**RECOMMENDATION:**

That the Hotel Roanoke Conference Center Commission budget and capital plan for FY2024-2025 be approved.

June 11, 2024
## HOTEL ROANOKE CONFERENCE CENTER COMMISSION
### OPERATING BUDGET
### JULY 2024 - JUNE 2025

### Revenue from Participating Parties
- City of Roanoke: $80,000
- Virginia Tech: $80,000
- **Total Revenue from Participating Parties: $160,000**

### Revenue from Operations
- Conference Service: $3,926,128
- Garage and Parking: $660,291
- Miscellaneous Income: $589,469
- **Total Revenue from Operations: $5,175,888**

### Total Revenue
- **$5,335,888**

### Expenses – Commission Administrative
- Salaries and Fringe Benefits: $77,471
- Fees for Professional Services: $78,529
- Administrative Supplies: $1,000
- Training and Development: $2,500
- Commission Operations – Bank Fees: $500
- **Total Expenses – Commission: $160,000**

### Expenses – Departmental
- Conference Services: $1,973,486
- Garage & Parking: $293,168
- **Total: $2,266,654**

### Undistributed Operating Expenses
- Administrative & General: $558,744
- Information and Telecommunications Systems: $94,629
- Sales & Marketing: $916,150
- Property Operations: $369,832
- Utilities: $333,861
- **Total Undistributed Expenses: $2,273,216**

### Total Expenses
- **$4,699,870**

### Gross Operating Profit
- **$359,362**

### FF&E Reserve
- **$258,794**

### Earnings Before Interest, Taxes, Depreciation
- **$359,362**

### Management Fees
- **$100,000**

### Non-Operating Income & Expenses
- Rent: $132,027
- Property and Other Taxes: $2,250
- Other Income/Expenses: 0
- Insurance: $36,379
- Other: $6,000
- **Total Non-Operating Income and Expenses: $176,656**

### Total
- **$276,656**

### Net Income
- **$100,568**
Design for public space restrooms                                            15,000

Designer Fees for Meeting Rooms Renovations/Upgrade (Includes: carpet/pad, wall vinyl, planner kits, whiteboard, painting, doors, hardware, artwork, drapery and possible technology adjustments.) – Last performed 12/13  25,000

Contingency for Emergency Repairs/Replacements                                  100,000

Acoustical Ceiling Replacement (Phase 1 of 2)                                     100,000

Laundry room lighting and ceiling (10/90) $25K shared                                  2,500

Upgrade CCTV Systems (67/33) $15K shared                                             4,950

Air Handler Units on Kitchen Roof – Phase 2 of 3 – (32/68) $58K shared                       18,560

Parking lot lighting conversion to LED (50/50) $80K shared                              40,000

R&R Admin network switches (33/67) $35K shared                                       11,550

Lithonia lighting upgrade                                                              550,000

Admin PC replacement (33/67) $20K shared                                              6,600

HotSOS device refresh (33/67) $7,500 shared                                           2,475

Heating boiler replacement – phase 2 of 3 (33/67) $75K shared                          24,750

Security department key control platform and hardware (33/67) $25K shared               8,250

Replace large exterior doors                                                             9,000

Replace Varimixer 5qt (32/68) $3,500 shared                                           1,120

Tilt skillet 40gal Redesign space (32/68) $35K shared                                    11,200

Dough sheeter – large scale for banquets (32/68) $5,000 shared                         1,600

Automatic meat slicer (32/68) $5,000 shared                                           1,600

Replace CombiOven (32/68) $50K shared                                                  16,000

Convection oven (phase 1 of 4) (32/68) $40K shared                                     12,800

Shure ULX-D quad receiver & mics                                                      6,000

Tenant walk behind floor scrubber (33/67) $12K shared                                  3,960

Ford Transit shuttle van (25/75) $82K shared                                          20,500

Vacuum for conference services                                                        20,000

Gray ballroom drape – floor to ceiling                                               4,000

Replacement of 2 Christie DHD800 projectors (including rolling cases & fly kits)      26,000

Replacement of 2 Christie LX 400 projectors (with fly kits)                           8,000

Total                                                                                $1,051,415
RESOLUTION TO REVISE UNIVERSITY POLICY #12005
ON COMMEMORATIVE TRIBUTES

WHEREAS, the Board of Visitors of Virginia Polytechnic and State University is responsible for the commemorative naming of all buildings, portions of buildings, streets, major academic components of the university, and other physical facilities; and for authorizing the erection or hanging of plaques, portraits, or other permanent memorials honoring individuals or organizations on the campus or outlying properties of the university; and

WHEREAS, on May 16, 1969, the Board of Visitors adopted a Policy on Commemorative Tributes and appointed a Commemorative Tributes Committee to make recommendations to the President of the university and to the Board of Visitors regarding the conferring of commemorative tributes; and

WHEREAS, this policy has been revised periodically over the ensuing years as the university’s advancement program has matured and a need for further refinements has emerged; and

WHEREAS, the prior revision to this policy, approved on June 8, 2021, added guidelines for changing or removing names in tribute to individuals, thus reducing the potential risk associated with commemorative namings and making it possible now to remove the stipulation in the policy that buildings, physical facilities, and major academic units not be named for individuals employed by the university during the 12 months preceding the naming, although the Commemorative Tributes Committee will continue to give such proposals judicious consideration; and

WHEREAS, this revision formalizes the role of the Division of Campus Planning, Infrastructure, and Facilities (CPIF) in reviewing/recommending individual and corporate donor recognition signage and specifies gift ranges and associated specifications for corporate donor recognition signage;

NOW, THEREFORE, BE IT RESOLVED, that in consideration of the importance of the Policy on Commemorative Tributes to the university and to advancement opportunities, the Board of Visitors adopts the revised policy (Revision 10), effective immediately.

RECOMMENDATION:
That the above resolution adopting Revision 10 of the Policy on Commemorative Tributes be approved, effective immediately.

June 11, 2024
Policy on Commemorative Tributes

1.0 Purpose

The following policy and procedures apply to the commemorative naming of physical spaces and/or other entities the University Commemorative Tributes Committee will take under consideration, such as buildings, portions of buildings, streets or other physical facilities, land spaces, and to the erection and plan for donor recognition walls or hanging of plaques, portraits or other permanent memorials honoring individuals or organizations on the campus or outlying properties of the university, as well as specific academic units, such as departments, schools, colleges, institutes, or centers that may be named in honor of individuals.

2.0 Policy

The university will approve commemorative namings of buildings, physical facilities, specific academic components, external areas and land spaces such as gardens, lawns and plazas, and the erection of plaques, signs, and portraits as a commemorative tribute in appropriate instances where the university has significantly benefited from the relationship with the person or organization and such naming brings no adverse reflection on the university. The process for securing a naming opportunity is as follows:

1. The University Commemorative Tributes Committee is responsible for reviewing proposals for the naming, renaming, or removal of names of buildings, other physical facilities, centers, institutes, etc., and for making recommendations to the president.

2. After review, the president will submit his/her selected proposals for commemorative tributes to the Board of Visitors.

3. The Board of Visitors will act on those proposals recommended by the president. Final approval rests with the Board of Visitors. In rare situations in which there is an exceptional time sensitivity, the Board delegates to the President, contingent upon ratification by the full Board of Visitors at its next meeting.

4. The Board of Visitors authorizes the President, upon the recommendation of the Commemorative Tributes Committee, to approve the erection of plaques, permanent signs and other memorials (such as bricks and benches), and the commissioning and hanging of portraits related to the naming.

5. This policy applies only to the naming of facilities and physical spaces in honor of persons or organizations and does not apply to the identification of rooms or facilities with numbers, letters, colors, or generic terms.
2.1 Commemorative Tributes Committee

The Commemorative Tributes Committee will consist of the following:

1. Senior Vice President for Advancement, Chair
2. Executive Vice President and Provost
3. Executive Vice President and Chief Business Operating Officer
4. Vice President for Student Affairs
5. Vice President for Finance and Chief Financial Officer
6. Vice President for Strategic Affairs and Diversity*
7. President of the Faculty Senate (or designee)
8. President of the Undergraduate Student Senate (or designee)
9. Chief Executive Officer of the Virginia Tech Foundation, Inc.

(As the university’s organizational structure evolves, the President is authorized by the Board of Visitors to adjust the titles of the committee’s membership to reflect those organizational changes.)

* In the event that the role of Vice President for Strategic Affairs and Diversity is no longer held by one person and divided into two individual holders of the aforementioned positions, then the committee membership would be realigned to the senior administration role designated for the leadership of Inclusion and Diversity.

2.2 Policy for All Commemorative Tributes

1. Consideration should be given to the desirability of an appropriate relationship between the use of the physical facility and the person or organization for which the facility is named.

2. In reviewing proposals for names of buildings or other facilities, it is appropriate for the members of the Commemorative Tributes Committee to contact appropriate members of the university community to obtain and/or validate information.

3. Any building or other facility bearing the name of a person or organization should be clearly identifiable, distinctive, significant, enduring, and functional and should reflect honor on the person or organization for which it is named. Portions of buildings or rooms within buildings generally should meet these same criteria. In addition, names assigned to portions of buildings or rooms should be helpful to users in identification of the facilities.

4. External spaces, such as gardens, plazas, and lawns will go through the same review process as physical spaces.
   a. The steps to officially name a land space adjacent to an existing building in honor of an individual will require the same process as physical space namings. Further, a land-adjacent space will not assume the naming convention of the building physically situated next to the land.

5. This policy applies only to the naming of facilities and spaces in honor of persons or organizations and does not apply to the identification of rooms or facilities with numbers, letters, colors, or generic terms.

6. Buildings, physical facilities or major academic units are not named for individuals who have been employed by the university during the year preceding the naming. Exceptions may be granted in extraordinary cases.

Commented [HA1]: Striking this language to remove the 12-month separation rule and eliminate the need for exceptions.
In cases where the individual being honored may still be employed by the university but has been separated from the role for which his/her contributions have been most substantial for at least one year, the individual would qualify for an honorific naming.

6. Named structures and spaces will exist as long as a building is standing, or unless a major renovation occurs that will result in changes to the space. Circumstances will be evaluated on a case-by-case basis in circumstances where structures or spaces are removed or changed.

7. All Donor Recognition Signage for academic, non-academic, and athletic spaces, inclusive of satellite campuses beyond the main Blacksburg campus, must be reviewed and/or recommended by the Division of Campus Planning, Infrastructure, and Facilities (CPIF) to insure compliance with University Signage Standards, informed by the level of gift and appropriateness for the named building or space.

   a. Advancement and CPIF will partner, as appropriate, in the preparation of recommended donor recognition signage examples aligned with the level of gift, and include with proposal.

2.3 Policy for Names in Tribute of Corporate Entities

1. Corporate names are considered to be appropriate for naming of internal spaces and designated exterior locations (i.e., courtyards, gardens, athletic fields). Such naming opportunities must be stated in the proposal, as part of the negotiation, prior to consideration by the Commemorative Tributes Committee.

   a. Advancement and CPIF will partner in the preparation of recommended corporate donor recognition signage examples aligned with the level of gift, and include with proposal.

   b. Corporate donor signage recognition will be applied commensurate with level of gift:

      i. $0-$99,999 – Standard Signage Guidelines apply
      ii. $100,000 - $999,999 – Tier I Corporate Signage Guidelines apply
      iii. $1,000,000 - $2,499,999 – Tier II Corporate Signage Guidelines apply
      iv. $2,500,000 - $4,999,000 – Tier III Corporate Signage Guidelines apply
      v. $5,000,000 and over – Tier IV Corporate Signage Guidelines apply

   4. In the case of gifts defined as exceptional above the $5M level, the Design and Construction Standards Manual (DCSM) design waiver procedure may be employed in consultation with Advancement, CPIF, and the beneficiary area for appropriate recognition.

2. Corporate names are not considered to be appropriate for the external identification of buildings.

3. Naming privileges are to be negotiated for a period of up to ten years.

4. The naming privilege may be granted at the receipt of the pledge commitment and its first payment.

5. Exceptions may be granted in extraordinary situations.

2.4 Policy for Building Names in Tribute to Individuals

The following guidelines should be observed in naming buildings or portions of buildings:

1. Entire buildings, building additions, or portions of buildings may be named in honor of an individual or individuals.
2. The naming of a building, part of a building, or other facility or property of the university is a high honor and would not be done casually. The honor is reserved for those who have made extraordinary contributions to the University through their achievements in service and/or in financial support to the university.

3. To merit recognition in the naming of a building or portion of a building, an individual's relationship to the university should be truly exceptional in both quality and impact and be of significant duration.
   a. Honorary naming of buildings, exclusive of philanthropic contributions, is generally reserved for university presidents.

4. When financial contributions are a factor, the level of contribution needed to name a building, addition to a building, or portion of a building (as may be the case in a major renovation project) will vary depending on the financing considerations, purpose, size, prominence on campus, and the level of private support needed for construction. Such gift commitments must be tangible, payable over a defined pledge term, and the donor must provide a legally binding commitment enforceable against his/her assets/estate until the pledge is retired.

5. Prior to initiating the formal naming process, at least 75% of the gift commitment for the established naming opportunity must be received by the Virginia Tech Foundation, Inc. for any new construction or major renovation. When the naming opportunity is for an existing space with no associated debt service, it is recommended that at least 50% of the specified gift commitment be received before the naming process commences. Exceptions may be granted in extraordinary situations.
   a. In cases of existing construction, outright gifts and/or irrevocable deferred gifts, e.g., life income plans, may be used. The amount credited toward the naming opportunity will be based on the present value of the charitable gift plan.
   b. In cases of new construction and when financial support is needed for construction, only outright gifts of readily marketable assets may be used.
   c. The required gift level for naming spaces within buildings, such as auditoriums, classrooms, laboratories, etc., will be established following the same principles as to naming of existing major facilities.

6. Building names should reflect honor on the university as well as on the person or persons being honored and are considered to be permanent. When extraordinary circumstances arise where the removal or changing of a building name or individual named space may be warranted, those circumstances will be reviewed on a case-by-case basis in accordance with University Policy 12005, Section 2.4a.

2.4a Guidelines for Changing or Removing Names in Tribute to Individuals

1. For cases in which a review of a named building or space is warranted, the Commemorative Tributes Committee will receive and consider proposals for removal or changing of a name from members of the university community, including councils, commissions, authorized boards, and individuals with a verified and appropriate relationship with the university. Proposals to be considered must include justification, research, and ample information from which an informed and appropriate recommendation can be made.

2. The extraordinary circumstances that would warrant a review and potential recommendation for the removal or change of a named building or space include but would not be limited to:
   a. The building no longer exists. In this case, it is recommended that a commemorative plaque honoring the individual for which the former structure was named be placed within any new structure erected on the site of the former structure.
b. The individual for which the building or space was named has been found to not represent the values of the university through the discovery of information that dishonors the university and/or the individual.

c. Failure of the donor to fulfill the philanthropic commitment required and relied upon for the specific naming opportunity in the official agreement in place at the time of the approved building or space naming.

d. Request of the individual/donor/associated family member to remove or change the building or space name if the purpose and use of the space no longer aligns with the stated intentions at the time the naming was confirmed.

3. Notification of name changes will be public and transparent, in consultation with the office of communications and marketing for an appropriate communications plan.

2.5 Plaques and Portraits, and Miscellaneous Items of Recognition

1. Donor walls, plaques, portraits, and miscellaneous items (bricks, benches, etc.) should be encouraged to commemorate truly outstanding contributions, either in service or financial support, of persons or organizations.

2. Such tributes should be located inside or outside buildings or facilities that have strong identification with the persons or organizations being honored.

3. The cost of such plaques, portraits, and miscellaneous recognition items generally should be borne by donors interested in the tributes.

4. All internal and external designs need to be reviewed and approved by the Office of University Planning in accordance with university signage standards and design guidelines to assure compliance with the university’s master plan.

2.6 Departments, Schools, Colleges, Institutes, Centers, or Other Academic Units

1. A major academic unit may be named in honor of an individual in recognition of service to the university and/or in recognition of financial contributions sufficient to provide physical facilities and equipment for its academic and/or research programs, or which would provide sufficient income to cover an appropriate portion of the annual operating costs of the unit, or both.

2. The name applied to an academic unit should be appropriate to its purpose, and should reflect honor on the university as well as upon the person for which it is named.

3. Because the life of a university center or institute is not expected to continue indefinitely, gift funding for an institute or a center may be accomplished by endowment or current gifts. If accomplished by a current gift, the name of the institute or center shall generally be limited to the term during which the expendable gift provides funding. The policies and procedures for naming the center or institute shall be the same as for naming other major academic units of the university.

3.0 Procedures

4.0 Definitions

5.0 References
6.0 Approval and Revisions

Approved by the Board of Visitors on May 16, 1969 – Policy for Commemorative Tributes.

- Revision 1 - To update policy into standard policy format for inclusion in the University policies. Approved May 2, 1980 by the Board of Visitors.

- Revision 2 - Section 2.1 updated to include title changes of existing members and add additional vice presidents to the committee. Approved October 15, 1992 by the President, Dr. James McComas. Approved February 27, 2001 by the Vice President for Development and University Relations, Elizabeth A. Flanagan.

Administrative updates approved on October 31, 2001 by the President, Dr. Charles Steger.


- Revision 4
  April 1, 2008: Updates to position titles and/or responsibilities due to university reorganization.

- Revision 5
  The current university organization, additional procedural considerations giving context and definition to specific naming and funding options, and clarification of naming eligibility necessitates a full policy revision. This major revision updates the committee composition, modifies the 12-month separation rule to factor in eligibility based on the vacated role, incorporates the permanency of namings and the need to individually evaluate spaces that may move or cease to exist, defines the minimum criteria of philanthropic commitments that must be received from corporations and individuals before namings can be formally applied, and specifies the requirement that all identifying signage must be created in consultation with the Office of University Planning. Approved June 6, 2016 by the Board of Visitors.

- Revision 6
  The position of Vice Provost for Inclusion and Diversity was added to the membership of the Commemorative Tributes Committee, Section 2.1. Approved September 11, 2017 by the Board of Visitors. Approved September 11, 2017 by the President, Dr. Timothy D. Sands

- Revision 7
The title of the position of Vice Provost for Inclusion and Diversity was updated to Vice President for Strategic Affairs and Vice Provost for Inclusion and Diversity (Section 2.1).

- The Senior Vice President for Administration and Operations was added to the Committee membership (Section 2.1).
- New guidance was added relating to the gift commitment when the naming opportunity is for existing space with no associated debt service (Section 2.4, paragraph 5).
- In rare circumstances in which there is an exceptional time sensitivity, authority was delegated to the President, after consultation with the Rector, to approve a naming proposal, contingent upon ratification by the full Board of Visitors at its next meeting (Section 2.0, paragraph 3).

Approved November 5, 2018, by the Board of Visitors.

Approved by the Vice President for Advancement, Charles Phlegar on November 5, 2018.

• Revision 8
  - Incorporated references to non-physical, external land spaces to include gardens, lawns and plazas (Sections 1.0, 2.0, and 2.2, paragraph 4).
  - Added language to reflect the function of the committee to review proposals to rename or remove names, in addition to approve naming proposals. (Section 2.0, paragraph 1).
  - Updated process for naming external, land-adjacent spaces to named buildings. (Section 2.2, paragraph 4a).
  - Expanded definition of qualification for namings of former or current employees in accordance with the 12-month separation rule. (2.2, paragraph 6a).
  - Clarified that honorary building namings are generally reserved for university presidents. (Section 2.4, paragraph 3a).
  - Added exception clause for circumstances in which names that are considered permanent may be changed or removed from a building or individual named space. (Section 2.4, paragraph 6a).
  - Added Section 2.4a with guidelines for removing names in tribute to individuals.

Approved June 8, 2021, by the Board of Visitors.

Approved by the Vice President for Advancement, Charles Phlegar on June 8, 2021.

• Revision 9
  - Updated administrative/departmental titles.

• Revision 10
  - The title of the position of Executive Vice President and Chief Business Officer was updated to Executive Vice President and Chief Operating Officer. The title of the position Vice President for Finance was updated to Vice President for Finance and Chief Financial Officer. (Section 2.1)
  - Updated policy to remove the 12-month separation rule for university employees. (Section 2.2)
  - Added guidance for academic and non-academic units to include CPIF in the recommendation and review of donor recognition signage. (Section 2.2.7)
  - Expanded Section 2.3 on names in tribute of corporate entities to add review and recommendation of CPIF in proposed donor recognition signage.
Expanded Section 2.3 on names in tribute of Corporate entities to specify gift ranges and associated specifications for corporate donor signage recognition.
Revision to the Resolution for Authority to Loan Funds to University-Related Corporation

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

May 3, 2024

Background:

The Board of Visitors adopted a Resolution for Authority to Loan Funds to the New University-Related Corporation at its November 14, 2022 meeting granting authority at the President’s discretion to negotiate and execute service agreements and promissory notes or loan agreements from the university to a university-related Swiss corporation, VT Swiss, SA, a subsidiary of VTIC. The university desired to advance working capital to VT Swiss SA, to manage facilities and operations at the Steger Center for International Scholarship (Center). The resolution authorized the university to provide advance working capital up to a maximum of USD 250,000 to VT Swiss SA, to provide initial capitalization of CHF100,000 and continued authorization to provide working capital loan(s) of up to three months expenditures to finance operations at the Center.

The university frequently makes “internal loans” to operating units within the university to support start-up or operational costs related to the units or specific initiatives. The university has earlier provided such loans to outside related organizations.

Section 23-1.1010 of the Restructuring Act titled “Covered institutions; operational authority; creation of entities and participation in joint ventures” provides the Board of Visitors authority to approve loans or obligate university funds to or on behalf of its affiliated organizations or joint venture activities.

The basic conditions and requirements for the loan(s) included:

- the loan(s) will be made in accordance with established university procedures for authorizing internal loans to operating units;
- the loan(s) will not carry an interest rate;
- the loan(s) will be for initial capitalization requirements of the new entity and up to three months of planned operating expenses;
- the repayment on the university’s loan(s) will occur no later than at the conclusion of the Management Services Agreement for operation of the Center;
- the university departments requiring third party administration are responsible for repayment if at the end of the Management Services Agreement with the affiliated entity costs are disallowed or funds unrecoverable; and
- the loan(s) would be underwritten by the university’s research overhead funds, a nongeneral fund revenue source.
Due to increased operating budget costs of the Center, they have exceeded the three months of operating expenditures average of $250,000 (the current three month average operating expenditures is $390,000); therefore, the proposed resolution authorizes the university to increase the maximum cumulative advances up to $500,000 to VT Swiss SA, and allow an interest rate to be charged on the working capital loan at the discretion of the Vice President of Finance and Chief Financial Officer, in coordination with, the Vice President for Outreach and International Affairs.
RESOLUTION FOR AUTHORITY TO INCREASE LOAN TO UNIVERSITY-RELATED CORPORATION

WHEREAS, on November 14, 2022, the Board of Visitors granted authority at the President’s discretion to negotiate and execute service agreements and promissory notes or loan agreements from the university to a university-related Swiss corporation, VT Swiss, SA, a subsidiary of VTIC; and

WHEREAS, the university’s strategic plan envisions experiential learning opportunities such as study abroad; and

WHEREAS, the university operates the Steger Center for International Scholarship located in Riva San Vitale in Southern Switzerland as the university’s European center and base for study abroad programs and support of its research and scholarship symposia in the region and in Europe; and

WHEREAS, the university desires to increase advance working capital to a university-related Swiss Corporation, VT Swiss SA, to cover three months of operations expenditures at the Center; and

WHEREAS, on November 14, 2022, the Board of Visitors authorized the university to provide advance working capital up to a maximum of USD 250,000 to VT Swiss SA, to provide initial capitalization of CHF100,000 and continued authorization to provide working capital loan(s) of up to three months expenditures to finance operations at the Center; and

WHEREAS, under section 23-1.1010 of Restructured Higher Education Financial and Administrative Operations Act of the Code of Virginia the Board of Visitors has the authority to authorize such transactions,

NOW, THEREFORE BE IT RESOLVED, that the Board of Visitors authorizes the university to increase the maximum cumulative advances up to $500,000 to VT Swiss SA, to provide working capital loan(s) of up to three months of expenditures to finance operations at the Center and allow an interest rate to be charged on the working capital loan.

BE IT FURTHER RESOLVED, the Vice President of Finance and Chief Financial Officer, in coordination with the Vice President for Outreach and International Affairs, is authorized to structure the loan including repayment terms, and to execute the loan transactions to a university-related Swiss Corporation, VT Swiss SA, contingent upon the need for capitalization and advance working capital.

RECOMMENDATION:
That the resolution authorizing the university to increase loan working capital up to a maximum of $500,000 to a university-related Swiss Corporation, VT Swiss SA, be approved.

June 11, 2024
Resolution to Revise the University Council Constitution

WHEREAS, based on a three-year review by the President’s Committee on Governance, a restructuring of the university’s system of shared governance was codified in a new University Council Constitution and Bylaws, which was approved by University Council (UC Resolution 2021-22A) on March 21, 2022, and subsequently by the Board of Visitors on June 7, 2022, and became effective at the beginning of the 2022-23 academic year; and

WHEREAS, that resolution mandated a review of the new system of shared governance after the first and second years of implementation; and

WHEREAS, based on observations and experience during the first year of implementation, the attached set of recommendations is proposed to amend the University Council Constitution; and

WHEREAS, the proposed amendments to the University Council Constitution have received the requisite approvals by University Council, two-thirds of the senates, and the President of the University, and are now brought to the Board of Visitors for final approval;

NOW, THEREFORE, BE IT RESOLVED that University Council Constitution be revised as outlined in the attached document, effective immediately.

Recommendation:
To approve the resolution to revise the University Council Constitution.

June 11, 2024
Proposed Changes – UC Constitution

Article II. Purpose –

Existing:

In order for this system to function as intended, the roles and authority of its different components as presented in this document must be maintained, and participants in shared governance are expected to adhere to these statements of purpose, function, or charge. Senate and commission charges identify the areas of legislative authority and responsibility for the relevant body. These charges are not exhaustive: when questions arise regarding the relevance of the topic of a resolution to a commission or senate charge, they will be addressed to the parliamentarian and, if necessary, the University Council Cabinet. Per Article III Section 3 of the University Council Bylaws, the University Council Cabinet will review all resolutions for agreement with the commission’s charge. Determination of the authority of a commission to advance a resolution rests with the University Council Cabinet and the University Council.

Reason/rationale: (i) Generally, matters appropriate for policy development, revision, or discontinuance through shared governance are those that fall within the charges of the university and senate commissions as specified in the University Council Constitution; and (ii) delegating authority to the Office of the VP for Policy and Governance to approve resolution proposals that clearly fall within a commission’s charge expedites the resolution approval process and frees up the time of University Council Cabinet members to handle their other job responsibilities.

Proposed: _ (Reviewed by Cabinet 1/29/24 and 2/12/14) 

In order for this system to function as intended, the roles and authority of its different components as presented in this document must be maintained, and participants in shared governance are expected to adhere to these statements of purpose, function, or charge. Senate and commission charges identify the areas of legislative authority and responsibility for the relevant body. These charges are not exhaustive: when questions arise regarding the relevance of the topic of a resolution to a commission or senate charge, they will be addressed to the parliamentarian and, if necessary, the University Council Cabinet. Per Article III Section 3 of the University Council Bylaws, the University Council Cabinet will review all resolutions for agreement with the commission’s charge. At its discretion, University Council Cabinet may delegate limited authority to the Office of the Vice President for Policy and Governance to approve resolution proposals that clearly fall within a commission’s charge, and the OVPPG will regularly inform the University Council Cabinet of all such decisions. University Council Cabinet retains veto power over all such decisions made by the Office of the Vice President for Policy and Governance; ultimate determination of the authority of a commission to advance a resolution rests with the University Council Cabinet and the University Council.

Article IV. Membership, Section 1. Composition

Reason/rationale:

(i) The Department Heads Council is reorganizing and will have a president and vice president going forward.
(ii) COIA and CEOD are the only two commissions that do not report to a senate and instead report directly to University Council. The vice president for strategic affairs and diversity is already a member of University Council and can represent the CEOD. In contrast, COIA has no representation on University Council at that level; therefore, the addition of the vice president for outreach and international affairs is recommended.

(iii) Current language that the representatives on University Council are “of” the commission means that the individuals must be members of the respective commission. Changing to “elected by” does not limit the commission to choosing only from among its membership to serve on University Council.

(iv) Under the former governance system, it was the commission chairs who would introduce resolutions at University Council, and the intent was for that to continue under the new governance system (even though senates now must approve commission resolutions before they go to University Council). Making the commission chairs non-voting ex officio members of University Council would enable them to introduce and make a motion for approval of a resolution from their commission. (According to Robert’s Rules, non-voting members of a body may make or second motions/resolutions but cannot vote.)

(v) Taking up the time of Cabinet and University Council to approve continued membership of ex officio members who have a straight-forward title changes with no change in function would be highly inefficient.

Proposed: (reviewed by Cabinet 1/29/24)

Department Heads Council
Executive Committee co-chairs
president and vice president
Vice President for Outreach and International Affairs [since COIA is a university commission, as is CEOD, which already has a VP on University Council]

Four representatives of elected by the Commission on Equal Opportunity and Diversity
One representative of elected by the Commission on Outreach and International Affairs

Unless chairs of university and senate commissions are already serving on University Council through another affiliation, they will serve as ex officio, non-voting members of University Council concurrent with their term as commission chair to enable them to introduce and make a motion for approval of a resolution from their commission.

Revisions to the membership of the University Council follow the procedures for amendments contained in Article XIII of this constitution. Changes to titles of ex officio members of University Council or University Council Cabinet that are not accompanied by a significant role change may be made without following the amendment procedures.

### Article VI. University Council Cabinet, Section 3. Membership

Existing:

The University Council Cabinet consists of . . . members appointed or elected by the following bodies . . . One representative of the Department Heads Council Executive Committee.
Reason/rationale: The Department Heads Council is reorganizing and will have a president and vice president going forward.

Proposed: (Reviewed by Cabinet 1/29/24)

The University Council Cabinet consists of . . . members appointed or elected by the following bodies . . . One representative the chair or vice chair of the Department Heads Council Executive Committee.

Article VIII. Commissions, Section 2. Responsibilities

Reason/rationale: Some commissions have other non-policy-making functions, and in many cases these commissions have carried out these responsibilities for many years without involvement of a senate, University Council, or any other. There would be no benefit now to begin involving senates and University Council; doing so would unnecessarily complicate the functions and take up time of the senates and University Council that could be better spent on their other work.

Proposed – Add new paragraph at the end of the section, as follows: (Reviewed by Cabinet 1/29/24)

In some cases, a commission may have other non-policy-making functions that do not involve or require approval of any senate or University Council. Such functions are stated explicitly in a commission’s charge.

Section 7. Senate Commissions – Commission on Administrative and Professional Faculty Affairs (CAPFA)

Existing:

Commission on Administrative and Professional Faculty Affairs (CAPFA)

Charge: To study, formulate, and recommend to the Administrative and Professional (A/P) Faculty Senate policies and procedures affecting the working conditions of A/P faculty. Areas for consideration include morale of administrative and professional faculty; procedures for appointing, non-reappointing, evaluating, disciplining, recognizing, and promoting administrative and professional faculty; benefits, educational and personal leave, and extra-university professional activity; and matters of equity and diversity that affect A/P faculty. The commission is also responsible for reviewing allegations of unprofessional or unethical conduct against any A/P faculty member and grievances advanced to the level of the executive vice president and provost or the vice president for human resources and for advising these administrators prior to their taking action.

Reason/rationale: This change is requested by CAPFA and the AP Faculty Senate because the responsibilities highlighted have been shifted from the commission to the newly created AP Faculty Senate. This parallels the Faculty Senate model.
Proposed:  (Reviewed by Cabinet 1/29/24)

**Commission on Administrative and Professional Faculty Affairs (CAPFA)**

**Charge:** To study, formulate, and recommend to the Administrative and Professional (A/P) Faculty Senate policies and procedures affecting the working conditions of A/P faculty. Areas for consideration include morale of administrative and professional faculty; procedures for appointing, non-reappointing, evaluating, disciplining, recognizing, and promoting administrative and professional faculty; benefits, educational and personal leave, and extra-university professional activity; and matters of equity and diversity that affect A/P faculty. The commission is also responsible for reviewing allegations of unprofessional or unethical conduct against any A/P faculty member and grievances advanced to the level of the executive vice president and provost or the vice president for human resources and for advising these administrators prior to their taking action.

**Section 7. Senate Commissions – Commission on Graduate and Professional Student Affairs (CGPSA)**

**Existing:**

**Commission on Graduate and Professional Student Affairs (CGPSA)**

**Charge:** To study, formulate, and recommend to the Graduate and Professional Student Senate policies and procedures concerning graduate and professional student life and morale. Areas for consideration include working conditions for graduate assistants, graduate research assistants, and graduate teaching assistants; graduate and professional student relations with peers, staff, faculty, administrators, alumni, and the community; policy matters related to graduate and professional student conduct; graduate and professional student organizations, social life, and recreation; and residential life, health, safety, and quality of graduate and professional student-related services.

*Reason/rationale:* The proposed language captures the intent of the charge.

**Proposed:**  (Reviewed by Cabinet on 1/29/24)

**Commission on Graduate and Professional Student Affairs (CGPSA)**

**Charge:** To study, formulate, and recommend to the Graduate and Professional Student Senate policies and procedures concerning graduate and professional student life and morale. Areas for consideration include working conditions for graduate assistants, graduate research assistants, and graduate teaching assistants; graduate and professional student relations with peers, staff, faculty, administrators, alumni, and the community; policy matters related to graduate and professional student conduct; graduate and professional student organizations, social life, and recreation; residential life, health, safety, and quality of graduate and professional student-related services; and graduate and professional student well-being.

**Section 7. Senate Commissions – Commission on Research (COR)**

**Existing:**

**Commission on Research (COR)**
Charge: To study, formulate, and recommend to the Faculty Senate policies and procedures concerning research and research faculty. Areas for consideration include sponsored programs, core programs and interdisciplinary research; intellectual property; animal care and human subjects; indirect costs and returned overhead; research facilities, centers and institutes, and library resources; and liaison with affiliated corporations and institutes.

Reason/rationale: This long-standing duty of the commission is cited in Policy No. 13005: Centers and Institutes. The commission has relevant expertise and experience and is best able to conduct a knowledgeable, objective review of centers and institutes.

Proposed: (Reviewed by Cabinet on 1/29/24)

Commission on Research (COR)

Charge: To study, formulate, and recommend to the Faculty Senate policies and procedures concerning research and research faculty. Areas for consideration include sponsored programs, core programs and interdisciplinary research; intellectual property; animal care and human subjects; indirect costs and returned overhead; research facilities, centers and institutes, and library resources; and liaison with affiliated corporations and institutes. The Commission on Research also conducts reviews of centers and institutes as described in Policy 13005; this function does not involve or require approval of any senate or University Council.

Section 7. Senate Commissions – Commission on Undergraduate Student Affairs

Existing:

Commission on Undergraduate Student Affairs (CUSA)

Charge: To study, formulate, and recommend to the Undergraduate Student Senate policies and procedures pertaining to the undergraduate student experience at Virginia Tech. Areas for consideration include undergraduate student wellbeing, inclusion, and morale; undergraduate student relations with peers, staff, faculty, administrators, alumni, and the community; policy matters related to undergraduate student conduct; undergraduate student organizations, social life, and recreation; employment, placement, and counseling; and residential and campus life, health, safety, and quality of undergraduate student related services.

Reason/rationale: (i) The proposed well-being language captures the intent of the charge. (ii) This long-standing duty of the commission is cited in Policy 8012: Establishing and Maintaining a University-Chartered Student Organization. The commission has relevant expertise and experience and is best able to determine whether the constitutions of UCSOs should be approved. Note that the USS and GPSS themselves are special types of UCSOs, and one of the ways in which they differ from all other UCSOs is that the process for approving their constitutions is governed by the University Council Constitution, Article XIV: Amendments to Senate Constitutions or Bylaws (which is also cited in Policy 8012).

Proposed: (Reviewed by Cabinet on 1/29/24)

Commission on Undergraduate Student Affairs (CUSA)

Charge: To study, formulate, and recommend to the Undergraduate Student Senate policies and procedures pertaining to the undergraduate student experience at Virginia Tech. Areas for consideration
include undergraduate student wellbeing, inclusion, and morale; undergraduate student relations with peers, staff, faculty, administrators, alumni, and the community; policy matters related to undergraduate student conduct; undergraduate student organizations, social life, and recreation; employment, and placement, and counseling; and residential and campus life, health, safety, and quality of undergraduate student related services; and undergraduate student well-being. The Commission on Undergraduate Student Affairs also approves the constitutions of all University Chartered Student Organizations (UCSOs) except the student senates; this function does not involve or require approval of any senate or the University Council.

Section 7. Senate Commissions – Commission on Undergraduate Studies and Policies

Existing:

Commission on Undergraduate Studies and Policies (CUSP)

Charge: To study, formulate, and recommend to the Faculty Senate policies and procedures concerning undergraduate academic matters. Areas for consideration include library resources, admissions, academic progress, degree requirements, the Undergraduate Honor System and study environment, including approval of changes to the Undergraduate Honor Code; In-Honors programs, undergraduate curricular standards and expectations, advising, and instruction; student honors and awards; financial aid, scheduling, and registration.

Reason/rationale: The commission is best able to conduct a knowledgeable, objective review.

Proposed: (Reviewed by Cabinet on 2/12/24)

Commission on Undergraduate Studies and Policies (CUSP)

Charge: To study, formulate, and recommend to the Faculty Senate policies and procedures concerning undergraduate academic matters. Areas for consideration include library resources, admissions, academic progress, degree requirements, the Undergraduate Honor System and study environment, including approval of changes to the Undergraduate Honor Code; In-Honors programs, undergraduate curricular standards and expectations, advising, and instruction; student honors and awards; financial aid, scheduling, and registration. The commission also is responsible for conducting an annual review of the university academic catalog to ensure that it is in alignment with university policies and is otherwise accurate. Such reviews do not involve or require approval of any senate or University Council. Any policy changes determined to be necessary will be considered through the normal resolution approval process.
**Charge:** To study, formulate, and recommend to the Faculty Senate policies and procedures concerning graduate and professional academic matters. Areas for consideration include admissions, academic progress, degree requirements, commencement; registration and scheduling; graduate curricular standards and expectations, advising, and instruction, both of and by graduate students; research involving graduate students; financial assistance including assistantships, scholarships, and fellowships; the graduate and professional honor systems, including approval of changes to the Graduate Honor Codes; and library resources.

*Reason/rationale:* *The commission is best able to conduct a knowledgeable, objective review.*

**Proposed:** (Reviewed by Cabinet on 2/12/24)

**Commission on Graduate and Professional Studies and Policies (CGPSP)**

**Charge:** To study, formulate, and recommend to the Faculty Senate policies and procedures concerning graduate and professional academic matters. Areas for consideration include admissions, academic progress, degree requirements, commencement; registration and scheduling; graduate curricular standards and expectations, advising, and instruction, both of and by graduate students; research involving graduate students; financial assistance including assistantships, scholarships, and fellowships; the graduate and professional honor systems, including approval of changes to the Graduate Honor Codes; and library resources. *The commission is also responsible for conducting an annual review of the university academic catalog to ensure that it is in alignment with university policies and is otherwise accurate. Such reviews do not involve or require approval of any senate or University Council. Any policy changes determined to be necessary will be considered through the normal resolution approval process.*

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**Article XI. Meetings and Procedures, Section 1. Parliamentary Procedures.**

**Existing:**

The latest edition of *Robert’s Rules of Order [Webster’s New World Robert’s Rules of Order Simplified and Applied]*, subject to special rules as may be adopted by University Council, shall govern the procedures of the University Council and its internal and related components.

*Reason/Rationale:* *Switch to official, full-length Robert’s Rules for consistency. The full-length version can be found easily on line or in print.*

**Proposed:** (Reviewed by Cabinet on 2/12/24)

The latest edition of *Robert’s Rules of Order [Webster’s New World Robert’s Rules of Order Simplified and Applied]*, subject to special rules as may be adopted by University Council, shall govern the procedures of the University Council and its internal and related components.
Article XI. Meetings and Procedures, Section 2. University Council Procedures

Reason/rationale: To clarify the process for “appealing” a determination by University Council Cabinet that a resolution proposal is not within the charge of a commission.


4. In the case in which a resolution proposal was submitted to the University Council Cabinet and determined by the cabinet not to be within the purview of the respective commission, the respective commission chair or senator who is a member of University Council may make a verbal or written request to the secretary of University Council to place on the agenda for the next University Council meeting a “Request for Reconsideration of a Resolution Proposal,” in accordance with the University Council Bylaws, Article III, Section 3. The Request for Reconsideration automatically will be placed on the agenda for the next University Council meeting; the commission chair or senator who is a member of University Council should be present at the University Council meeting to present the resolution proposal for reconsideration and make a motion for its approval. The requirement for two readings at University Council is waived in this situation unless a deferral is requested.

Article XI. Meetings and Procedures, Section 2. University Council Procedures

Reason/rationale: (i) To expand communication of commission and committee activity; and (ii) to disseminate information about degrees approved or discontinued since these actions no longer require action by University Council in the new governance system.

Proposed: [New Paragraph 5] (Reviewed by Cabinet on 2/12/24)

5. Any commission and committee minutes approved since the last University Council meeting will also be included on the University Council agenda for information purposes. In addition, a listing of any degrees and certificates approved or discontinued since the last University Council meeting will be included on the University Council agenda for information purposes.

Article XII. University Mission Initiatives

Reason/rationale:
In spring 2023, University Council Cabinet was asked to consider a matter for consideration as a university mission initiative. After much discussion, Cabinet determined that the matter was already in implementation phase and thus not appropriate for the UMI process. However, it was the consensus of Cabinet members that this section of the UC Constitution needs to be revised and expanded upon to include more guidance (i.e., specific criteria and examples) to enable them to make a determination in the future as to whether a matter is appropriate for the UMI process.

Proposed: (Reviewed by Cabinet on 2/12/24 and 3/11/24 – There will be a clause to this effect in the Resolution that accompanies this document) It is recommended that a committee including individuals with appropriate expertise and representation be involved in the revision process for the purpose described above.
Article XIII. Amendments to the University Council Constitution or Bylaws, Section 3. Approval of Amendments to the Bylaws

Existing:

An amendment to the University Council Bylaws becomes effective upon an affirmative vote of the majority of the Council members present and voting, provided that a quorum has been reached, and approval by the president.

Reason/rationale: Efficiency. Taking up the time of Cabinet and University Council to approve continued membership of ex officio members who have a straight-forward title changes with no change in function would be highly inefficient.

Proposed: (Reviewed by Cabinet on 2/12/24)

An amendment to the University Council Bylaws becomes effective upon an affirmative vote of the majority of the Council members present and voting, provided that a quorum has been reached, and approval by the president. Changes to the titles of any ex officio members or chairs of the commissions and committees included in the bylaws that are not accompanied by a significant role change may be made without following these amendment procedures.

Article IV. Membership, Section 1. Composition
Article IV. Membership, Section 2. Voting Privileges
Article VI. University Council Cabinet, Section 3. Membership

Reason/rationale: The Vice President for Policy and Governance (VPPG) had voting privileges on University Council under the former governance system and functions basically the same as before. All other VPs on University Council/Cabinet have voting privileges. By virtue of position, the VPPG should also have voting privileges. (Note: The President does not have a vote because University Council is advisory to the President; the President has veto power over University Council’s actions.)

Proposed: (Reviewed by Cabinet on 2/12/24)

Restore voting privileges of the Vice President for Policy and Governance
RESOLUTION TO APPROVE AN APPOINTMENT TO THE NEW RIVER VALLEY PASSENGER RAIL STATION AUTHORITY

The university is requesting approval to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as a Virginia Tech representative and member on the New River Valley Passenger Rail Station Authority Board of Directors to fill the role vacated by Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, upon his retirement from the university.
RESOLUTION TO APPROVE AN APPOINTMENT TO THE NEW RIVER VALLEY PASSENGER RAIL STATION AUTHORITY

WHEREAS, the powers, rights, and duties of the New River Valley Passenger Rail Station Authority (the Authority) may be exercised by a Board of Directors; and

WHEREAS, the governing body of each member shall appoint two representatives to serve terms on the Board of Directors of the Authority; and

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, currently serves as a university representative to the Authority for a term expiring December 31, 2024; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, will retire from his university position effective June 24, 2024; and,

WHEREAS, Virginia Tech desires to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as a university representative to the Authority, effective June 25, 2024, to complete the current appointment term expiring December 31, 2024;

NOW, THEREFORE, BE IT RESOLVED, that G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, be appointed as a university representative to and member of the New River Valley Passenger Rail Station Authority Board of Directors to complete the current appointment term expiring December 31, 2024.

RECOMMENDATION:
That the resolution recommending that G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, be appointed as a university representative to and member of the New River Valley Passenger Rail Station Authority Board of Directors be approved.

June 11, 2024
RESOLUTION FOR APPROVAL OF APPOINTMENT TO
THE ROANOKE VALLEY BROADBAND AUTHORITY BOARD

WHEREAS, the Roanoke Valley Broadband Authority Board was established in 2013 by concurrent resolutions of the Board of Supervisors of Roanoke County, Virginia; the Board of Supervisors of Botetourt County, Virginia; the Council of the City of Roanoke, Virginia; and the Council of the City of Salem, Virginia, and its Articles of Incorporation pursuant to the provisions of the Virginia Wireless Services Authorities Act, Chapter 54.1, Title 15.2 of the 1950 Code of Virginia, as amended; and

WHEREAS, the Authority established and continues to expand its network footprint in the Roanoke Valley and now serves major education and research institutions in the Innovation District of the City of Roanoke and similar configurations in other valley localities; and

WHEREAS, the Authority’s governing board is comprised of seven members, one of which is to be nominated by Virginia Polytechnic Institute and State University; and

WHEREAS, the Board seat representing Virginia Polytechnic Institute and State University, having a term of four years, is to be appointed by the University Board of Visitors and subsequently approved by the Roanoke Valley Broadband Authority; and

NOW, THEREFORE, BE IT RESOLVED, that Jason Krisch, Director of Information Technology for the Fralin Biomedical Research Institute at VTC, is appointed by the Board of Visitors to succeed Scott Midkiff as the university’s representative on the Roanoke Valley Broadband Authority Board for a four-year term through December 12, 2028.

RECOMMENDATION:
That the Board of Visitors approve this resolution appointing Jason Krisch to represent Virginia Tech on the Roanoke Valley Broadband Authority Board for a four-year term through December 12, 2028.

June 11, 2024
§ 4-3.00 DEFICIT AUTHORIZATION AND TREASURY LOANS

§ 4-3.01 DEFICITS

a. GENERAL:

1. Except as provided in this section no state agency shall incur a deficit. No state agency receiving general fund appropriations under the provisions of this act shall obligate or expend moneys in excess of its general fund appropriations, nor shall it obligate or expend moneys in excess of nongeneral fund revenues that are collected and appropriated.

2. The Governor is authorized to approve deficit funding for a state agency under the following conditions:

   a) an unanticipated federal or judicial mandate has been imposed,

   b) insufficient moneys are available in the first year of the biennium for start-up of General Assembly-approved action, or

   c) delay pending action by the General Assembly at its next legislative session will result in the curtailment of services required by statute or those required by federal mandate or will produce a threat to life, safety, health or property.

   d) Such approval by the Governor shall be in writing under the conditions described in § 4-3.02 a Authorized Deficit Loans of this act and shall be promptly communicated to the Chairmen of the House Appropriations and Senate Finance Committees within five calendar days of deficit approval.

3. Deficits shall not be authorized for capital projects.

4. The Department of Transportation may obligate funds in excess of the current biennium appropriation for projects of a capital nature not covered by § 4-4.00 Capital Projects, of this act provided such projects a) are delineated in the Virginia Transportation Six-Year Improvement Program, as approved by the Commonwealth
Transportation Board; and b) have sufficient cash allocated to each such project to cover projected costs in each year of the Program; and provided that c) sufficient revenues are projected to meet all cash obligations for such projects as well as all other commitments and appropriations approved by the General Assembly in the biennial budget.

b. UNAUTHORIZED DEFICITS: If any agency contravenes any of the prohibitions stated above, thereby incurring an unauthorized deficit, the Governor is hereby directed to withhold approval of such excess obligation or expenditure. Further, there shall be no reimbursement of said excess, nor shall there be any liability or obligation upon the state to make any appropriation hereafter to meet such unauthorized deficit. Further, those members of the governing board of any such agency who shall have voted therefor, or its head if there be no governing board, making any such excess obligation or expenditure shall be personally liable for the full amount of such unauthorized deficit and, at the discretion of the Governor, shall be deemed guilty of neglect of official duty and be subject to removal therefor. Further, the State Comptroller is hereby directed to make public any such unauthorized deficit, and the Director, Department of Planning and Budget, is hereby directed to set out such unauthorized deficits in the next biennium budget. In addition, the Governor is directed to bring this provision of this act to the attention of the members of the governing board of each state agency, or its head if there be no governing board, within two weeks of the date that this act becomes effective. The governing board or the agency head shall execute and return to the Governor a signed acknowledgment of such notification.

c. TOTAL AUTHORIZED DEFICITS: The amount which the Governor may authorize, under the provisions of this section during the current biennium, to be expended from loans repayable out of the general fund of the state treasury, for all state agencies, or other agencies combined, in excess of general fund appropriations for the current biennium, shall not exceed one and one-half percent (1 1/2%) of the revenues collected and paid into the general fund of the state treasury as defined in § 4-2.02 b. of this act during the last year of the previous biennium and the first year of the current biennium.

d. The Governor shall report any such authorized and unauthorized deficits to the Chairmen of the House Appropriations and Senate Finance Committees within five calendar days of deficit approval. By August 15 of each year, the Governor shall provide a comprehensive report to the Chairmen of the House Appropriations and Senate Finance Committees detailing all such deficits.
TO: Presidents/Chancellors of the Atlantic Coast Conference Member Institutions
FROM: James J. Phillips, Ph.D.
Commissioner
DATE: May 8, 2024
SUBJECT: 2024-25 ACC Governing Board Certification Form

Please find attached a copy of the 2024-25 Atlantic Coast Conference Governing Board Certification form. A Member shall not be eligible to enter a team or individual competitors in a Conference championship unless its governing board makes an annual institutional certification, on a form approved by the Conference office as indicated in ACC Bylaw 2.11.2.

Please review this policy with your Governing Board and return the signed form to Tracey Haith at the Conference office by October 11, 2024.

Thank you and best regards.

Attachment

JP/BH:th

cc: Faculty Athletics Representatives
    Athletics Director
    Compliance Director
Atlantic Coast Conference

Governing Board Certification Form
Academic Year 2024-25

As Chair of the Governing Board at ________________________,

(institution name)

I attest that:

1) Responsibility for the administration of the athletics program has been delegated to the CEO of the Member.

2) The chief executive officer has the mandate and support of the board to operate a program of integrity in full compliance with NCAA, Conference and all other relevant rules and regulations.

3) The chief executive officer, in consultation with the faculty athletics representative and the athletics director, determines how the institutional vote shall be cast on issues of athletics policy presented to the NCAA and the Conference.

Date Presented to the Governing Board: ________________________

Signed: _______________________________________________

(Chair of the Governing Board)

Signed: _______________________________________________

(CEO/President/Chancellor of Member Institution)

Please email a copy of your completed form by October 11, 2024 to:

Tracey Haith
thaith@theacc.org
Date: 4/19/2024

To: Board of Visitors

Subject: Report of open contracts entered into subject to the Code of Virginia “State and Local Government Conflict of Interests Act” (“the Act”) § 2.2-3106 C. 8.

There were four contracts entered into at the time of this report (from 1/1/2024 – 3/31/2024) subject to the Act’s exception for prohibited contracts involving research and development or commercialization of intellectual property. Details as per the Act § 2.2-3106 E. are included below.

<table>
<thead>
<tr>
<th>Contract</th>
<th>1 (of 4)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open contract number</td>
<td>PBTWCBDZ</td>
</tr>
<tr>
<td>Names of parties</td>
<td>Virginia Tech and Phase AM</td>
</tr>
<tr>
<td>Date contract executed</td>
<td>12/22/23</td>
</tr>
<tr>
<td>Contract term</td>
<td>4/19/23 - 3/31/24</td>
</tr>
<tr>
<td>Subject of contract</td>
<td>&quot;Phase II: Additive manufacturing of PDMS microfluidics&quot;</td>
</tr>
<tr>
<td>Nature of COI</td>
<td>Zeke Barlow, Senior Director of Communications and Marketing Colleges with the Division of Communications and Marketing, has disclosed a greater than 3% equity interest in Phase AM. Phase AM has received an NIH SBIR Phase II award that will include a subaward to Virginia Tech. Zeke Barlow serves as a principal for the company and is not involved on the Virginia Tech side of this research. In the context of sponsored research, this financial interest represents a conflict of interest with state law implications. The Research Conflict of Interest Program has implemented a management plan to promote objectivity.</td>
</tr>
<tr>
<td>Institution employee responsible for administering contract</td>
<td>Trudy Riley, contract administration signatory Director, Virginia Tech Office of Sponsored Programs</td>
</tr>
<tr>
<td>The institution's commitment of resources or finances for the contract</td>
<td>N/A</td>
</tr>
<tr>
<td>---------------------------------------------------------------</td>
<td>-----</td>
</tr>
<tr>
<td>Details of how revenues are to be dispersed</td>
<td>N/A (no revenues will be generated)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Contract</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Open contract number</td>
<td>P224K57H</td>
</tr>
<tr>
<td>Names of parties</td>
<td>Virginia Tech and Sentek Instrument, LLC</td>
</tr>
<tr>
<td>Date contract executed</td>
<td>3/1/24</td>
</tr>
<tr>
<td>Contract term</td>
<td>2/12/24 - 11/11/24</td>
</tr>
<tr>
<td>Subject of contract</td>
<td>&quot;Distributed Magnetic Field Monitoring for Linear Superconducting Radio-Frequency Cavities&quot;</td>
</tr>
<tr>
<td>Nature of COI</td>
<td>Anbo Wang, Professor in the Department of Electrical and Computer Engineering, has disclosed an equity interest in Sentek Instrument, LLC exceeding 3% and the receipt of payments exceeding $5,000 in the past 12 months for serving as President and Chief Executive Officer for the company. Sentek Instrument, LLC has received a DOE SBIR Phase I award that includes a subaward to Virginia Tech. Anbo Wang will not be involved in the research. In the context of sponsored research, this financial interest represents a conflict of interest with state law implications. The Research Conflict of Interest Program has implemented a management plan to promote objectivity.</td>
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</tr>
<tr>
<td>---</td>
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</tr>
<tr>
<td>Open contract number</td>
<td>PJMN5RDC</td>
</tr>
<tr>
<td>Names of parties</td>
<td>Virginia Tech and The Tiny Cargo Company</td>
</tr>
<tr>
<td>Date contract executed</td>
<td>3/14/2024</td>
</tr>
<tr>
<td>Contract term</td>
<td>9/22/23 - 8/31/24</td>
</tr>
<tr>
<td>Subject of contract</td>
<td>&quot;Novel Drug Delivery Platform as Medical Countermeasure for treatment of Gastrointestinal Radiation Damage&quot;</td>
</tr>
</tbody>
</table>
| Nature of COI | Robert Gourdie, Professor at the Fralin Biomedical Research Institute (FBRI), has disclosed an equity interest in The Tiny Cargo Company exceeding 3% and serves as the president for the company. Robert Gourdie co-invented a novel drug delivery system using milk-derived exosomes that is owned by Virginia Tech and licensed to The Tiny Cargo Company. The Tiny Cargo Company has received an NIH STTR Phase I award that includes a subaward to Virginia Tech. Robert Gourdie will serve as the Principal Investigator for Virginia Tech.  

Sherri Cook, Associate Vice President for Virginia Tech Health Sciences and Technology, Finance, and Operations at FBRI, has disclosed an equity interest in The Tiny Cargo Company exceeding 3% and serves as a consultant and board member for the company. Sherri Cook is not involved in this research. Robert Gourdie and Sherri Cook are spouses and therefore hold the same financial interests described above.  

Spencer Marsh, Postdoctoral Associate in the Gourdie Lab at FBRI, has disclosed an equity interest in The Tiny Cargo Company exceeding 3% and has received payments exceeding $5,000 in the past 12 months for serving as a company principle. Spencer Marsh is a co-inventor of the exosomal drug delivery technology used in this research and will serve as the Principal Investigator for The Tiny Cargo Company.  

In the context of sponsored research, these financial interests represent a financial conflict of interest with state law implications. The Research Conflict of Interest Program has implemented a management plan to promote objectivity. |
| Institution employee responsible for administering contract | Trudy Riley, contract administration signatory  
Director, Virginia Tech Office of Sponsored Programs |
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<tr>
<td>Open contract number</td>
<td>PI4SYOBO</td>
</tr>
<tr>
<td>Names of parties</td>
<td>Virginia Tech and Takeda Pharmaceuticals U.S.A., Inc</td>
</tr>
<tr>
<td>Date contract executed</td>
<td>3/21/24</td>
</tr>
<tr>
<td>Contract term</td>
<td>1/1/24 - 9/30/25</td>
</tr>
<tr>
<td>Subject of contract</td>
<td>&quot;PEPI: Project ECHO for Primary Immune Disorders&quot;</td>
</tr>
<tr>
<td>Nature of COI</td>
<td>Nick Rider, Professor in the Department of Health System and Implementation Science at the Virginia Tech Carilion School of Medicine, has reported consulting with Takeda Pharmaceuticals U.S.A., Inc and has received compensation in excess of $5,000 in the past 12 months for service on the company’s Scientific Advisory Board. Virginia Tech has received an award from Takeda Pharmaceuticals U.S.A., Inc. Nick Rider is the Principal Investigator for Virginia Tech. In the context of sponsored research, this financial interest represents a financial conflict of interest with state law implications. The Research Conflict of Interest Program has implemented a management plan to promote objectivity.</td>
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# Closed Session Agenda

**ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE**

**June 11, 2024**

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<tr>
<th><strong>Agenda Item</strong></th>
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<td><strong>1.</strong> Motion to Begin Closed Session</td>
<td>C. Chenery</td>
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<td><strong>2.</strong> Resolution to Approve Appointments to Emeritus/a Status (4)</td>
<td>C. Clarke</td>
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<tr>
<td><strong>3.</strong> Resolution to Approve Appointments Endowed Chairs, Professorships, or Fellowships (14)</td>
<td>C. Clarke</td>
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<tr>
<td><strong>5.</strong> Resolution to Approve Appointments with Tenure-to-Title (1)</td>
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<td><strong>6.</strong> Resolution to Approve Faculty Research Leave (1)</td>
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<td><strong>7.</strong> Resolution to Approve 2023-24 Promotion, Tenure, and Continued Appointments <em>(shared with Finance and Resource Management Committee)</em></td>
<td>C. Clarke</td>
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<tr>
<td><strong>8.</strong> Ratification of Personnel Changes Report <em>(shared with Finance and Resource Management Committee)</em></td>
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</tr>
<tr>
<td><strong>9.</strong> Motion to End Closed Session</td>
<td>C. Chenery</td>
</tr>
<tr>
<td><strong>10.</strong> Report of Closed Session Action items</td>
<td>C. Chenery</td>
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*Requires Full Board Approval*
**Closed Session Briefing Report**

**ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE**

**June 11, 2024**

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* Requires Full Board Approval

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Carrie Chenery, chair of the Academic, Research and Student Affairs committee, will welcome committee members and request that a member of the committee make a motion to take the committee into closed session.

The committee will consider four resolutions for appointments to emeritus or emerita status.

The committee will consider 14 resolutions for appointments to endowed chairs, professorships, or fellowships.

The committee will consider a resolution to approve the tenured appointments of two faculty members.

The committee will consider a resolution to approve one tenure-to-title appointments in the Virginia Tech Carilion School of Medicine.

The committee will consider a resolution to approve one request for faculty research leave.

The committee will consider a resolution to approve 2023-24 Promotion, Tenure, and Continued Appointments.
President Timothy D. Sands and Executive Vice President and Provost Cyril Clarke recommend for approval the promotion, tenure, or continued appointment of those faculty members outlined in the Promotion, Tenure, and Continued Appointment report. This includes promotion and/or tenure appointments, promotion and/or tenure-to-title appointments in the Virginia Tech Carilion School of Medicine, instructor promotions, and promotion for extra-collegiate faculty including Extension agents and Extension specialists.

* 8. Ratification of Personnel Changes Report  
   C. Clarke

   The Faculty Personnel Changes Report is considered at each board meeting by the Academic, Research, and Student Affairs Committee and the Finance and Resource Management Committee. The report includes new faculty appointments and adjustments in salaries for faculty from the previous quarter based on payroll period dates.

9. Motion to End Closed Session  
   C. Chenery

   C. Chenery will request that a member of the committee make a motion to end the committee’s closed session.

10. Report of Closed Session Action Items  
    C. Chenery

   C. Chenery will report on those actions that were voted on during closed session.
Open Session Agenda

ACADEMIC, RESEARCH AND STUDENT AFFAIRS COMMITTEE

Tuesday, June 11, 2024

Agenda Item  Reporting Responsibility
1. Welcome  C. Chenery
2. Review and Approve Open Session Agenda  C. Chenery
3. Consent Agenda  C. Chenery
   A. Approval of April 9, 2024 Committee Meeting Minutes
   B. Report of Reappointments to Endowed Chairs, Professorships, and Fellowships
   C. Report of the 2024-25 Faculty Compensation Plan
      (shared for information purposes by Finance and Resource Management Committee)
   *D. Resolution to Approve Revised Extension Faculty Tracks
   *E. Resolution to Revise Faculty Handbook Language on Nominations to University Distinguished Professor and Alumni Distinguished Professor
   *F. Resolution to Update the Faculty Handbook Description of Expectations for Promotion and Tenure
   *G. Resolution to Approve 2024 – 2025 Student Code of Conduct
   *H. Resolution to Approve Organizational Change at the Off-Campus Northern Virginia Center Located in Falls Church, Virginia
   *I. Ratification of 2024-25 Faculty Handbook
4. Provost’s Update  C. Clarke
5. Virginia Tech Global Distinction  D. Sui, D. Taylor
6. Future Agenda Items and Adjourn  C. Chenery

* Requires Full Board Approval
# Discusses Enterprise Risk Management topic(s)
## Agenda Item

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<tr>
<td>Consent Agenda</td>
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<td>Provost’s Update and Discussion</td>
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<td>Virginia Tech Global Distinction</td>
<td>D. Sui, D. Taylor</td>
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<td>Future Agenda Items and Adjourn</td>
<td>C. Chenery</td>
</tr>
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* Requires Full Board Approval

# Discusses Enterprise Risk Management topic(s)
Open Session Agenda

BUILDINGS AND GROUNDS COMMITTEE

Monday, June 10, 2024
Tour departs at 3:30 p.m. from the Classroom Building.

<table>
<thead>
<tr>
<th>Agenda Item</th>
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</tr>
</thead>
<tbody>
<tr>
<td>1. Tour of North Academic District Construction Sites</td>
<td>Bob Broyden</td>
</tr>
<tr>
<td>a. Undergraduate Science Laboratory Building</td>
<td>Dwyn Taylor</td>
</tr>
<tr>
<td>b. Life, Health, Safety, Accessibility, and Code Compliance</td>
<td></td>
</tr>
<tr>
<td>c. Transit Center</td>
<td></td>
</tr>
<tr>
<td>d. Hitt Hall</td>
<td></td>
</tr>
</tbody>
</table>

Tuesday, June 11, 2024
Open session meeting begins at 10:00 a.m. in the Classroom Building, Room 230.

<table>
<thead>
<tr>
<th>Agenda Item</th>
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</tr>
</thead>
<tbody>
<tr>
<td>2. Welcome and Introductions</td>
<td>Greta Harris</td>
</tr>
<tr>
<td>3. Consent Agenda</td>
<td>Greta Harris</td>
</tr>
<tr>
<td>a. Minutes from the April 2024 Committee Meeting</td>
<td>Bob Broyden</td>
</tr>
<tr>
<td>* b. Resolution to Approve an Appointment to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority</td>
<td></td>
</tr>
<tr>
<td>* c. Resolution to Approve an Appointment to the Montgomery Regional Solid Waste Authority</td>
<td></td>
</tr>
<tr>
<td>* d. Resolution to Approve an Appointment to the New River Valley Regional Water Authority</td>
<td></td>
</tr>
<tr>
<td>* e. Resolution to Approve the Demolition of University Buildings No. 0438 and No. 0440A</td>
<td></td>
</tr>
<tr>
<td>f. Acceptance of the Quarterly Capital Project Status Report</td>
<td></td>
</tr>
<tr>
<td>4. Design Preview for the New Business Building</td>
<td>Liza Morris</td>
</tr>
<tr>
<td>6. Discussion of Physical Accessibility Process and Progress</td>
<td>Bob Broyden</td>
</tr>
<tr>
<td></td>
<td>Kelly Oaks</td>
</tr>
<tr>
<td>7. Annual Report of the University Building Official</td>
<td>Chris Kiel</td>
</tr>
<tr>
<td>8. Update on the Utilities Master Plan</td>
<td>Nam Nguyen</td>
</tr>
<tr>
<td>9. Future Agenda Items and Closing Remarks</td>
<td>Greta Harris</td>
</tr>
</tbody>
</table>

* Requires Full Board Approval
# Discusses Enterprise Risk Management Topic(s)
+ Discusses Strategic Investment Priorities Topic(s)
Open Session Briefing Report

BUILDINGS AND GROUNDS COMMITTEE

Monday, June 10, 2024

Open Session Tour

Tour departs at 3:30 p.m. from the Classroom Building.

1. Tour of North Academic District Construction Sites: The Committee will tour campus construction sites in the North Academic District.

   a. Undergraduate Science Laboratory Building: The Undergraduate Science Laboratory consists of approximately 102,400 gross square feet of new construction at the intersection of West Campus Drive and Perry Street. The purpose of the facility is to provide adequate laboratory and classroom space to support growth in Virginia Tech’s undergraduate science programs. Having last constructed a science laboratory building in the early 2000s, the university faces difficulty growing enrollment in these areas with the existing supply of space. The new facility also complements the adjacent Classroom Building completed in 2016. First included on the 2014-2020 Capital Outlay Plan, this $90.4 million project is funded entirely by state resources.

   b. Life, Health, Safety, Accessibility, and Code Compliance: Ensuring the safety, health, and accessibility of the campus environment is critical to the long-term success of the university and its service to the commonwealth. Three high-priority accessibility initiatives were identified by the university in the Life, Health, Safety, Accessibility, and Code Compliance category of the 2018-2024 Capital Outlay Plan. The university received total project funding of $10.4 million in Life, Health, Safety, Accessibility, and Code Compliance funds from the state for three priority projects.

   c. Transit Center: The Town of Blacksburg and the university entered a memorandum of understanding in 2012 and 2014 so that the town could develop the center to improve transit operations. The Town received grant funding from the Federal Transit Administration for the project and will operate the center through its department, Blacksburg Transit. The Transit Center is comprised of a new building, bus shelters, bus loop configurations to the east, west, and southwest, and will feature sustainable elements. The associated bus loops in the North Academic District of campus are aimed at improving the transit and alternate transportation services and safety of those services to Virginia Tech students, faculty, staff, and community. The center will centralize transit transfers and serve multiple modes of alternative transportation. The Transit Center is strategically located along
the Infinite Loop and will provide administrative space for transit operations, multi-use meeting space, and information services.

d. **Hitt Hall:** Located in the North Academic District, the site is off West Campus Drive in an area bounded by Perry Street to the north, Derring Hall to the south, Bishop-Favrao Hall to the east, and the Classroom Building to the northwest. The approximately 100,000 gross square feet, three-story facility is organized in two wings around a central circulation link and collaboration space. Hitt Hall will provide an expansion of the Myers-Lawson School of Construction, add critical dining capacity, and include general assignment academic spaces in a new combined program facility for Virginia Tech. The $85 million project is split funded with $25 million in gifts, $13 million in internal lease funding, and $47 million in auxiliaries funding. This project was first proposed as part of the 2018-2024 Capital Outlay Plan.

**Tuesday, June 11, 2024**

**Open Session Meeting**

*Open session meeting begins at 10:00 a.m. in the Classroom Building, Room 230.*

2. **Welcome and Introductions:** The Committee Chair will convene the meeting and provide welcoming remarks.

3. **Consent Agenda:** The Committee will consider for approval the items listed on the Consent Agenda.

   a. **Minutes from the April 2024 Committee Meeting:** The Committee will review for approval the minutes from its April 2024 meeting.

   b. **Resolution to Approve an Appointment to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority:** The Committee will review for approval an appointment to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority. The university is requesting approval to appoint Dwyn Taylor, Vice President for Campus Planning, Infrastructure, and Facilities, as the Virginia Tech representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors.

   c. **Resolution to Approve an Appointment to the Montgomery Regional Solid Waste Authority:** The Committee will review for approval an appointment to the Montgomery Regional Solid Waste Authority. The university is requesting approval to appoint Dwyn Taylor, Vice President for Campus Planning, Infrastructure, and Facilities, as the Virginia Tech representative and member on the Montgomery Regional Solid Waste Authority Board of Directors.
d. **Resolution to Approve an Appointment to the New River Valley Regional Water Authority:** The Committee will review for approval an appointment to the New River Valley Regional Water Authority. The university is requesting approval to appoint Dwyta Taylor, Vice President for Campus Planning, Infrastructure, and Facilities, as the Virginia Tech representative and member on the New River Valley Regional Water Authority Board of Directors.

e. **Resolution to Approve the Demolition of University Buildings No. 0438 and No. 0440A:** The Committee will review for approval an authorization to demolish university buildings no. 0438 and no. 0440A. The university requests approval to demolish buildings no. 0438 (Poultry Isolation Building) and No. 0440A (Cinder Block Chicken House) located at the Vet Med Research Center on Prices Fork Road, in Blacksburg, Montgomery County, Virginia. Constructed in 1955, these two buildings were formerly used for poultry teaching and research programs. The buildings have fallen into disrepair and are beyond their useful life. The university desires to demolish the structures prior to further deterioration. The university will obtain review from the Department of Historic Resources and the Art and Architecture Review Board, and any required approvals prior to the demolition of these structures.

f. **Acceptance of the Quarterly Capital Project Status Report:** The Committee will review for acceptance the quarterly capital project status report. The current active portfolio of projects includes 16 authorized projects -- active and complete (within a 1-year warranty phase), has a total value of approximately $1.1 billion, adds approximately 1.3 million gross square feet of new construction, and renovates nearly 255,000 gross square feet of existing space.

4. **Design Preview for the New Business Building:** The Committee will review for approval the design preview for the New Business Building. The Pamplin College of Business is nationally recognized for its business programs and is integral to Virginia Tech’s delivery of instruction and research programming in support of the commonwealth. The New Business Building project will provide a consolidated location for the college, allowing the college to amplify program impact, as well as couple with the Data and Decision Sciences building to complete the academic facilities of the Global Business and Analytics Complex (GBAC). Once complete, GBAC will be a transformative academic and physical addition to the North Academic District. The prominent site, on the corner of Prices Fork Road and West Campus Drive, presents the university a valuable opportunity to create a new campus gateway at this previously undeveloped primary intersection. The project is in preliminary design with working drawings anticipated to start in early 2025 and construction substantial completion anticipated for fall 2027. The project planning authorization, approved at the April 4, 2022 Board of Visitors meeting, includes $8
million of private gifts. The total project cost will be supported by a combination of private gifts, non-general fund cash, and university non-general fund debt.

5. **Design Preview and Review for the Life, Health, Safety, Accessibility, and Code Compliance – Priority 3**: The Committee will review for approval the joint design preview and review for the Life, Health, Safety, Accessibility, and Code Compliance – Priority 3 project. Ensuring the safety, health, and accessibility of the campus environment is critical to the long-term success of the university and its service to the commonwealth. This project is the third of three high-priority accessibility initiatives identified by the university in the Life, Health, Safety, Accessibility, and Code Compliance category of the 2018-2024 Capital Outlay Plan. The project is scoped to create a new accessible route on an existing primary pedestrian corridor to support equal access to key Education and General funded facilities in the North Academic District. The project is in the working drawings phase with construction anticipated to begin late fall of 2024 and to attain substantial completion summer of 2025. The university received total project funding of $10.4 million in Life, Health, Safety, Accessibility, and Code Compliance funds from the state for three priority projects, $1.86 million of which will be applied to this third priority project.

6. **Discussion of Physical Accessibility Process and Progress**: The Committee will participate in a discussion of physical accessibility process and progress with Bob Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, and Kelly Oaks, Associate Vice President for Equity and Accessibility. The discussion will focus on physical accessibility in context, process, prioritization mechanisms, integration within facilities planning, and resulting progress.

7. **Annual Report of the University Building Official**: The Committee will receive the annual report from the University Building Official, Chris Kiel. The University Building Official has primary responsibility for the proper management for, and enforcement of, the Virginia Uniform Statewide Building Code (VUSBC) to ensure that construction projects conducted on property owned by the university are completed in compliance with the code, related laws, and regulations. The office serves as primary liaison with outside regulatory agencies on code issues that affect the design, construction, and approval to occupy new university facilities or maintain existing facilities. The office was established in July 2010 after the Restructured Higher Education Financial and Administrative Operations Act of 2005 and the Management Agreement with the Commonwealth of Virginia granted the university the authority to designate its own building official. Organizationally, the University Building Official reports to the Board of Visitors through the Buildings and Grounds Committee.

8. **Update on the Utilities Master Plan**: The Committee will receive an update on the Utilities Master Plan from Nam Nguyen, Executive Director of Energy and Utilities. In 2018, Virginia Tech completed its most recent master planning effort resulting in 'Beyond Boundaries 2047: The Campus Plan. In 2020, Virginia Tech
revised its Climate Action Commitment, setting sustainability goals and milestones thru 2050. The Utilities Master Plan will provide a comprehensive framework to ensure that future programmatic needs are met and that the university remains a leader in the field of higher education infrastructure. The project is underway and expected to be completed in late 2024.

9. Future Agenda Items and Closing Remarks: The Committee will discuss potential topics for inclusion on future meeting agendas.
Closed Session Agenda

COMPLIANCE, AUDIT, AND RISK COMMITTEE

New Classroom Building, Room 260
June 10, 2024
9:30 am

<table>
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<td>Committee Member</td>
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<td>2. Update on Fraud, Waste, and Abuse Cases</td>
<td>Ryan Hamilton</td>
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<td>Sharon Kurek</td>
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<td>3. Discussion with the Vice President for Audit, Risk,</td>
<td>Sharon Kurek</td>
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<td>and Compliance and Chief Risk Officer</td>
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<tr>
<td>4. Motion to End Closed Session</td>
<td>Committee Member</td>
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</table>

# Discusses Enterprise Risk Management topic(s).
Compliance, Audit, and Risk Closed Session

1. **Motion to Begin Closed Session:** Motion to begin closed session.

2. **Update on Fraud, Waste, and Abuse Cases:** The Committee will receive an update on outstanding fraud, waste, and abuse cases.

3. **Discussion with the Vice President for Audit, Risk, and Compliance and Chief Risk Officer:** The Vice President will discuss employee performance and evaluation of performance of departments or schools of public institutions of higher education where such evaluation will involve discussion of the performance of specific individuals.

4. **Motion to End Closed Session:** Motion to end closed session.
# Open Session Agenda

**COMPLIANCE, AUDIT, AND RISK COMMITTEE**

**New Classroom Building, Room 260**  
**June 10, 2024**  
**10:00 am**

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<td>1. Welcome and Acceptance of Agenda</td>
<td>David Calhoun</td>
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<td>2. Consent Agenda</td>
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<td>a. Minutes from the April 8, 2024 Meeting</td>
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<tr>
<td>c. Audit Plan Status Report</td>
<td>David Calhoun</td>
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| d. Internal Audit Reports  
  i. Capital Campaign Processes and Reporting | Megan Richard  
  ii. Institute for Critical Technology and Applied Science | Jonathan South |
|  
  iii. Parking Services: Permitting Processes |  
  iv. IT: Internally Developed Software |  
  v. IT: Inventory and Classification |  
  e. Auditor of Public Accounts Intercollegiate Athletics Program Report |  
  f. Report on Audits of University-Related Corporations |  |
| 3. Annual External Audit Scope Discussion with the Auditor of Public Accounts | Megan Richard  
  Jonathan South |
| # 4. Overview of Athletics Compliance | Derek Gwinn |
| # 5. Enterprise Risk Management Update | Sharon Kurek |
| 6. Audit Plan for Fiscal Year 2024-25 | Justin Noble |
| 7. Compliance Plan for Fiscal Year 2024-25 | Suzanne Griffin |
| 8. Discussion of Future Topics | David Calhoun |

# Discusses Enterprise Risk Management topic(s).
Open Session Briefing Report

COMPLIANCE, AUDIT, AND RISK COMMITTEE

June 10, 2024

Compliance, Audit, and Risk Open Session

1. Welcome and Acceptance of the Agenda: The chair of the Compliance, Audit, and Risk Committee will provide opening remarks and ask for acceptance of the open session agenda.

2. Consent Agenda: The Committee will consider for approval and acceptance the items listed on the Consent Agenda.

   a. Minutes from the April 8, 2024 Meeting: The Committee will review and approve the minutes of the April 8, 2024 meeting.

   b. Update of Responses to Open Internal Audit Comments: The Committee will review the university’s update of responses to all previously issued internal audit reports. As of December 31, 2023, the university had 11 open recommendations. Nine audit comments were issued during the third quarter of the fiscal year. As of March 31, 2024, the university had addressed four comments, leaving 16 open recommendations in progress.

   c. Audit Plan Status Report: The committee will review the Audit Plan Status Report. The Office of Audit, Risk, and Compliance (OARC) has completed 63 percent of its audit plan, and 94 percent is underway, in accordance with the fiscal year 2023-24 annual audit plan.

   d. Internal Audit Reports: The following internal audit reports were issued by OARC since the April 8, 2024 meeting. Where applicable, management developed action plans to effectively address the issues in the report with a reasonable implementation timeframe. As noted above, OARC conducts follow-up on management’s implementation of agreed upon improvements for previously issued audit recommendations.

      i. Capital Campaign Processes and Reporting: The audit received an effective rating.
ii. Institute for Critical Technology and Applied Sciences: The audit received a rating of improvements are recommended. Low-priority recommendations of a less significant nature were noted related to service center billing and lab safety training.

iii. Parking Services: Permitting Processes: The audit received a rating of improvements are recommended. Low-priority recommendations of a less significant nature were noted related to use of license plate recognition (LPR) technology, voided parking permit processes, and Parking Services’ rules and regulations.

iv. IT: Internally Developed Software: The objective of the advisory engagement was to determine whether governance and controls over internally developed software were adequate and if best practices were deployed.

v. IT: Inventory and Classification: The objective of the advisory engagement was to determine whether the 2023 inventory and classification efforts were suitably designed to support completeness and accuracy.

e. Auditor of Public Accounts Intercollegiate Athletics Program Report: The Committee will receive a report on the Auditor of Public Accounts (APA) Intercollegiate Athletics review for fiscal year 2023. The APA performed certain agreed upon procedures to evaluate whether the Schedule of Revenues and Expenses of the Intercollegiate Athletics Programs for fiscal year ended June 30, 2023 is in compliance with the National Collegiate Athletic Association (NCAA) bylaws. The review did not constitute an audit and therefore no opinion was issued.

f. Report on Audits of University-Related Corporations: The university-related corporations include Virginia Tech Applied Research Corporation; Virginia Tech Foundation, Inc.; Virginia Tech Intellectual Properties, Inc.; Virginia Tech Services, Inc.; Virginia Tech Innovations Corporation (VTIC); and Virginia Tech India Research and Education Forum (VTIERF). Consistent with the Board of Visitors’ resolution establishing university-related corporations, each corporation is annually required to provide audited annual financial statements, management letters from external auditors, and management’s responses to the university’s president. Each corporation is also required to submit an annual certification stating that all procedures outlined in the resolution have been met. All corporations are
in full compliance with the Board of Visitors’ requirements regarding audits, except for VTIC whose audit has not yet been completed due to complexities related to the creation of a new subsidiary mid-year, Swiss Corporation, VT Swiss SA.

3. **Annual External Audit Scope Discussion with the Auditor of Public Accounts:** The Committee will meet with the APA for a discussion of the scope of the audit of the 2023-24 financial statements and the APA’s plans for conducting and completing the audit.

4. **Overview of Athletics Compliance:** The Committee will receive an overview of athletics compliance and the changes in the external landscape, as it relates to the institution’s enterprise risks.

5. **Enterprise Risk Management Update:** The Committee will review an update of the Enterprise Risk Management (ERM) program activity during fiscal year 2023-24, including the refreshed governance structure, the updated enterprise risk landscape delineated by the university’s tripartite mission and support environments, and the heat map with a focus on the top ten risks. The mapping of the enterprise risk landscape shows the alignment of risks with the two main university goals, the Virginia Tech Advantage and Virginia Tech Global Distinction.

6. **Audit Plan for Fiscal Year 2024-25:** OARC will present the Audit Plan for Fiscal Year 2024-25 to the Compliance, Audit, and Risk Committee for review and approval. An annual risk assessment was conducted to identify the entities that should receive audit attention in fiscal year 2024-25 and a core audit plan was developed in coordination with the university’s ERM initiative. For fiscal year 2024-25, 24 audit projects and 6 management advisory services are proposed, with approximately 75 percent of OARC’s available resources committed to the completion of planned projects. A description of each project is provided within the audit plan. OARC’s goal will be to complete 85 percent of the audit plan. The internal audit plan may be modified based on the external audit environment or changes in regulations, management, or resources.

7. **Compliance Plan for Fiscal Year 2024-25:** OARC will present the Compliance Plan for Fiscal Year 2024-25 to the Compliance, Audit, and Risk Committee for review and approval. As part of the process for developing the proposed plan, both a leadership survey and discussions with leadership were conducted to identify priority compliance risk areas for focus and to gain leadership insights. The proposed institutional compliance program plan for 2024-25 focuses on
priority compliance risk areas in support of Virginia Tech’s pursuit of its strategic goals. In addition, the plan correlates programmatic activities with the elements of an effective compliance program.

8. **Discussion of Future Topics**: The Committee will discuss topics to be covered in future committee meetings.
Closed Session Agenda
FINANCE AND RESOURCE MANAGEMENT COMMITTEE
Room 260, New Classroom Building
8:45 a.m.
June 11, 2024

<table>
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<tbody>
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<td>1. Motion for Closed Session</td>
<td>John Rocovich</td>
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<td>* 2. Ratification of Personnel Changes Report</td>
<td>Amy Sebring</td>
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<tr>
<td>* 3. 2023-24 Promotion, Tenure, and Continued Appointment Program</td>
<td>Amy Sebring</td>
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* Requires full Board approval
# Discusses Enterprise Risk Management topic(s)
+ Discusses Strategic Investment Priorities topic(s)
Closed Session

1. Motion for Closed Session


* 3. 2023-24 Promotion, Tenure, and Continued Appointment Program: The Committee will review and approve the 2023-24 Promotion, Tenure, and Continued Appointment Program.
### Agenda Item

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<td>Dave Calhoun</td>
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<td>3. Consent Agenda</td>
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<tr>
<td>a. Approval of Items Discussed in Closed Session</td>
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<td>b. Approval of Minutes of the April 8, 2024 Meeting</td>
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<td>c. Auditor of Public Accounts Intercollegiate Athletics Program Report for Year Ended June 30, 2023</td>
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<td>* d. Approval of 2024-25 Hotel Roanoke Conference Center Commission Budget</td>
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<td>* e. Approval of Revisions to Policy 12005, Policy on Commemorative Tributes</td>
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<td>* f. Approval of Revision to the Resolution for Authority to Loan Funds to University-Related Corporation</td>
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<td>* g. Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies</td>
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<td>4. Update from the Chief Operating Officer</td>
<td>Amy Sebring</td>
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<td># 5. Update on Advancement</td>
<td>Charlie Phlegar</td>
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<td>*#+ 6. Approval of 2024-25 University Operating and Capital Budgets</td>
<td>Amy Sebring</td>
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<td>Tim Hodge</td>
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<td>Rob Mann</td>
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<td>* 7. Approval of Resolution to Amend Delegation of Authority for Selected Personnel Actions</td>
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<td>* 8. Approval of 2024-25 Faculty Compensation Plan</td>
<td>Tim Hodge</td>
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<td>* 9. Approval of 2024-25 Compensation for Graduate Assistants</td>
<td>Tim Hodge</td>
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<td>*#+ 10. Approval of Graduate Candidacy Status Tuition Rate</td>
<td>Tim Hodge</td>
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<td>* 11. Approval of Year-to-Date Financial Performance Report (July 1, 2023 – March 31, 2024)</td>
<td>Tim Hodge</td>
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<td>Rob Mann</td>
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<tr>
<td>12. Discussion of Future Agenda Topics and Closing Remarks</td>
<td>Dave Calhoun</td>
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* Requires full Board approval
# Discusses Enterprise Risk Management topic(s)
+ Discusses Strategic Investment Priorities topic(s)
Open Session

1. Motion to Reconvene in Open Session

2. Welcome and Opening Remarks

3. Consent Agenda: The Committee will consider for approval and acceptance the items listed on the Consent Agenda.

   a. Approval of Items Discussed in Closed Session: The Committee will review and approve the items discussed in closed session.

   b. Approval of Minutes of the April 8, 2024 Meeting: The Committee will review and approve the minutes of the April 8, 2024 meeting.

   c. Auditor of Public Accounts Intercollegiate Athletics Program Report for Year Ended June 30, 2023: The Auditor of Public Accounts (APA) published its Intercollegiate Athletics Program review for fiscal year 2023. The APA performed certain agreed-upon procedures to evaluate whether the Schedule of Revenues and Expenses of the Intercollegiate Athletics Program for fiscal year ended June 30, 2023, is in compliance with the National Collegiate Athletic Association (NCAA) bylaws. The Schedules were found to be in material compliance.

   d. Approval of 2024-25 Hotel Roanoke Conference Center Commission Budget: The Hotel Roanoke Conference Center Commission was established by resolutions adopted by Virginia Tech and the City of Roanoke, under Commonwealth of Virginia enabling legislation. The enabling legislation provided that the Commission shall annually prepare and submit to both the City of Roanoke and Virginia Tech a proposed operating budget showing its estimated revenues and expenses for the forthcoming fiscal year. If the estimated expenses exceed the estimated revenues, the portion of the unfunded balance is to be borne equally by each participating party for the operation of the conference center.

   e. Approval of Revisions to Policy 12005, Policy on Commemorative Tributes: The proposed revisions to Policy 12005, Policy on Commemorative Tributes include removing the 12-month separation rule, which stipulates that buildings, physical facilities, or major academic units are not to be named for individuals employed by the
university during the year preceding the naming, from the policy; this proposed change eliminates the need to grant exceptions to this rule. Other adjustments to this policy include establishing tiers and standards for recognition signage for both corporate and individual donors and formalizing the coordination between the Division of Campus Planning, Infrastructure, and Facilities (CPIF) and University Advancement in reviewing and recommending individual and corporate donor recognition.

f. **Approval of Revision to the Resolution for Authority to Loan Funds to University-Related Corporation:** The university desires to increase advance working capital to a university-related Swiss Corporation, VT Swiss SA, to cover three months of operations expenditures at the center. This proposed revision authorizes the university to increase loan working capital to a maximum of $500,000.

g. **Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies:** This is the university’s annual notification to the Board of Visitors detailing the provisions of the Appropriation Act relating to indebtedness of state agencies, or unauthorized deficits.

4. **Update from the Chief Operating Officer:** Amy Sebring, Executive Vice President and Chief Operating Officer, will provide an update on the university’s Six-Year Plan submission to the state and the Virginia Tech Foundation’s plans for Hotel Roanoke Conference Center improvements. Amy will also introduce the university’s new Vice President for Finance and Chief Financial Officer, Simon Allen, and recognize Interim Vice President for Campus Planning, Infrastructure, and Facilities, Bob Broyden, upon his retirement.

5. **Update on Advancement:** Charlie Phlegar, Senior Vice President for Advancement, will provide a report on University Advancement’s work on volunteer boards and their fundraising efforts including current engagement numbers, giving totals, projections of future support through bequests, and communications and marketing efforts.

6. **Approval of 2024-25 University Operating and Capital Budgets:** The Committee will review for approval the proposed university operating and capital budgets for 2024-25.

The Operating Budget for the 2024-25 fiscal year has a recommended internal budget for all operations of $2.3 billion. This is an increase of $156.4 million, approximately 7.4 percent, over the adjusted budget for last year. The university’s total General Fund allocation is estimated to be approximately $450.7 million, an increase of $37.5 million over last year’s adjusted budget. General Fund revenues will provide $407.8 million in support for the instructional, research, and extension programs, $39.3 million for student financial assistance, and $3.6 million for the Unique Military Activities program. The increase in the General Fund will primarily be used to fund the salary increases included in the state budget.
The overall change in the budget includes an increase of $66.1 million attributable to the Educational and General programs and $22.4 million of projected growth in Auxiliary Enterprises. The Auxiliary Enterprise budget includes the budgets of four Auxiliary Systems; the Dormitory and Dining Hall System, the Electric Service Utility System, the University Services System, and, the Athletic Facilities System, in accordance with the resolutions authorizing and securing revenue bonds. The university’s Educational and General budget will be $1.2 billion and the Auxiliary Enterprise revenue budget is $480.4 million for fiscal year 2024-25. The projected annual budget for Sponsored Programs is $510.1 million, an increase of $73.6 million, or 16.9 percent higher than the adjusted budget for last year.

Understanding that strategic investments will not be realized solely through incremental new revenue, the university is planning for $25M of reinvestments over the next five years to support a portion of the multi-year initiative vision.

The Capital Budget capital outlay program for 2024-25 is comprised of 16 Educational and General projects and five Auxiliary Enterprise projects for a total of 21 projects. The total multi-year capital program for 2024-25 includes approximately $1.17 billion of authorizations with an annual expenditure budget of approximately $184 million for 2024-25.

7. Approval of Resolution to Amend Delegation of Authority for Selected Personnel Actions: The Committee will review for approval the Resolution to Amend Delegation of Authority for Selected Faculty Personnel Actions. This resolution proposes the amendment of the delegation of authority to delegate the implementation of Board-approved faculty compensation plans, to conform with the new Policy 4005, Exceptional Recruitment and Retention Incentive Options Policy, and to authorize the university to evaluate and adjust the threshold for salary actions based on merit or market changes.

8. Approval of 2024-25 Faculty Compensation Plan: The Committee will review for approval the 2024-25 Faculty Compensation Plan. Based on the university’s understanding of the state budget, a three percent faculty salary increase, effective on the July 1, 2024 paycheck, has been planned.

The university traditionally implements such state increases differentially on the basis of merit. In anticipation of this program, merit recommendations were developed during the spring of 2024, consistent with the proposed 2023-24 Faculty Compensation Plan. Implementation of this increase is subject to Board approval.

To maintain and improve upon the university’s standing relative to the 50th percentile of the Top 20 Land Grant peers, the higher levels of competing offers received by key faculty, and to minimize the high cost of turnover, the university will continue to explore opportunities to improve the competitiveness of Virginia Tech faculty compensation.
9. **Approval of 2024-25 Compensation for Graduate Assistants:** The Committee will review for approval the proposed 2024-25 schedule of stipends and support for the health insurance program for graduate students. The university proposes a three percent increase in the stipend scale and the establishment of a minimum stipend of $2,610 per month.

10. **Approval of Graduate Candidacy Status Tuition Rate:** The Committee will review for approval the proposed Graduate Candidacy Status tuition rate. In March 2021, the Board of Visitors approved a lower tuition rate for research and dissertation hours for doctoral students who have completed two years of course work, passed their preliminary exam, and are engaged in research and dissertation efforts. The reduced tuition rate for Candidacy Status is intended to incentivize time-to-degree for Ph.D. students, minimize the cost to research programs, and better position the university within the competitive market.

    To further advance these goals and support the Virginia Tech Global Distinction initiative, the university proposes increasing the Candidacy Status discount from 10 percent to 15 percent, effective Fall semester 2024.

11. **Approval of Year-to-Date Financial Performance Report (July 1, 2023 – March 31, 2024):** The Committee will review for approval the Year-to-Date Financial Performance Report for July 1, 2023 to March 31, 2024. For the third quarter, budget adjustments were made to reflect revisions to projected revenues and expenditures. The report shows the actual revenues and expenses compared to the budgets and the overall status and expenditures of ongoing capital projects.

12. **Discussion of Future Agenda Topics and Closing Remarks:** The Committee will discuss possible topics for future meetings and other topics as needed.
Proposed FY25 Operating and Capital Budgets

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

May 16, 2024

The university provides the Board of Visitors with an overview of the operating budget and capital cash flows for the upcoming fiscal year to enable board action in advance of July 1. Attached schedules include Schedule 1, which displays the university’s overall operating budget; Schedule 2, which displays the Auxiliary budgets; and Schedule 3, which displays the projected fiscal year cash flows of previously approved capital projects.

State Appropriations

The Special Session of the 2024 General Assembly adjourned May 13 after approving the state’s 2024-26 biennial budget. The biennial budget provides the university with an understanding of the level of state support, costs, and policy for university program budgets. Virginia Tech anticipates an initial state authorization of $2.0 billion for fiscal year FY25 to carry out all its programs, based on the forecast of direct appropriations to the university. However, the annual internal budget varies from the external expenditure authorization for several reasons, some of which increase the annual expenditure authority while others reduce the expenditure plans. For example, the university’s expenditure authorization will be adjusted when the state allocates funding for the state share of compensation and fringe benefit rate changes. Additionally, under the sum sufficient authority granted as part of restructuring, nongeneral fund appropriations may be established as needed by the institution. For these reasons, the total internal budget presented to the Board of Visitors in Schedule 1 totals $2.3 billion.

Forecast of State Budget Revenue Changes

For FY25, the university forecasts an incremental increase in General Fund appropriation of $37.5 million from the adjusted FY24 budget. This is comprised of an estimated General Fund increase of $26.2 million for Educational and General (E&G) programs in the University Division (Agency 208), an estimated increase of $3.2 million for the programs in the Cooperative Extension and Agricultural Experiment Station (Agency 229), an increase of $6.0 million in General Fund support for the VT Patient Research Center under Financial Assistance for E&G Programs, and an increase of $2.1 million for undergraduate and graduate Student Financial Aid.
As shown in Table 1 on page 4, the General Fund increase for the University Division includes changes in direct appropriations, the estimated general fund share of state compensation program, fringe benefit rate increases, and Virginia Military Survivors & Dependents Education Program (VMSDEP). The university planning assumptions anticipate State support for Agency 208 will include $9.0 million to minimize in-state undergraduate tuition rate increases, improve retention and graduation and increase degree production in high demand programs. The details of the projected state support are further described in each budget section.

With these state resources, the state support per Virginia student will grow in FY25. Total state support per Virginia student for FY25 is projected to be 27.7 percent above the funding provided in 2001. The growth in per-student funding is a positive signal of the state’s continued support of higher education and for Virginia Tech. The university enrolls over 5,100 additional Virginia undergraduates as compared to fall 2004. However, adjusted for inflation, the university will receive 33.5 percent less General Fund support per student than in fiscal year 2001, as seen in Figure 1. It is important to note that this analysis presents the state support in the most favorable light since it includes all General Fund resources allocated to E&G, including support for activities beyond instruction such as research and public service. Figure 1 below is presented in this manner because it is a commonly utilized perspective by external groups.

![Figure 1: General Fund Resident Per Student Inflation adjusted to 2000's (HEPI)](chart)
Proposed Budgets for FY25

For FY25, the recommended internal budget for all operations is $2.3 billion. This is an increase of $156.4 million, approximately 7.4 percent, over the adjusted FY24 budget. This increase reflects changes in nongeneral fund revenues for FY25 and outcomes of the 2024 General Assembly Special Session which impacts the FY25 General Fund appropriation. The overall change includes an increase of $66.1 million attributable to the E&G program, $22.4 million of projected growth in Auxiliary Enterprises, $73.6 million attributable to Sponsored Programs, and $1.8 million in Student Financial Assistance. The overall change includes a decrease of $7.5 million in All Other Programs due to removal of a FY24 one-time item.

The total General Fund allocation is estimated to be approximately $450.7 million, an increase of $37.5 million from the FY24 adjusted budget. General Fund revenues will provide $407.8 million in support for the instructional, research, and extension programs, $39.3 million for student financial assistance and $3.6 million for the Unique Military Activities program.

As shown in Figure 2 below, the General Fund appropriation represents 26.6 percent of the University Division’s E&G budget (as compared to 53.6 percent in the FY02 budget) and 19.9 percent of the total budget.

![Figure 2: University Division Fund Split](image-url)
Schedule 1 displays the proposed operating budgets for FY25 by major program and revenue and expense category. Schedule 2 is an expansion of the projected auxiliary operations budgets, categorized by major activity. These schedules also display the FY24 budget, as approved in June 2023, and the current adjusted FY24 budget for comparison purposes. This report provides a brief discussion of the changes in the operating budget for each of the major programs.

**E&G Programs**

The university’s E&G budget will be $1.2 billion in FY25. The E&G budgets for the University Division (Agency 208) and the Cooperative Extension/Agricultural Experiment Station Division (Agency 229) are displayed on Schedule 1.

The year-to-year comparison of the budget in Schedule 1 reflects an overall revenue increase in the E&G program of $66.1 million, or 5.9 percent, over the adjusted FY24 budget.

The FY25 E&G operating budgets have been developed utilizing the following forecasted state funding support for the university in FY25:

| Table 1 - Projected General Fund Change from FY24 E&G Adjusted Budget to FY25 E&G Proposed Budget |
|---------------------------------------------------|--------|--------|
| Annualization of 2% FY24 Compensation Program      | $2.5   | $0.7   |
| Non-General Fund Interest Earnings                | 4.3    | -      |
| Virginia Military Survivors & Dependents Education Program | 2.3    | -      |
| State Share of Salary and Fringe Benefit Rate Changes | 8.0    | 2.5    |
| Access and Affordability                          | 9.0    | -      |
| E&G Program General Fund Change                   | $26.2  | $3.2   |

* Estimate - these items funded by the state at a later date

The percentage of the E&G budget for the University Division provided by the General Fund increased from 25.7 percent in the FY24 adjusted budget to 26.6 percent in FY25.

The FY25 tuition and fee budget increased by $37.1 million, or 5.3 percent, over the adjusted FY24 budget. The increase in tuition and fee budgets is attributable to the increase of tuition rates as approved by the Board of Visitors at the April 2024 meeting, enrollment growth, and residency mixture. The increase also includes unfunded and tuition-funded scholarships to student aid programs and adjustments to the other E&G fee budgets. Unfunded scholarships support both undergraduate need-based aid and a portion of the graduate tuition remission program. Tuition and fee funded scholarships are targeted to support the institution’s strategic priorities, including enrollment growth.
and the Virginia Tech Advantage program. Additionally, the revenue from the Facility and Equipment fee will be transferred to the commonwealth for debt service on new facilities and equipment; thus, it is not reflected in the net revenue total.

**Virginia Tech/Wake Forest SBES Budgets**

In August 2002, the Board of Visitors of Virginia Tech adopted a resolution that authorized the establishment of the Virginia Tech-Wake Forest University School of Biomedical Engineering and Sciences. The collaboration agreement outlines the relationship and responsibilities of each party and requires budget approval by the governing board. In accordance with this requirement, the FY25 recommended budget includes $6.2 million for Virginia Tech’s School of Biomedical Engineering and Science within the overall university budget as displayed within the 208 Educational and General budgets on Schedule 1.

**Auxiliary Enterprises**

The university provides certain essential support services (e.g., Residence Halls and Dining Programs) through the operation of Auxiliary Enterprises. These enterprises are intended to be financially self-supporting and do not receive tuition revenue or general fund support. The Auxiliary Enterprises are supported by charging for all of the services provided to cover direct costs and reimburse the E&G program for all indirect costs in accordance with state requirements.

**Auxiliary Enterprise Systems**

As self-supporting activities, Auxiliary Enterprises also fund the debt service on auxiliary facilities including four systems operated under master debt covenants (Dormitory and Dining System, Electric Service Utility System, University Services System and the Athletic Facilities System). In compliance with the resolution authorizing and securing the system revenue bonds, the rates and charges for the next fiscal year are sufficient for the operating, maintenance and repair, debt service, and reserve requirements. The university works to ensure that all Auxiliary Enterprises remain in good working order, are in compliance with the terms and conditions of the bond covenants, and effectively deliver essential support services.

The total FY25 auxiliary revenue budget is $480.4 million, a growth of $22.4 million or 4.9 percent over the adjusted FY24 budget. This increase includes resources to cover proposed changes in state authorized compensation programs and fringe benefit rate changes, service needs for student health and counseling services, student programming, wireless network equipment renewal, transit contract operating costs, bus replacement, maintenance of existing facilities, and the cost of new facilities.
Financial Assistance for E&G Programs (primarily Sponsored Programs)

The projected annual budget for Sponsored Programs is $510.1 million, an increase of $73.6 million, or 16.9 percent increase over the FY24 adjusted budget. The increase in the FY25 budget aligns the budget with FY24 grant and contract activity and includes a projection of FY25 growth. The growth in the FY25 Sponsored Programs budget includes $6.0 million to reflect Virginia Tech’s share of the state’s Biotechnology Initiative, which will support the VT Patient Research Center. The budgets for Grants and Contracts are developed through the analysis of historic trends and projections of future activity levels.

The Sponsored Programs budget is comprised primarily of grant and contract activities but also includes returned overhead, the Eminent Scholars program, the Enterprise Fund for distance learning, and General Fund support for research. The most significant activity in this category is externally sponsored research.

Appropriated Student Financial Assistance

The projected FY25 budget for the Appropriated Student Financial Assistance program is $63.3 million, an increase of $1.8 million. The change in the Student Financial Aid budget is comprised of a $2.1 million increase in general fund support, continued university investment into the Virginia Tech Advantage Initiative to support access and affordability, support for the Funds for the Future Program, and the VT Scholarship Program. The increase is offset by the removal of one-time scholarships for the FY24 tuition rebate program.

The appropriated Student Financial Assistance budget is comprised of $39.3 million of state General Fund support for Undergraduate Scholarships, Graduate Fellowships, Soil Scientist Scholarships, Multicultural Academic Opportunity Program and estimates for the Virginia Military Survivors and Dependents Stipend and Two-Year College Transfer Grant. This budget also includes $24.0 million in nongeneral fund Student Financial Assistance.

Given that appropriated resources are only a portion of the total student financial assistance program, the university provides the Board with an annual report on the total student financial assistance program each November. The November report will include Appropriated Student Financial Assistance, unfunded scholarships, codified waivers, private support (from the Virginia Tech Foundation), federal support, and third-party aid.

All Other Programs

The All Other Programs component is comprised of the Unique Military Activities appropriation, surplus property, federal work study program, and local funds. The annual budget for these funds is based on historic trends and projections of activity levels by
program managers. These programs are funded by resources that are designated for specific purposes. For All Other Programs, the recommended budget is $18.2 million, and reflects a $7.5 million decrease from the adjusted budget for FY24 primarily due to one-time revenues and adjustments in the current year.

Planned Change in Reserves

Existing state requirements, along with the university’s budgeting and financial management strategies, generally result in the establishment of breakeven budgets for the major budget components, with the exception of Auxiliary Enterprises. This practice will continue in FY25, where only the auxiliary budgets project an addition to the reserves as of June 30, 2024. The projected addition of $20.4 million is the result of the intentional rebuilding of reserves in specific auxiliaries where expenditures in prior years created the need for restoring the reserves so that it may operate as a revolving fund. In other cases, the projected addition to reserves reflects the temporary positive impact of planning activities for new capital projects. The FY25 budget for Auxiliary Enterprises is also designed to ensure that the reserve levels remain in compliance with bond covenants as well as SCHEV reserve targets.

Compensation Plan

The university plans to implement faculty and staff compensation programs for FY25 consistent with the outcome of the special session of the general assembly. The attached operating budget includes funding, consistent with traditional funding principles, for the following proposed employee compensation actions:

- 3.00 percent faculty compensation program.
  - In addition, the university will fund the Promotion and Tenure cost for those faculty approved for Promotion and Tenure increases.
- 3.00 percent stipend increase for graduate assistants, as approved by the Board of Visitors.
  - Move stipend floor minimum to $2,682 per month, if approved by the Board.
- 3.00 percent Classified Staff salary increase. Classified Staff are defined as staff members hired before July 1, 2006 who have not subsequently converted to the University Staff system.
- 3.00 percent University Staff compensation program.
- Additionally, the university will support a 0.25 percent pool for national distinction and special adjustments for teaching and research faculty. The university is committed to retaining faculty members who have achieved distinction in their disciplines and who make outstanding contributions to the university. This process can be particularly helpful in the university’s efforts to retain outstanding mid-career faculty. It is expected that the adjustments will be limited in the number of faculty included, but meaningful in size.
Initiatives and Reinvestments

As previously reviewed, the university has a bold five-year plan for strategic investments focused on VT Advantage, Global Distinction, and Enabling Infrastructure. Strategic investments will be needed to realize the Beyond Boundaries vision. Incremental year-over-year investments based on major strategic priority area are outlined in Table 2, below.

<table>
<thead>
<tr>
<th></th>
<th>FY25</th>
<th>FY26</th>
<th>FY27</th>
<th>FY28</th>
<th>FY29</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Virginia Tech Global Distinction</strong></td>
<td>$14.9</td>
<td>$13.1</td>
<td>$14.4</td>
<td>$13.3</td>
<td>$13.1</td>
</tr>
<tr>
<td><strong>Virginia Tech Advantage</strong></td>
<td>8.1</td>
<td>7.6</td>
<td>8.0</td>
<td>8.1</td>
<td>8.2</td>
</tr>
<tr>
<td>(less) Governmental &amp; Private Funding</td>
<td>(4.3)</td>
<td>(4.0)</td>
<td>(4.4)</td>
<td>(4.5)</td>
<td>(4.7)</td>
</tr>
<tr>
<td><strong>Enabling Infrastructure</strong></td>
<td>9.5</td>
<td>10.5</td>
<td>10.5</td>
<td>10.5</td>
<td>10.5</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$28.2</td>
<td>$27.2</td>
<td>$28.5</td>
<td>$27.4</td>
<td>$27.1</td>
</tr>
</tbody>
</table>

The plan for funding these strategic investments will not be realized solely through incremental new revenue (state, private, institutional resources), but will require the university to make strategic reinvestments. Strategic reinvestments seek to avoid reactionary responses and enable multi-year planning. Reinvestment of existing institutional resources is needed to support a portion of the initiative vision over the 5-year planning period. The university continues to envision a $25 million reallocation program, implemented through a combination of unit-based reinvestments and university-level reinvestments. For FY25, the university envisions $2.5 million of unit-based reinvestments, which will realign existing unit resources with initiatives to support the VT Global Distinction, Virginia Tech Advantage, and enable infrastructure. In addition, the university has identified $2.5 million of targeted reinvestment opportunities to support the strategic vision.

The university identified reinvestments which reduce or eliminate activities, discontinued leases and fold activities back into campus-owned space, implement business process changes, and targeted reductions at the unit level where resources could be redeployed to advance Virginia Tech Global Distinction and the Virginia Tech Advantage program. Over the next year, the President’s Council will continue working on opportunities to rethink how the university operates and to look for opportunities to free up existing resources that can be redirected in accordance with the university’s strategic priorities.

For the upcoming fiscal year, the university also asked units to identify reinvestments within their own span of control to advance strategic initiatives. Units identified or created
savings via reductions, change management, and eliminating vacant positions to enable reinvestment in lieu of providing new resources to units.

**Budget Allocations**

The process of finalizing the FY25 operating budget allocations for the colleges and major operating units is currently underway. This process will be completed in June 2024 and issued to the university community by the Executive Vice President and Chief Operating Officer. The Office of Budget and Financial Planning will allocate these budgets to the colleges and vice-presidential areas in time for the departments to open the new fiscal year with the allocations in place in the university accounting system. The university develops the annual budget as a one-year quantification of the university’s strategic plan. The strategic plan is the framework for enacting the university’s mission.

**Capital Outlay Projects**

Virginia Tech’s capital outlay program includes projects for the University Division and the Cooperative Extension/Agricultural Experiment Station Division. Initiation of a capital project requires authorization of a budget and funding sources from the state or the Board of Visitors.

The state appropriates projects supported entirely or partially with General Fund revenues. The university requests General Fund appropriations for new projects as part of the state capital budget cycle. If appropriated, these projects normally become effective and are added to the program at the beginning of a fiscal year.

Under the restructuring legislation and the 2006 Management Agreement between the Commonwealth and the university, the Board of Visitors has the authority to authorize capital projects funded entirely with nongeneral fund resources. New projects approved by the Board of Visitors become effective upon approval of a university resolution and are reflected in the subsequent Financial Performance Report.

The university develops a financing plan to support the entire budget of each capital project prior to its initiation. Upon initiation, the whole project budget is entered into the accounting system. The revenues to support capital expenditure budgets are a mix of state support, university supported debt, and self-generated cash resources including private gifts. When projects have multiple sources of funding, the university generally utilizes the resources in the following order: state support, bond proceeds, and then cash. This order allows the most effective use of the university’s nongeneral fund resources.

The typical project lifespan is three to five years. Cash flow models are used to predict the pace of spending by month for each project for its anticipated life. This analysis is then used to plan the timing to move resources to a project budget on an as needed basis. Under this approach, project resources are held in their most productive location for as long as possible to maximize earnings. This analysis is further used to optimize the timing for external debt issuances to manage exposure to the cost of capital and arbitrage spend down requirements.
Each active capital project is included on the Financial Performance Report for its entire fiscal life and until all its funds in the accounting system are terminated. A Project is removed from the Financial Performance Report at the end of the fiscal year it closes.

The portfolio of the capital outlay program for FY25 is comprised of 16 E&G projects and five Auxiliary Enterprise projects for a total of 21 projects with a total program budget of $1.17 billion and an estimated annual budget of approximately $184 million. This includes the following $49 million of new funding items in the 2024-26 biennial budget: $14 million of construction funding for the Improve Center Woods project, $18.9 million for Maintenance Reserve, $8 million for the Improve Campus Accessibility project, and $8 million for Equipment for Workforce Development. The Appropriations Act includes two planning projects, Improvements for the Eastern Shore AREC and Renovate Derring Hall Building Envelope, where the planning appropriations are unknown until the State issues its cost verification report. The project funding and annual budgets will be updated at that time.

Schedule 3 lists the projects by program and phase of progress. Each project is listed with the total project authorization by revenue source for FY25, annual budget for FY25, and estimated balance at the close of FY25. Capital project performance is measured against the total project budget authorization. The accuracy of annual budgets, and the cash flows models on which they are based, are generally most sensitive to projected construction start dates. For example, a large project that enters construction three months later than expected may underspend its annual budget by several million dollars for the fiscal year. Adjustments in the pace of spending do not impact the expected total budget, but rather the timing of planned expenditures.

**RECOMMENDATION:**

That the proposed FY25 operating budget and capital expenditure projections, as displayed on Schedules 1, 2, and 3, be approved.

June 11, 2024
## TOTAL OPERATING BUDGET FOR VIRGINIA TECH FY25
(Dollars in Thousands)

<table>
<thead>
<tr>
<th>Revenues</th>
<th>FY24 Original Budget</th>
<th>FY24 Adjusted Budget</th>
<th>FY25 Recommended Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Educational and General</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>University Division</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Fund</td>
<td>$251,676</td>
<td>$262,261</td>
<td>$288,480</td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>699,830</td>
<td>699,121</td>
<td>736,209</td>
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<tr>
<td>All Other Income</td>
<td>56,127</td>
<td>58,421</td>
<td>59,850</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>$1,007,633</td>
<td>$1,019,803</td>
<td>$1,084,539</td>
</tr>
<tr>
<td><strong>CE/AES Division</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Fund</td>
<td>$89,041</td>
<td>$89,693</td>
<td>$92,942</td>
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<tr>
<td>Federal Funds</td>
<td>15,647</td>
<td>17,261</td>
<td>15,647</td>
</tr>
<tr>
<td>All Other Income</td>
<td>1,129</td>
<td>1,634</td>
<td>1,427</td>
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<tr>
<td><strong>Subtotal</strong></td>
<td>$105,816</td>
<td>$108,588</td>
<td>$110,015</td>
</tr>
<tr>
<td><strong>Total Educational and General</strong></td>
<td>$1,113,449</td>
<td>$1,128,391</td>
<td>$1,194,554</td>
</tr>
<tr>
<td><strong>Auxiliary Enterprises</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Auxiliary Fees</td>
<td>$88,918</td>
<td>$88,228</td>
<td>$93,175</td>
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<td>Auxiliary User Charges (Room &amp; Board)</td>
<td>146,598</td>
<td>142,231</td>
<td>151,747</td>
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<tr>
<td>Auxiliary Sales and Services</td>
<td>217,208</td>
<td>227,569</td>
<td>235,462</td>
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<td><strong>Subtotal</strong></td>
<td>$452,724</td>
<td>$458,028</td>
<td>$480,384</td>
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<tr>
<td><strong>Financial Assistance for E&amp;G Programs (a)</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>General Fund</td>
<td>$19,389</td>
<td>$20,389</td>
<td>$26,389</td>
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<tr>
<td>Nongeneral Fund</td>
<td>$415,914</td>
<td>416,064</td>
<td>483,690</td>
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<td><strong>Subtotal</strong></td>
<td>$435,303</td>
<td>$436,453</td>
<td>$510,079</td>
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<tr>
<td><strong>Appropriated Student Financial Assistance</strong></td>
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<td></td>
<td></td>
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<tr>
<td>General Fund</td>
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<td>$37,169</td>
<td>$39,261</td>
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<tr>
<td>Nongeneral Fund</td>
<td>17,265</td>
<td>24,363</td>
<td>24,076</td>
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<tr>
<td><strong>Subtotal</strong></td>
<td>50,858</td>
<td>$61,532</td>
<td>$63,337</td>
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<tr>
<td><strong>All Other Programs (b)</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>General Fund (UMA)</td>
<td>$3,649</td>
<td>$3,649</td>
<td>$3,649</td>
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<tr>
<td>Nongeneral Fund</td>
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<td>14,562</td>
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<tr>
<td><strong>Subtotal</strong></td>
<td>$16,181</td>
<td>$25,748</td>
<td>$18,211</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$2,068,515</td>
<td>$2,110,153</td>
<td>$2,266,565</td>
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</tbody>
</table>

## Expenses

<table>
<thead>
<tr>
<th>Educational and General</th>
<th>FY24 Original Budget</th>
<th>FY24 Adjusted Budget</th>
<th>FY25 Recommended Budget</th>
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<tr>
<td><strong>University Division</strong></td>
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<td>$1,007,633</td>
<td>$1,019,803</td>
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<tr>
<td></td>
<td>105,816</td>
<td>108,588</td>
<td>110,015</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>$1,113,449</td>
<td>$1,128,391</td>
<td>$1,194,554</td>
</tr>
<tr>
<td><strong>Auxiliary Enterprises</strong></td>
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</tr>
<tr>
<td></td>
<td>435,097</td>
<td>465,130</td>
<td>459,984</td>
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<tr>
<td><strong>Financial Assistance for E&amp;G Programs (a)</strong></td>
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<td></td>
</tr>
<tr>
<td></td>
<td>435,303</td>
<td>436,453</td>
<td>510,079</td>
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<tr>
<td><strong>Appropriated Student Financial Assistance</strong></td>
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<tr>
<td></td>
<td>50,858</td>
<td>61,532</td>
<td>63,337</td>
</tr>
<tr>
<td><strong>All Other Programs (b)</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>16,181</td>
<td>25,748</td>
<td>18,211</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>$2,050,888</td>
<td>$2,117,383</td>
<td>$2,246,165</td>
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</table>

### Planned Change in Reserve

<table>
<thead>
<tr>
<th>Reserve Drawdown/(Deposit) (c)</th>
<th>FY24 Original Budget</th>
<th>FY24 Adjusted Budget</th>
<th>FY25 Recommended Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Net</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$0</td>
<td>$0</td>
<td>$-20,400</td>
</tr>
</tbody>
</table>

(a) Financial Assistance for E&G Programs includes Sponsored Programs, the Eminent Scholars Program, and General Fund Research Initiative.

(b) All Other Programs include Unique Military Activities, Surplus Property, Local Funds, and Federal Work Study.

(c) Reserve contributions are based on the budget plans of Auxiliary Enterprise and All Other Program units.

Presentation Date: June 11, 2024
### TOTAL OPERATING BUDGETS FOR AUXILIARY ENTERPRISES

**Fiscal Year FY25**

*(Dollars in Thousands)*

<table>
<thead>
<tr>
<th></th>
<th>FY24 Original</th>
<th>FY24 Adjusted</th>
<th>FY25 Recommended</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Residence and Dining Hall System</strong>*</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revenues</td>
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<td>$167,902</td>
<td>$184,819</td>
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<tr>
<td>Expenses</td>
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<tr>
<td>Reserve Drawdown/(Addition)</td>
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<tr>
<td>Net</td>
<td>$0</td>
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<td>$0</td>
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<tr>
<td><strong>Parking and Transportation</strong></td>
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</tr>
<tr>
<td>Revenues</td>
<td>$24,284</td>
<td>$25,013</td>
<td>$26,078</td>
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<tr>
<td>Expenses</td>
<td>-21,544</td>
<td>-24,448</td>
<td>-23,789</td>
</tr>
<tr>
<td>Reserve Drawdown/(Addition)</td>
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<tr>
<td>Net</td>
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<tr>
<td><strong>Telecommunications Services</strong></td>
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<tr>
<td>Revenues</td>
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<td>Expenses</td>
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<td>-22,557</td>
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<tr>
<td>Reserve Drawdown/(Addition)</td>
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<tr>
<td>Net</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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<tr>
<td><strong>University Services System</strong>*</td>
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<tr>
<td>Revenues</td>
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<td>$64,813</td>
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<td>Expenses</td>
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<tr>
<td>Reserve Drawdown/(Addition)</td>
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<tr>
<td>Net</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Intercollegiate Athletics System</strong>*</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Revenues</td>
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<td>$101,540</td>
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<tr>
<td>Expenses</td>
<td>-91,010</td>
<td>-95,891</td>
<td>-96,923</td>
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<tr>
<td>Reserve Drawdown/(Addition)</td>
<td>-4,776</td>
<td>-8,372</td>
<td>-4,617</td>
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<tr>
<td>Net</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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<td><strong>Electric Service System</strong>*</td>
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<td>Revenues</td>
<td>$43,740</td>
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<tr>
<td>Expenses</td>
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<td>-46,410</td>
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<tr>
<td>Reserve Drawdown/(Addition)</td>
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<td>-402</td>
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<tr>
<td>Net</td>
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<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Inn at Virginia Tech and Skelton Conference Center</strong></td>
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<tr>
<td>Revenues</td>
<td>$11,840</td>
<td>$13,500</td>
<td>$14,171</td>
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<td>Expenses</td>
<td>-12,905</td>
<td>-14,090</td>
<td>-12,788</td>
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<tr>
<td>Reserve Drawdown/(Addition)</td>
<td>1,065</td>
<td>590</td>
<td>-1,383</td>
</tr>
<tr>
<td>Net</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>Other Enterprise Functions</strong></td>
<td></td>
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</tr>
<tr>
<td>Revenues</td>
<td>$10,547</td>
<td>$10,919</td>
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<tr>
<td>Expenses</td>
<td>-7,835</td>
<td>-9,942</td>
<td>-9,597</td>
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<tr>
<td>Reserve Drawdown/(Addition)</td>
<td>-2,712</td>
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</tr>
<tr>
<td>Net</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Revenues</td>
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<td>Expenses</td>
<td>-435,097</td>
<td>-465,130</td>
<td>-459,984</td>
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<tr>
<td>Reserve Drawdown/(Addition)</td>
<td>-17,627</td>
<td>7,102</td>
<td>-20,400</td>
</tr>
<tr>
<td>Net</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

* University Systems include the Dormitory and Dining Hall System, Electric Service Utility System, University Services System, and Athletic Facilities System. The University Services System includes Health Services, Career & Professional Development, Student Engagement & Campus Life, Cultural & Community Centers, Recreational Sports, Center for the Arts, Student Organizations and VT Rescue Squad.

Presentation Date: June 11, 2024
### TOTAL PROJECT AUTHORIZATION

<table>
<thead>
<tr>
<th>PROJECT INITIATED</th>
<th>STATE SUPPORT</th>
<th>NONGENERAL FUND</th>
<th>AGENCY DEBT</th>
<th>TOTAL</th>
<th>ESTIMATED TOTAL EXPENSES</th>
<th>ESTIMATED ANNUAL BUDGET FY2025</th>
<th>ESTIMATED BALANCE AVAILABLE FOR FY2025</th>
<th>ESTIMATED TOTAL BALANCE</th>
<th>ESTIMATED ANNUAL BALANCE AT CLOSE OF FY2025</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Design Phase</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mitchell Hall (Randolph Hall Replacement)</td>
<td>Jul 2020</td>
<td>$ 264,453</td>
<td>$ 11,000</td>
<td>$ 16,828</td>
<td>$ 292,281</td>
<td>$ 20,042</td>
<td>$ 272,239</td>
<td>$ 30,000</td>
<td>$ 242,239</td>
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<tr>
<td>Planning: New Business Building</td>
<td>Apr 2022</td>
<td>-</td>
<td>8,000</td>
<td>-</td>
<td>8,000</td>
<td>1,700</td>
<td>6,300</td>
<td>6,300</td>
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</tr>
<tr>
<td>Expand VT-C SOM &amp; Fralin Biomedical Research Institute</td>
<td>Sept 2023</td>
<td>-</td>
<td>9,000</td>
<td>-</td>
<td>9,000</td>
<td>200</td>
<td>8,800</td>
<td>3,500</td>
<td>5,300</td>
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<tr>
<td>Improve Center Woods Complex</td>
<td>Nov 2023</td>
<td>14,550</td>
<td>296</td>
<td>-</td>
<td>14,846</td>
<td>32</td>
<td>14,814</td>
<td>1,500</td>
<td>13,314</td>
</tr>
<tr>
<td>Improve Campus Accessibility</td>
<td>Jul 2024</td>
<td>8,000</td>
<td>-</td>
<td>-</td>
<td>8,000</td>
<td>-</td>
<td>8,000</td>
<td>250</td>
<td>7,750</td>
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<tr>
<td>Planning: Renovate Derring Hall Building Envelope</td>
<td>Jul 2024</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Planning: Improvements to Eastern Shore AREC</td>
<td>Jul 2024</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
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<tr>
<td><strong>Construction Phase</strong></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintenance Reserve</td>
<td>On-going</td>
<td>24,429</td>
<td>-</td>
<td>-</td>
<td>24,429</td>
<td>-</td>
<td>24,429</td>
<td>20,765</td>
<td>3,664</td>
</tr>
<tr>
<td>Livestock &amp; Poultry Research Facilities, Phase I</td>
<td>Oct 2016</td>
<td>31,764</td>
<td>-</td>
<td>-</td>
<td>31,764</td>
<td>25,274</td>
<td>6,490</td>
<td>4,000</td>
<td>2,490</td>
</tr>
<tr>
<td>Innovation Campus - Academic Building</td>
<td>Jul 2019</td>
<td>177,164</td>
<td>80,336</td>
<td>44,636</td>
<td>302,136</td>
<td>240,858</td>
<td>61,278</td>
<td>40,895</td>
<td>20,383</td>
</tr>
<tr>
<td>Hitt Hall</td>
<td>Apr 2017</td>
<td>-</td>
<td>31,657</td>
<td>53,343</td>
<td>85,000</td>
<td>73,587</td>
<td>11,413</td>
<td>9,112</td>
<td>2,301</td>
</tr>
<tr>
<td>Undergraduate Science Laboratory Building</td>
<td>Jul 2017</td>
<td>90,412</td>
<td>-</td>
<td>-</td>
<td>90,412</td>
<td>60,723</td>
<td>29,689</td>
<td>16,000</td>
<td>13,689</td>
</tr>
<tr>
<td>Building Envelope Improvements</td>
<td>Aug 2022</td>
<td>-</td>
<td>13,580</td>
<td>33,620</td>
<td>47,200</td>
<td>4,914</td>
<td>42,286</td>
<td>8,000</td>
<td>34,286</td>
</tr>
<tr>
<td>Life, Health, Safety, Accessibility, &amp; Code Compliance</td>
<td>Jul 2020</td>
<td>10,400</td>
<td>-</td>
<td>-</td>
<td>10,400</td>
<td>6,731</td>
<td>3,669</td>
<td>2,800</td>
<td>869</td>
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<tr>
<td><strong>Equipment and Special Initiatives</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equipment for Workforce Development</td>
<td>May 2021</td>
<td>42,437</td>
<td>-</td>
<td>-</td>
<td>42,437</td>
<td>12,518</td>
<td>29,919</td>
<td>3,000</td>
<td>26,919</td>
</tr>
<tr>
<td><strong>Close-Out</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Corps Leadership and Military Science Building</td>
<td>Jun 2019</td>
<td>-</td>
<td>21,600</td>
<td>30,400</td>
<td>52,000</td>
<td>49,964</td>
<td>2,036</td>
<td>2,036</td>
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<td><strong>Total Educational and General Projects</strong></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$ 663,610</td>
<td>$ 175,469</td>
<td>$ 178,827</td>
<td>$ 1,017,906</td>
<td>$ 496,543</td>
<td>$ 521,363</td>
<td>$ 148,158</td>
<td>$ 373,205</td>
<td>$ 373,205</td>
</tr>
</tbody>
</table>
## AUXILIARY ENTERPRISE CAPITAL PROJECT AUTHORIZATIONS FOR FISCAL YEAR 2025

(Dollars in Thousands)

as of March 31, 2024

<table>
<thead>
<tr>
<th>PROJECT INITIATED</th>
<th>STATE SUPPORT</th>
<th>NONGENERAL FUND</th>
<th>AGENCY DEBT</th>
<th>TOTAL</th>
<th>ESTIMATED TOTAL EXPENSES June 30, 2024</th>
<th>ESTIMATED ANNUAL BALANCE AVAILABLE FOR FY2025</th>
<th>ESTIMATED BALANCE AT CLOSE OF FY2025</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Design Phase</strong></td>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Planning: Student Life Village, Phase I</td>
<td>Jun 2023</td>
<td>$ -</td>
<td>$ 19,500</td>
<td>$ -</td>
<td>$ 19,500</td>
<td>$ 800</td>
<td>$ 18,700</td>
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<td><strong>Construction Phase</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Maintenance Reserve</td>
<td>On-going</td>
<td>-</td>
<td>13,000</td>
<td>-</td>
<td>13,000</td>
<td>-</td>
<td>13,000</td>
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<tr>
<td>Student Wellness Improvements</td>
<td>Jun 2016</td>
<td>-</td>
<td>25,574</td>
<td>44,426</td>
<td>70,000</td>
<td>55,200</td>
<td>14,800</td>
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<td>Football Locker Room Renovations</td>
<td>Jun 2023</td>
<td>-</td>
<td>5,900</td>
<td>-</td>
<td>5,900</td>
<td>3,000</td>
<td>2,900</td>
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<tr>
<td><strong>Close-Out</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>New Upper Quad Residence Hall</td>
<td>Jun 2019</td>
<td>-</td>
<td>16,071</td>
<td>25,929</td>
<td>42,000</td>
<td>40,000</td>
<td>2,000</td>
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<tr>
<td><strong>Total Auxiliary Enterprise Projects</strong></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>$ -</strong></td>
<td><strong>$ 80,045</strong></td>
<td><strong>$ 70,355</strong></td>
<td><strong>$ 150,400</strong></td>
<td><strong>$ 99,000</strong></td>
<td><strong>$ 51,400</strong></td>
<td><strong>$ 35,600</strong></td>
</tr>
</tbody>
</table>

**GRAND TOTAL ALL CAPITAL PROJECTS**

|               |               |                 |             |       |                                        |                                             |                                        |
|               | **$ 663,610** | **$ 255,514** | **$ 249,182** | **$ 1,168,306** | **$ 595,543** | **$ 572,763** | **$ 183,758** | **$ 389,005** |

Presentation Date: June 11, 2024
WHEREAS, faculty employment and policies are under the purview of the Board of Visitors (the Board), which holds the authority to approve all faculty appointments; and

WHEREAS, the Board, as the governing authority of the university, delegates authority to the President to oversee and to administer the policies of the Board and manage the administrative, instructional, research, and public service programs of the university; and

WHEREAS, on June 1, 2009, the Board approved a resolution titled Delegation of Authority for Selected Faculty Personnel Actions and subsequently on November 16, 2020, and June 8, 2021, amended that Delegation of Authority; and

WHEREAS, the Board’s Rector and committee chairs have encouraged streamlining processes to make the best use of technology and efficient use of personnel resources; and

WHEREAS, a recent review of the delegation of authority for faculty personnel actions resulted in the identification of potential administrative and managerial efficiencies; and

WHEREAS, amending the delegation of authority to recognize delegation of annual merit actions and recruitment, retention, and other special bonus payments is also needed to comply with the Board of Visitors Bylaws; and

WHEREAS, the Board will continue to approve a select set of appointments and compensation actions;

NOW, THEREFORE, BE IT RESOLVED, that the Board of Visitors delegates authority to the President or the President's designee for selected faculty appointment and compensation actions as described in the attachment, effective immediately; and

BE IT FURTHER RESOLVED, that the Personnel Changes Report presented quarterly to the Board for ratification contain the actions for the prior quarter with the threshold noted.

RECOMMENDATION:
That the Board of Visitors approve the Resolution to Amend the Delegation of Authority for Selected Faculty Personnel Actions, effective immediately.

June 11, 2024
AMENDED DELEGATION OF AUTHORITY FOR SELECTED PERSONNEL ACTIONS

June 11, 2024

The amended delegation of authority to the president or the president’s designee for routine and modest salary adjustments and selected new appointments allows the Board of Visitors (the Board) to focus on high-level appointments and compensation; appointment and promotion of tenure-track or continued appointment-track faculty members who have permanent status with the institution; salary adjustments with more significant financial impact; deferred compensation; and appointment and compensation packages for athletic personnel.

The Board would retain approval (or confirmation/ratification) of the following faculty-related personnel actions:

Appointment/Promotion Actions:

- Appointments of Provost and Vice Presidents
- Appointments of instructional and research faculty members on the tenure-track or continued appointment track confirmed in quarterly Personnel Changes Report
- Appointments with tenure considered by the Academic, Research, and Student Affairs Committee and approved by the full Board
- Salaries of faculty appointments with tenure confirmed in the quarterly Personnel Changes Report based on their effective or start date
- Appointments of faculty-ranked athletic personnel above a threshold* salary level confirmed in quarterly Personnel Changes Report
- All bonuses of faculty-ranked athletic personnel confirmed in the quarterly Personnel Changes Report
- Appointments of administrative and professional faculty hired above a threshold* salary level prorated for type of appointment (e.g. 9-, 10-, or 11-month) if not a 12-month appointment confirmed in the quarterly Personnel Changes Report
- Appointments to distinguished or endowed professorships: individual resolutions considered by the Academic, Research, and Student Affairs Committee and approved by the full Board Appointments to emeritus/a status: individual resolutions considered by the Academic, Research, and Student Affairs Committee and approved by the full Board
- Award of tenure or continued appointment and/or promotions in rank as identified in the faculty compensation plan confirmed in the Promotion, Tenure and Continued Appointment Program Report approved at the June Board meeting
Compensation Actions:

- Overall faculty compensation plan approved at the June Board meeting, including authorization of annual merit process
- Annual merit adjustments for all faculty members approved at appropriate Board meeting based on timing determined by state
- Compensation packages for athletic director and head coaches confirmed annually as an addendum to the quarterly Personnel Changes Report
- Off-cycle salary adjustments greater than or equal to 20% for all regular faculty members that result in a salary at or above a threshold* salary level prorated for type of appointment (e.g. 9-, 10-, or 11- month) if not a 12-month appointment confirmed in the quarterly Personnel Changes Report
- Deferred compensation
- Special payments for recruitment or separation
- Decrease in salary for disciplinary action

Through such delegation, the Board does not receive the following actions as part of the quarterly Personnel Changes Report:

- Changes in employment status that do NOT involve any salary action, such as “regular” to “restricted” or conversion from staff to faculty;
- Salary adjustments made in accordance with Board-approved compensation plans, existing policies, and/or standard formulas:
  - Academic-year to calendar-year conversions and the reverse
  - Research extended appointments
  - Change in percent employment
  - Addition or deletion of extension unit coordinator supplement
  - Overseas allowance
  - Increase for completing advanced degree
- Off-cycle salary adjustments less than 20%;
- Off-cycle salary adjustments for faculty below threshold* salary level prorated for type of appointment (e.g. 9-, 10-, or 11- month) if not a 12-month appointment;
- New appointments and salary adjustments for faculty members on restricted contracts, such as research faculty;
- New appointments of non-tenure-track instructional faculty, or administrative and professional faculty below threshold* salary level; and
- Special payments for recruitment or retention consistent with Policy 4005, Exceptional Recruitment and Retention Incentive Options Policy.

*Salary Threshold: The initial threshold for salary actions is $125,000 for a 12-month appointment in 2020. The threshold will be evaluated over time and adjusted and approved by the Board of Visitors as needed to reflect state and university-wide compensation.
increases. The current threshold will be noted in each quarterly Personnel Changes Report brought to the Board of Visitors for approval.
As the university develops the annual Faculty Compensation Plan, it continues to use historical guidance provided by the commonwealth\(^1\) and the university’s Faculty Handbook. This faculty compensation plan defines the qualification criteria for faculty, provides guidance on the compensation process for faculty, and requires Board of Visitors’ approval.

The university’s 2024-25 Faculty Compensation Plan covers:

1. the 2024-25 pay structure;
2. the promotion and tenure process;
3. the annual evaluation and salary adjustment process for teaching and research faculty (T&R) and administrative/professional (A/P) faculty; and
4. salary adjustments within the evaluation period.

This faculty compensation plan is only for faculty positions. The compensation plan for staff is administered separately by the university administration in accordance with the Board of Visitors’ approval of the university’s Management Agreement, effective July 1, 2006, as well as guidance from the commonwealth and the state’s Department of Human Resource Management.

### Virginia Tech Salary Average and Benchmark Ranking for T&R Faculty

For strategic planning purposes, the university has established a metric goal of reaching the 50\(^{th}\) percentile of the Top 20 Land Grant universities in the nation as ranked by the Wall Street Journal/Times Higher Education World University Rankings. The university’s actual salary average as compared to the Top 20 Land Grant group can be seen in the table below. The university’s competitive positioning among this group for Fall 2023 will be computed once the Integrated Postsecondary Education Data System (IPEDS) data becomes available.

<table>
<thead>
<tr>
<th>Top 20 Land Grant Group</th>
<th>Fall 2022</th>
<th>Fall 2023*</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>50(^{th}) percentile (excl. VT)</td>
<td>$119,260</td>
<td>N/A</td>
<td>-</td>
</tr>
<tr>
<td>VT Average Salary</td>
<td>$115,498</td>
<td>$123,858</td>
<td>7.24%</td>
</tr>
<tr>
<td>VT Rank</td>
<td>14 of 20</td>
<td>N/A</td>
<td>-</td>
</tr>
<tr>
<td>VT Percentile</td>
<td>37(^{th})</td>
<td>N/A</td>
<td>-</td>
</tr>
</tbody>
</table>

\(^*\)IPEDS peer salary data for Fall 2023 is not yet available.

Attachment A provides a list of the university’s peer group and the comparative salary averages for Fall 2022.

Although peer salary data is not yet available for Fall 2023, Virginia Tech’s salary average was $123,858. This overall average was 7.24% more than the Fall 2022 salary average. Within this overall average:

- **Continuing faculty**: 1,757 T&R faculty were a part of both the Fall 2022 and Fall 2023 averages and had an average salary of $125,956, an increase of 8.0% over the prior year.
- **Departing faculty**: 182 T&R faculty who were a part of the Fall 2022 average did not subsequently appear in the Fall 2023 average and had an average salary of $104,862.
- **New faculty**: 274 T&R faculty were a part of the Fall 2023 average who were not included in the Fall 2022 average and had an average salary of $110,405.

**2024-25 Faculty Pay Structure**

Consistent with traditional commonwealth guidance, a pay structure for T&R faculty for 2024-25 is presented in Attachment B. This plan is derived from the 2023-24 approved plan and incorporates the estimated impact of the planned merit program on entrance rates for 2024-25. The attachment also displays the normal entrance rate for each faculty category along with the change from the approved compensation rate for each rank, along with the distribution of faculty across the ranks. T&R faculty entering salaries will vary based on faculty discipline.

**Promotion, Tenure, and Continued Appointment**

Promotion to a higher rank and appointment with tenure may be granted to faculty members on a regular faculty appointment who have demonstrated outstanding accomplishments in an appropriate combination of learning, discovery, and engagement. A current curriculum vitae together with student and peer evaluations of teaching, reprints of publications, evaluations by external reviewers from the same or a related field, and other similar documents comprise a dossier which furnishes the principal basis for promotion and tenure decisions. Faculty members being considered for either promotion or the awarding of tenure will have their dossiers reviewed at three levels:

- by a departmental committee and the head or chair;
- by a college committee and the dean; and
- by a university committee and the Provost.

Each candidate for promotion or tenure will be evaluated in the light of the tripartite mission of the university: learning, discovery, and engagement. Although not all candidates can be expected to have equal levels of commitment or equal responsibilities in each of these missions, a high level of general competence is expected in recognition
of the need for flexibility in the future establishment of priorities in academic programs. Beyond that basic foundation of competence, decisions related to tenure or promotion to associate professor will require evidence of excellence in at least one area.

The university’s mission and commitment as a major research institution requires high accomplishment for promotion to professor. Faculty members must demonstrate a high level of competence in an appropriate combination of instruction, outreach, and professional activities relevant to their assignment. Because of the university’s mission and commitment as a major research institution, successful candidates for the rank of professor must demonstrate excellence in research, scholarship, or creative achievement, as appropriate for the candidate’s discipline and assignment. Promotion to the rank of professor is contingent upon national or international recognition as an outstanding scholar and educator.

In addition to the rank promotions within the faculty categories described below, faculty may be promoted to ranks within other faculty categories, as appropriate (for example, an Instructor may be promoted to a rank within the Professor of Practice or Collegiate Faculty categories).

The Faculty Handbook provides detailed policies and procedures for the departmental evaluation, the college evaluation, and the university evaluation.

Members of the Library faculty and Cooperative Extension faculty not holding appointments in a collegiate department may be considered for continued appointment or for promotion in faculty rank in recognition of appropriate professional accomplishments. Candidates for promotion or continued appointment will be reviewed at two levels: first by the University Libraries or Extension promotion and continued appointment committee and Dean of University Libraries or Director of Virginia Cooperative Extension, and second by the University Promotion and Continued Appointment Committee and the Provost.

The following raises are recommended for promotions to:

<table>
<thead>
<tr>
<th>Faculty Rank</th>
<th>Raise</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor</td>
<td>$10,000</td>
</tr>
<tr>
<td>Associate Professor</td>
<td>7,000</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>5,000</td>
</tr>
</tbody>
</table>

For academic-year faculty members who have Research Extended Appointments (10-, 11-, or 12-month appointments funded by sponsored projects) with salaries adjusted in accordance with formulas in Policy 6200 – Policy on Research Extended Appointments, or for those who have a limited-term appointment as department head or other administrator, the stipend is adjusted by the same conversion rate to preserve its value when the faculty member returns to the academic-year base appointment.
Clinical Faculty

The clinical faculty track provides for long-term, full-time or part-time faculty appointments to individuals whose primary responsibilities are instruction and/or service in a clinical setting, such as veterinary medicine. Tenure cannot be earned in these ranks, and time spent in one of these ranks is not applicable toward probationary tenure-track faculty service. There are four non-tenure-track clinical ranks beginning with Clinical Instructor. Those clinical faculty members with outstanding performance may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

The following raises are recommended for promotions to:

- Clinical Professor $10,000
- Clinical Associate Professor 7,000
- Clinical Assistant Professor 5,000

Collegiate Faculty

The collegiate professor series provides for short- or long-term, full- or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. There are three non-tenure-track collegiate professor ranks, beginning with Collegiate Assistant Professor. Tenure will not be awarded at any of these ranks and service at these ranks is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position. Collegiate faculty members with a record of significant scholarly and/or professional achievement may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

- Collegiate Professor $10,000
- Collegiate Associate Professor 7,000
- Collegiate Assistant Professor 5,000

Professor of Practice

The professor of practice series provides for short- or long-term, full- or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. There are three non-tenure-track professor of practice ranks, beginning with Assistant Professor of Practice. Tenure will not be awarded at any of these ranks and all service at one of these ranks will be excluded from the probationary period should the faculty member later be appointed to a tenure-track position. Professor of practice faculty members with a record of outstanding performance
may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

<table>
<thead>
<tr>
<th>Rank</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor of Practice</td>
<td>$10,000</td>
</tr>
<tr>
<td>Associate Professor of Practice</td>
<td>7,000</td>
</tr>
<tr>
<td>Assistant Professor of Practice</td>
<td>5,000</td>
</tr>
</tbody>
</table>

Instructors

The instructor track provides for full- and part-time appointments to individuals whose primary responsibilities are to the undergraduate instructional program. Tenure will not be awarded at any of these ranks and all service at any instructor rank will be excluded from the probationary period should the faculty member later be appointed to a tenure track position. There are three ranks in the series: Instructor, Advanced Instructor, and Senior Instructor. Those faculty members with outstanding performance may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

The following raises are recommended for promotions to:

<table>
<thead>
<tr>
<th>Rank</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Instructor</td>
<td>$7,000</td>
</tr>
<tr>
<td>Advanced Instructor</td>
<td>5,000</td>
</tr>
</tbody>
</table>

Extension Agents

There are three ranks for extension agents: Associate Extension Agent, Extension Agent, and Senior Extension Agent. Criteria for promotion in rank include educational preparation, performance, and professionalism. The Director of Cooperative Extension makes a recommendation to the Provost based on an evaluation of the candidate’s dossier and recommendations of the Peer Review Committees, District Director, and Associate Directors of Cooperative Extension.

The following raises are recommended for promotions within Cooperative Extension:

<table>
<thead>
<tr>
<th>Rank</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Extension Agent</td>
<td>$7,000</td>
</tr>
<tr>
<td>Extension Agent</td>
<td>5,000</td>
</tr>
</tbody>
</table>

Extension Specialists

There are three ranks for extension specialists: Associate Extension Specialist, Extension Specialist, and Senior Extension Specialist. Extension faculty may or may not hold an appointment in an academic college. They are, nonetheless, subject to high professional standards in the dissemination of knowledge through the Virginia Cooperative Extension programs and in the planning and delivery of educational programs and programs of assistance to industries and local governmental agencies. Recommendations for
promotion in rank are made to the Provost based on an evaluation of the candidate’s dossier and recommendations of the Promotion Review Committee and Department Head and/or District Director.

The following raises are recommended for promotions to:

<table>
<thead>
<tr>
<th>Position</th>
<th>Raise</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Extension Specialist</td>
<td>$7,000</td>
</tr>
<tr>
<td>Extension Specialist</td>
<td>5,000</td>
</tr>
</tbody>
</table>

Virginia Tech Carilion School of Medicine Faculty

Faculty members of the Virginia Tech Carilion School of Medicine are of two types: faculty employed by the university or faculty employed by affiliate entities (in most cases Carilion Clinic). At all times, regardless of employer, faculty members providing instruction, academic support, or performing academic duties or roles as a Virginia Tech Carilion School of Medicine faculty member are governed by Virginia Tech’s policies and procedures. In the Virginia Tech Carilion School of Medicine, tenure-to-title is granted at the discretion of the school without any right to, interest in, or expectation of any compensation or guarantee for compensation or future employment and is granted only in the Virginia Tech Carilion School of Medicine to individuals who are not employed by Virginia Tech. Tenure-to-title is recognition of a faculty member’s significant accomplishments in teaching, clinical care (if relevant), scholarship, and service to the school.

The tenure-to-title and/or promotion in rank dossier is reviewed at three levels: (1) by an appropriately charged departmental committee and the department head or chair, (2) by an appropriately charged college-level committee and the dean, (3) and by the Provost. The department head or chair and dean make separate recommendations to the subsequent review levels. The Provost reviews college and dean recommendations and makes recommendations to the President. The Board of Visitors grants final approval.

Annual Evaluation and Salary Adjustments

Teaching and Research Faculty

An evaluation of every faculty member’s professional performance is held each year. All persons holding non-temporary faculty appointments are asked to prepare a report at the end of each academic year (or other appropriate 12-month period) citing their instructional activities, creative scholarship, and other professional activities and recognitions during the year. Salary recommendations are based upon performance documented in these annual reports, which are reviewed by departmental personnel committees in some cases, by the department head or chair, and the dean.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the department head or chair and are reviewed by the
The dean then provides the salary adjustment recommendations for review by university leadership prior to submission to President or designee.

**Administrative/Professional Faculty**

The Administrative/Professional Faculty are comprised of Senior Administrators and Managers and Professionals. Senior Administrators perform work directly related to management of the educational and general (E&G) activities of the institution at least 50 percent or more of their contractual time, and typically serve in executive leadership roles such as vice president, dean, director, and assistant or associate vice president or dean. Managers have responsibility for supervision and evaluation of a significant number of staff and/or professional faculty, and budgetary responsibility for their unit or a substantive program. Professionals provide direct service to students, other university constituencies, or clients external to the university as part of the university’s missions of learning, discovery, and engagement. Professionals include, but are not limited to, extension agents, librarians, coaches, physicians, lawyers, engineers, architects, student or academic affairs professionals, development officers, specialists in public relations, human resources, information technology, and finance.

Evaluations are based upon standards set by the supervisor with the participation of the faculty member and relate closely to the duties inherent in the functional title and job description of the position. Annually set expectations become one of the important criteria for judging professional job performance in the subsequent year. In addition to maintaining a high level of performance in carrying out their job-related duties and responsibilities, senior administrators, managers, and professionals are expected to participate in and provide leadership of departmental, divisional, or university-wide committees, special university-wide assignments, or similar activity on behalf of important university priorities.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the supervisor and are reviewed as appropriate by the department head, dean, and vice president. The dean or vice president provides salary adjustment recommendations for approval by university leadership prior to being considered by the President or designee.

**Research Faculty**

Research faculty are those with the titles of research associate, senior research associate, postdoctoral associate, research scientist, senior research scientist, research assistant professor, research associate professor, research professor, project associate, senior project associate, or project director. Research faculty appointments are intended to promote and expedite the research activities of the university. Tenure cannot be earned in these ranks and service is not applicable toward probationary faculty service. Each research faculty member is evaluated and given a merit adjustment on the same schedule for evaluations and raise recommendations as the other faculty groups. Salary
adjustments are based on merit; they are not automatic. An annual performance review by the principal investigator and/or department head becomes part of the basis for salary adjustments. Recommendations for salary adjustments originate with the supervisor (usually the principal investigator or the department head or chair) and are reviewed, as appropriate, by the department head or chair, dean, and vice president for research and innovation. At the university level, the dean or vice president reviews the salary adjustment with university leadership prior to being considered by the President or designee.

**Other Salary Adjustments**

Faculty salary adjustments are normally reviewed and approved in two phases: adjustments for promotion are recommended at the June meeting and compensation programs are planned in the university budget process and in compensation plans developed in congruence with any applicable state compensation program.

In addition to this process, it is sometimes necessary to adjust the salaries of specific faculty members at other times during the fiscal year. These adjustments are primarily for changes in duties and responsibilities, special temporary assignments, retention or other exceptional needs, and faculty selected for a different position as part of a search. Adjustments on the anniversary date of appointment for a restricted faculty member may also be approved in lieu of the normal merit process.

To recognize continued educational attainment, faculty members may receive a base salary adjustment of up to $3,000 for completion of the doctorate effective upon official certification by the degree-granting institution that all requirements have been met for award of the degree.

By a separate resolution, the Board has delegated authority to the President, or designee for various employment and salary adjustments. The President, Provost, and Chief Operating Officer are authorized to administer the faculty compensation plan during the year and act upon requests for salary adjustments. The President has issued a set of guidelines establishing the parameters for approval of special salary adjustments. The quarterly Personnel Changes Report will reflect those actions of strategic importance to the institution not otherwise delegated through separate resolution.

**Faculty Research Incentive Plan**

During 2011-12, a university workgroup developed a university savings program by incentivizing faculty research activities. This effort resulted in the Board’s creation of a Faculty Research Incentive Program (FRIP) that has similarities to programs at peer institutions. This plan was implemented in 2012-13 and will be continued in 2024-25.

The goal of the FRIP is to provide an incentive for principal or co-principal investigators to secure additional competitively awarded, externally sponsored activities. Through the
leveraging of appropriately charged time to competitive grants and contracts, research
time that is funded by departments or colleges can be reduced, resulting in salary savings
that can be used to both support the incentive program as well as to support academic
initiatives.

One-time research incentive payments are made from department or college salary
savings and are based on a minimum savings threshold that is applied equitably within
departments or colleges. Faculty must apply in advance to be considered for the program.
Research incentive payments must be approved by the department head or chair, the
dean, and the vice president for research and innovation (or the appropriate
administrators based on reporting structure); all disapprovals must also be reviewed by
each management level. When salary savings result in a reduction in faculty assignments,
those salary savings are excluded from the program.

**Update on 2023-24 Faculty Compensation Plan**

Consistent with the biennial budget approved by the Governor and General Assembly,
the Board of Visitors approves an average three-percent faculty merit increase for
teaching, research, administrative and professional faculty, effective on the July 1, 2024
paycheck, with salary increases being implemented differentially based on individual
performance. The President, or designee, shall implement the results of the merit
program within the parameters specified in the final state Appropriation Act and the
university’s Faculty Compensation Plan. A summary of the results of this process will be
shared with the Board at its next regularly scheduled meeting following full
implementation of the plan.

**Other 2024-25 Compensation Actions**

To maintain and improve upon the university’s standing relative to the 50th percentile of
the Top 20 Land Grant peers, the higher levels of competing offers offered to key faculty,
and to minimize the high cost of turnover, the university will continue to explore
opportunities to improve the competitiveness of Virginia Tech faculty compensation.

In addition to the merit program outlined previously, the university may also elect to create
a supplemental pool to achieve certain targeted salary compensation or retention needs.
For example, in some years the university has worked to address issues such as salary
compression and equity needs. For 2024-25, such changes may result from one or more
of the following processes:

- The university establishes a special pool of funds to address salary for faculty who
  have achieved national distinction in their field. The funding will only be used to make
  adjustments based on evaluations of specific circumstances surrounding individual
  faculty members. As such, these adjustments would not be available to all faculty
members and may occur at any time during the year, subject to approval by the President or designee.

- The President may use a special pool of funds to adjust individual salary recommendations made by the vice presidents and deans when he determines that a different adjustment is warranted.

**RECOMMENDATION:**

That the proposed 2024-25 Faculty Compensation Plan be approved.

June 11, 2024
VIRGINIA TECH

T&R Faculty Peer Salary Benchmarking

Fall 2022

Top 20 Land Grants Ranked in THE 2023 World Ranking*

<table>
<thead>
<tr>
<th>Institution</th>
<th>Average T&amp;R Salary (1)</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>University of California-Davis</td>
<td>$151,148</td>
<td>1</td>
</tr>
<tr>
<td>University of Maryland-College Park</td>
<td>135,474</td>
<td>2</td>
</tr>
<tr>
<td>University of Wisconsin Madison</td>
<td>128,426</td>
<td>3</td>
</tr>
<tr>
<td>University of Delaware</td>
<td>124,021</td>
<td>4</td>
</tr>
<tr>
<td>Ohio State University – Main Campus</td>
<td>122,952</td>
<td>5</td>
</tr>
<tr>
<td>University of Illinois at Urbana-Champaign</td>
<td>122,060</td>
<td>6</td>
</tr>
<tr>
<td>Purdue University – Main Campus</td>
<td>121,387</td>
<td>7</td>
</tr>
<tr>
<td>University of Hawaii Manoa</td>
<td>120,613</td>
<td>8</td>
</tr>
<tr>
<td>Texas A&amp;M College Station</td>
<td>119,976</td>
<td>9</td>
</tr>
<tr>
<td>Rutgers University – New Brunswick</td>
<td>119,251</td>
<td>10</td>
</tr>
<tr>
<td>University of Minnesota – Twin Cities</td>
<td>116,648</td>
<td>11</td>
</tr>
<tr>
<td>University of Massachusetts Amherst</td>
<td>116,437</td>
<td>12</td>
</tr>
<tr>
<td>Michigan State University</td>
<td>116,379</td>
<td>13</td>
</tr>
<tr>
<td><strong>Virginia Tech</strong></td>
<td><strong>115,498</strong></td>
<td>14</td>
</tr>
<tr>
<td>University of Florida</td>
<td>114,823</td>
<td>15</td>
</tr>
<tr>
<td>University of Tennessee-Knoxville</td>
<td>108,731</td>
<td>16</td>
</tr>
<tr>
<td>North Carolina State University</td>
<td>108,689</td>
<td>17</td>
</tr>
<tr>
<td>University of Arizona</td>
<td>102,736</td>
<td>18</td>
</tr>
<tr>
<td>Washington State University</td>
<td>96,937</td>
<td>19</td>
</tr>
<tr>
<td>Pennsylvania State University – Main Campus</td>
<td>**</td>
<td>20</td>
</tr>
</tbody>
</table>

Virginia Tech Actual Salary Average Percentile 37th

(1) Average salary of peer institutions is based on the latest available data (Fall 2022) from IPEDS

*Excludes University of California-Berkeley and Cornell University

**Pennsylvania State University data under review with IPEDs
2024-25 T&R Faculty Proposed Pay Structure

Virginia Tech

<table>
<thead>
<tr>
<th>Rank</th>
<th>Minimum Entering Salary for 9-Month T&amp;R Faculty</th>
<th>Minimum Entering Salary for 12-Month T&amp;R Faculty</th>
<th>Distribution of Faculty by Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Entrance</td>
<td>Change</td>
<td>Entrance</td>
</tr>
<tr>
<td>Professor</td>
<td>$109,605</td>
<td>3.0%</td>
<td>$133,679</td>
</tr>
<tr>
<td>Associate Professor</td>
<td>83,829</td>
<td>3.0%</td>
<td>101,578</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>69,348</td>
<td>3.0%</td>
<td>84,352</td>
</tr>
<tr>
<td>Senior Instructor</td>
<td>59,477</td>
<td>3.0%</td>
<td>77,390</td>
</tr>
<tr>
<td>Advanced Instructor</td>
<td>53,027</td>
<td>3.0%</td>
<td>68,792</td>
</tr>
<tr>
<td>Instructor</td>
<td>48,602</td>
<td>3.0%</td>
<td>63,236</td>
</tr>
</tbody>
</table>
2024-25 Compensation for Graduate Assistants

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

May 15, 2024

Background

Graduate students who serve as graduate assistants while pursuing their master’s or doctoral degrees provide valuable contributions to the university. Many teach undergraduate classes while others support faculty in scholarly and sponsored research activities. To be competitive in the recruitment and retention of high-quality graduate students, it is important that the university provide compensation packages that are comparable to those offered by peer institutions. The key components of the total compensation package are a stipend, stipend supplement, tuition assistance, and health insurance benefit.

Graduate Stipends

Across the campus, graduate assistants have a variety of responsibilities. To recognize the differences in services performed by these students, the university created a stipend scale that defines ranges of stipend amounts, providing academic and support units flexibility in compensating graduate assistants. The levels within the stipend table have been adjusted over the years to remain competitive.

To respond to increasing competition for quality graduate students among peer institutions, the university took several actions beginning in the Fall 2023 to put Virginia Tech in a competitive position relative to peers. The result of those actions was the adoption of a graduate stipend scale with 50 pay ranges (Attachment). These ranges provide flexibility in situations where a defined level of resources does not exactly match one of the existing steps and allow for an actual stipend to be established within the range of a step. In an effort to increase minimum stipend levels, starting in 2023-24, the university restricted steps 1-11 to be used only in instances where a student was receiving a fellowship that in combination with a graduate stipend in that range would result in a total of at least the minimum stipend level of Step 12.

Graduate Stipend Supplement

In 2011-12, an academic year supplement was added to the graduate stipend scale to help offset university assigned costs such as the Health Services fee. As a result, the graduate assistantship stipend is currently comprised of two components: 1) a base stipend and 2) a fixed supplement. For administrative efficiency and processing, the two components are combined into the traditional stipend scale. As of Spring 2024, the current average monthly stipend for full-time graduate assistants is $2,713 per month, which falls within step 15 of the 2023-24 stipend scale. This represents a 11.6 percent increase over the prior year.


**Tuition Assistance**

The tuition remission program for graduate students on assistantship includes the remission of tuition, mandatory Educational and General (E&G) fees (excluding the state assigned Commonwealth Capital and Equipment Fee), and non-executive graduate program fees. Tuition remission benefits are provided on a per-semester basis for the duration of the contracted period. The tuition program is financed by four sources including: the General Fund appropriation for graduate student financial assistance, a tuition remission program in the university’s E&G budget, tuition payments planned in the budgets of externally sponsored grants and contracts, and private funds.

In the case of an early termination of an assistantship, tuition remission benefits are prorated to align with the portion of the semester completed, as displayed on Table 1.

<table>
<thead>
<tr>
<th>Number of Weeks into Semester When Assistantship is Terminated</th>
<th>Student Tuition &amp; E&amp;G Fee Obligation</th>
<th>Department Tuition &amp; E&amp;G Fee Obligation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than four</td>
<td>100%</td>
<td>0%</td>
</tr>
<tr>
<td>Four through less than eight</td>
<td>75%</td>
<td>25%</td>
</tr>
<tr>
<td>Eight through less than twelve</td>
<td>50%</td>
<td>50%</td>
</tr>
<tr>
<td>Twelve through less than sixteen</td>
<td>25%</td>
<td>75%</td>
</tr>
<tr>
<td>Sixteen or more (full semester)</td>
<td>0%</td>
<td>100%</td>
</tr>
</tbody>
</table>

**Health Insurance**

In 2001-02, the university implemented a health insurance program for graduate students on assistantship as a part of the Board-approved graduate student compensation package to enhance the university’s competitiveness in recruiting highly qualified graduate students. The program was designed to help full-time graduate students receiving a full or partial assistantship, including graduate research assistants, graduate teaching assistants, and other graduate assistants, offset a portion of the cost of health insurance premiums. The university has worked with graduate student representatives over time to improve the overall mix and value of benefits provided through the health insurance program, including action by the Board of Visitors in 2018-19 to approve a health insurance subsidy rate of 88 percent for graduate assistants, matching the university’s share of employee health insurance programs.

In order to qualify for the health insurance subsidy, full-time graduate students must have a 50 percent or greater appointment. Graduate students also have the option to decline coverage if they choose. In 2023-24 the university provided 88 percent of the $3,573 annual premium cost of the plan to 2,859 graduate students. The plan provided for a $450 in-network annual deductible, $6,250 per-person out-of-pocket maximum, $25 co-pay for in-network doctors’ visits, and an unlimited maximum benefit. Students can obtain optional dental benefits for an additional cost.
Recent Events

Because the university desires to ensure a competitive compensation package, the Provost and Dean of the Graduate School, at the behest of the President, convened a task force to develop proposals for improving graduate student compensation. In February 2023, this group released its Report of the Graduate Assistantship Support Task Force with eight recommendations designed to help graduate assistants meet the cost of living where they reside and complete their academic programs.

Based on this work, the board approved raising the minimum stipend from Step 1 to Step 12 for 2023-24. Lower steps were reserved for stipend and fellowship combinations that resulted in total monthly support of at least the new minimum.

For 2024-25 the university recommends raising the minimum stipend from Step 12 to Step 14, with steps 1-13 reserved for stipend and fellowship combinations that result in total monthly support of at least the new minimum.

Proposed Graduate Assistant Compensation Plan for 2024-25

The university proposes the following actions:

- Establishment of a minimum stipend of Step 14 for assistantships, with steps 1-13 requiring the combination of a fellowship and stipend that results in total support of at least the minimum stipend level.
- Advancing the stipend scale for 2024-25 by implementing a 3.0 percent increase effective August 10, 2024, consistent with the statewide employee compensation program.
- Maintaining the current academic year Stipend Supplement of $458 to help mitigate university assigned costs.
- Continuing the university share of the graduate assistant health insurance coverage at 88 percent, based upon the university’s current estimate the cost of graduate student insurance coverage.
- Continuing the graduate tuition remission program.

RECOMMENDATION

That the graduate assistant compensation program for 2024-25 be approved.

June 11, 2024
## 2024-25 Full-Time Graduate Monthly Stipend Compensation (Revised)
Effective August 10, 2024

<table>
<thead>
<tr>
<th>Step</th>
<th>Monthly Base</th>
<th>Supplement</th>
<th>Total Stipend</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Monthly</td>
</tr>
<tr>
<td>Step 1 *</td>
<td>$1,801</td>
<td>$1,801</td>
<td>$1,852</td>
</tr>
<tr>
<td>Step 2 *</td>
<td>1,802</td>
<td>1,872</td>
<td>1,923</td>
</tr>
<tr>
<td>Step 3 *</td>
<td>1,873</td>
<td>1,940</td>
<td>1,991</td>
</tr>
<tr>
<td>Step 4 *</td>
<td>1,941</td>
<td>2,008</td>
<td>2,059</td>
</tr>
<tr>
<td>Step 5 *</td>
<td>2,010</td>
<td>2,075</td>
<td>2,126</td>
</tr>
<tr>
<td>Step 6 *</td>
<td>2,079</td>
<td>2,148</td>
<td>2,199</td>
</tr>
<tr>
<td>Step 7 *</td>
<td>2,149</td>
<td>2,215</td>
<td>2,266</td>
</tr>
<tr>
<td>Step 8 *</td>
<td>2,216</td>
<td>2,285</td>
<td>2,336</td>
</tr>
<tr>
<td>Step 9 *</td>
<td>2,288</td>
<td>2,353</td>
<td>2,404</td>
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<td>Step 10 *</td>
<td>2,354</td>
<td>2,424</td>
<td>2,475</td>
</tr>
<tr>
<td>Step 11 *</td>
<td>2,425</td>
<td>2,488</td>
<td>2,539</td>
</tr>
<tr>
<td>Step 12 *</td>
<td>2,491</td>
<td>2,556</td>
<td>2,607</td>
</tr>
<tr>
<td>Step 13 *</td>
<td>2,599</td>
<td>2,628</td>
<td>2,679</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Minimum Base</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 14 - Minimum</td>
<td>2,631</td>
<td>2,696</td>
<td>2,747</td>
<td>24,138</td>
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<tr>
<td>Step 15</td>
<td>2,698</td>
<td>2,767</td>
<td>2,818</td>
<td>24,741</td>
</tr>
<tr>
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* Steps 1-13 require supplemental fellowship. Total stipend and fellowship must meet minimum of Step 14. Exceptions necessary to accommodate external funding agency requirements are subject to approval by the Dean of Graduate Education.
To recognize the largely independent nature of doctoral students who have completed two years of course work, passed their preliminary exam, and are engaged in research and dissertation efforts, the Board of Visitors approved a lower tuition rate for research and dissertation hours for students in this status in March 2021. Candidacy Status is conferred upon application to and certification by the Graduate School that a student has completed two years of course work and passed their preliminary exam. This rate does not apply to executive graduate programs. The current candidacy status rates are discounted 10% from standard graduate tuition as affirmed by the Board of Visitors at the April 2024 meeting.

A reduced tuition rate for Candidacy Status is intended to incentivize time-to-degree for Ph.D. students, minimize the cost to research programs, and better position the university within the competitive market. As an incentive to graduate, the rate is available for a maximum of two years for full-time students and the rate will be automatically applied in the next semester after the Graduate School affirms a student’s candidacy status. To further advance these goals and support the Virginia Tech Global Distinction initiative, the university proposes to increase the candidacy status discount from 10% to 15% for 2024-25. The university is planning for this change in the 2024-25 budget development process.

The 2024-25 proposed Candidacy Status academic year rates are below.

<table>
<thead>
<tr>
<th>Discount from standard Graduate Tuition Rates</th>
<th>2024-25 BOV Approved Candidacy Status Rate</th>
<th>2024-25 Proposed Candidacy Status Rate</th>
<th>Rate Decrease</th>
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<tbody>
<tr>
<td>Graduate Resident Blacksburg</td>
<td>$14,191</td>
<td>$13,403</td>
<td>($788)</td>
</tr>
<tr>
<td>Graduate Nonresident Blacksburg</td>
<td>28,521</td>
<td>26,937</td>
<td>(1,584)</td>
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<td>Graduate Resident Extended Campus</td>
<td>15,701</td>
<td>14,829</td>
<td>(872)</td>
</tr>
<tr>
<td>Graduate Nonresident Extended Campus</td>
<td>30,526</td>
<td>28,830</td>
<td>(1,696)</td>
</tr>
</tbody>
</table>

RECOMMENDATION:

The board approves the Graduate Candidacy tuition rate as recommended effective Fall semester 2024.

June 11, 2024
Financial Performance Report – Operating and Capital

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

July 1, 2023 to March 31, 2024

The Financial Performance Report of income and expenditures is prepared from two sources: actual accounting data as recorded at Virginia Tech and the annual budgets which are also recorded in the university accounting system. The actual accounting data reflect the modified accrual basis of accounting, which recognizes revenues when received rather than when earned and commitments to buy goods and services as encumbrances when obligated and as an expenditure when paid. The Original Budget was approved by the Board of Visitors at the June meeting. The Adjusted Budget reflects adjustments to incorporate actual experience or changes made during the fiscal year. These changes are presented for review and approval by the Finance and Resource Management Committee and the Board of Visitors through this report. Where adjustments impact appropriations at the state level, the university coordinates with the Department of Planning and Budget to ensure appropriations are reflected accurately.

The July to March 2023-24 budget (year-to-date) is prepared from historical data which reflects trends in expenditures from previous years as well as known changes in timing. Differences between the actual income and expenditures and the year-to-date budget may occur for a variety of reasons, such as an accelerated or delayed flow of documents through the accounting system, a change in spending patterns at the college level, or increases in revenues for a particular area.

Quarterly budget estimates are prepared to provide an intermediate measure of income and expenditures. Actual revenues and expenditures may vary from the budget estimates. The projected year-end budgets are, however, the final measure of operating budget performance.

Capital program performance is measured against the Total Project Budget. The Total Project Budget amounts reflect appropriations and authorizations established by the State or Board of Visitors for each capital project. These amounts are recorded in the accounting system with revenue and expenditure budgets upon the effective date of each project, which normally occurs on July 1 or after Board of Visitors approval. Under restructuring authorities, university administration may make minor changes to a Total Project Budget, within ten percent, and the revised Total Project Budget is shown on the subsequent quarterly report. The Cumulative Expenditures reflect lifetime-to-date activity until a project is complete, and a project's life spans multiple fiscal years. The Annual Budgets are estimates of expected activity for a 12-month portion of the life of a project. Spending pace for a project may periodically slow or accelerate during a year for a variety of reasons including shifts in construction start dates, contractor performance or billing cycles, and supply chain disruptions. The Annual Budgets are revised accordingly and shown on the subsequent quarterly report.

RECOMMENDATION:

That the report of income and expenditures for the University Division and the Cooperative Extension/Agricultural Experiment Station Division for the period of July 1, 2023 through March 31, 2024 and the Capital Outlay report be approved.

June 11, 2024
<table>
<thead>
<tr>
<th>Educational and General Programs</th>
<th>Actual</th>
<th>Budget</th>
<th>Change</th>
<th>Original</th>
<th>Adjusted</th>
<th>Change</th>
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<td>$1,007,633</td>
<td>$1,019,803</td>
<td>$12,170</td>
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<td><strong>Expenses</strong></td>
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</table>

* All Other Programs include federal work study, surplus property, local funds, and unique military activities.
OPERATING BUDGET

1. Tuition and fee revenues are higher than projected due to timing of tuition revenues.

2. The budget for federal revenue is established to match projected allotments from the federal government that are expected to be drawn down during the state fiscal year. All expenses in federal programs are covered by drawdowns of federal revenue up to allotted amounts. Federal revenue in the Cooperative Extension and Agriculture Experiment Station Division is lower than projected due to the timing of federal drawdowns.

3. Quarterly and projected annual variances are explained in the Auxiliary Enterprises section of this report.

4. Historical patterns have been used to develop a measure of the revenue and expenditure activity for Sponsored Programs. Actual revenues and expenses may vary from the budget estimates because projects are initiated and concluded on an individual basis without regard to the fiscal year. Total sponsored research revenues are higher than projected. The sponsored research expenditures are 14.2% higher than March 31, 2023.

5. Expenses for All Other Programs were lower than projected due to timing of expenditures and lower than projected Surplus Property activity.

6. As a result of the 2023 Special Session, the annual budget for the University Division General Fund was increased $9.2 million for general fund support of affordability, and increased $2.4 million for the general fund share of salary and fringe benefit rate changes. The budget was decreased $1.1 million for the TTIP Masters Enrollment adjustment from the Commonwealth. The corresponding expenditure budgets have been adjusted accordingly.

7. The annual budget for Tuition & Fees was increased $0.3 million for tuition and fee budget finalization, $3.1 million to supplant nongeneral fund scholarships with general funds allocated for Student Financial Aid in the 2023 Special Session of the General Assembly, increased $2.7 million for Fall 2023 enrollment variances, driven primarily by higher than projected graduate enrollments, and increased $2.1 million during Spring 2024. The budget was decreased $8.2 million for BOV approved tuition rebate scholarship, $0.8 million for lower than projected summer and winter activity. The corresponding expenditure budgets have been adjusted accordingly.

8. The University Division All Other Programs Income budget was increased $1.0 million for VTCSOM Partnership share of FY23 carryover and $1.3 million for Veterinary Medicine self-generated earmarks. The corresponding expenditure budgets have been adjusted accordingly.

9. The annual budget for Cooperative Extension/Agriculture Experiment State Division General Fund increased $0.7 million for the general fund share of the state compensation program and fringe benefits. The corresponding expenditure budgets have been adjusted accordingly.

10. The federal revenue budget in the Cooperative Extension/Agricultural Experiments Station Division has been increased $1.6 million for the carryover of federal funds to FY24. The corresponding expenditure budgets have been adjusted accordingly.

11. As a result of the 2023 Special Session of the General Assembly, Sponsored projects revenue and expenditure budgets were increased $1.0 million for Transcranial Magnetic Stimulation research at the Fralin Biomedical Research Institute and $0.15 million for Virginia Racing Revenue activity.

12. The student financial assistance revenue and expenditure budgets were decreased $0.6 million for the finalization of the Student Financial Aid budget, increased $3.1 million for General Fund Support of resident undergraduate students from the 2023 Special Session of the General Assembly, increased $0.4 million for the SCHEV Pell Initiative, increased $8.2 million for the tuition rebate scholarship, decreased $0.5 million to support tuition mitigation, and increased $0.1 million due to higher than projected VMSDEP stipend activity.

13. The projected annual budgets for All Other Programs were increased $0.7 million to finalize budgets and $0.3 million for increased Surplus Property business volume. The projected annual revenue budgets were increased $8.6 million for an approved capital plan. The projected annual expense budgets were increased $1.2 million for outstanding 2022-23 commitments that were initiated but not completed before June 30, 2023 and increased $7.5 million for the approved capital plan.
### Residence and Dining Halls *

<table>
<thead>
<tr>
<th></th>
<th>Actual</th>
<th>Budget</th>
<th>Change</th>
<th>Original</th>
<th>Adjusted</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td>$157,070</td>
<td>$155,255</td>
<td>$1,815</td>
<td>$173,675</td>
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<td><strong>Expenses</strong></td>
<td>-103,824</td>
<td>-110,266</td>
<td>6,442</td>
<td>-170,541</td>
<td>-172,045</td>
<td>-1,504</td>
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<td><strong>Reserve Drawdown/(Deposit)</strong></td>
<td>-53,246</td>
<td>-44,989</td>
<td>-8,257</td>
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### Parking and Transportation

<table>
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<tr>
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<th>Budget</th>
<th>Change</th>
<th>Original</th>
<th>Adjusted</th>
<th>Change</th>
</tr>
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<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td>$23,702</td>
<td>$22,598</td>
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<td>$24,284</td>
<td>$25,013</td>
<td>$729</td>
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<td><strong>Expenses</strong></td>
<td>-12,333</td>
<td>-13,574</td>
<td>1,241</td>
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<td><strong>Reserve Drawdown/(Deposit)</strong></td>
<td>-11,369</td>
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### Telecommunications Services

<table>
<thead>
<tr>
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<th>Change</th>
<th>Original</th>
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<th>Change</th>
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<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td>$21,409</td>
<td>$21,336</td>
<td>$73</td>
<td>$27,790</td>
<td>$26,726</td>
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<td><strong>Expenses</strong></td>
<td>-21,282</td>
<td>-22,502</td>
<td>1,220</td>
<td>-26,055</td>
<td>-31,679</td>
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<tr>
<td><strong>Reserve Drawdown/(Deposit)</strong></td>
<td>-127</td>
<td>1,166</td>
<td>-1,293</td>
<td>-1,735</td>
<td>4,953</td>
<td>6,688</td>
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### University Services * **

<table>
<thead>
<tr>
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<th>Change</th>
<th>Original</th>
<th>Adjusted</th>
<th>Change</th>
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<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td>$65,466</td>
<td>$64,283</td>
<td>$1,183</td>
<td>$65,062</td>
<td>$64,813</td>
<td>$-249</td>
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<tr>
<td><strong>Expenses</strong></td>
<td>-51,358</td>
<td>-55,705</td>
<td>4,347</td>
<td>-63,538</td>
<td>-72,545</td>
<td>-9,007</td>
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<tr>
<td><strong>Reserve Drawdown/(Deposit)</strong></td>
<td>-14,108</td>
<td>-8,578</td>
<td>-5,530</td>
<td>-1,524</td>
<td>7,732</td>
<td>9,256</td>
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### Intercollegiate Athletics *

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<thead>
<tr>
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<th>Actual</th>
<th>Budget</th>
<th>Change</th>
<th>Original</th>
<th>Adjusted</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td>$77,470</td>
<td>$77,393</td>
<td>$77</td>
<td>$95,786</td>
<td>$104,263</td>
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<tr>
<td><strong>Expenses</strong></td>
<td>-78,957</td>
<td>-78,810</td>
<td>-147</td>
<td>-91,010</td>
<td>-95,891</td>
<td>-4,881</td>
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<tr>
<td><strong>Reserve Drawdown/(Deposit)</strong></td>
<td>1,487</td>
<td>1,417</td>
<td>70</td>
<td>4,776</td>
<td>8,372</td>
<td>3,596</td>
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### Electric Service *

<table>
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<tr>
<th></th>
<th>Actual</th>
<th>Budget</th>
<th>Change</th>
<th>Original</th>
<th>Adjusted</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td>$32,939</td>
<td>$32,237</td>
<td>$702</td>
<td>$43,740</td>
<td>$44,892</td>
<td>$1,152</td>
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<tr>
<td><strong>Expenses</strong></td>
<td>-32,533</td>
<td>-32,499</td>
<td>-34</td>
<td>-41670</td>
<td>-44,490</td>
<td>-2820</td>
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<tr>
<td><strong>Reserve Drawdown/(Deposit)</strong></td>
<td>-406</td>
<td>262</td>
<td>-668</td>
<td>-2,070</td>
<td>1668</td>
<td>1668</td>
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<tr>
<td><strong>Net</strong></td>
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### Inn at VT/Skelton Conf. Center

<table>
<thead>
<tr>
<th></th>
<th>Actual</th>
<th>Budget</th>
<th>Change</th>
<th>Original</th>
<th>Adjusted</th>
<th>Change</th>
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</thead>
<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td>$10,298</td>
<td>$10,008</td>
<td>$290</td>
<td>$11,840</td>
<td>$13,500</td>
<td>$1,660</td>
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<tr>
<td><strong>Expenses</strong></td>
<td>-9,399</td>
<td>-10,150</td>
<td>751</td>
<td>-12,905</td>
<td>-14,090</td>
<td>-1,185</td>
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<tr>
<td><strong>Reserve Drawdown/(Deposit)</strong></td>
<td>-899</td>
<td>142</td>
<td>-1,041</td>
<td>1,065</td>
<td>590</td>
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### Other Enterprise Functions ***

<table>
<thead>
<tr>
<th></th>
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<th>Budget</th>
<th>Change</th>
<th>Original</th>
<th>Adjusted</th>
<th>Change</th>
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</thead>
<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td>$10,416</td>
<td>$9,221</td>
<td>$1,195</td>
<td>$10,547</td>
<td>$10,919</td>
<td>$372</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td>-3,702</td>
<td>-4,117</td>
<td>415</td>
<td>-7,835</td>
<td>-9,942</td>
<td>-2,107</td>
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<tr>
<td><strong>Reserve Drawdown/(Deposit)</strong></td>
<td>-6,714</td>
<td>-5,104</td>
<td>-1,610</td>
<td>-2,712</td>
<td>-977</td>
<td>1,735</td>
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### TOTAL AUXILIARIES

<table>
<thead>
<tr>
<th></th>
<th>Actual</th>
<th>Budget</th>
<th>Change</th>
<th>Original</th>
<th>Adjusted</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td>$398,770</td>
<td>$392,331</td>
<td>$6,439</td>
<td>$452,724</td>
<td>$458,028</td>
<td>$5,304</td>
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<tr>
<td><strong>Expenses</strong></td>
<td>-313,388</td>
<td>-327,623</td>
<td>$14,235</td>
<td>-435,098</td>
<td>-465,130</td>
<td>-30,032</td>
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<tr>
<td><strong>Reserve Drawdown/(Deposit)</strong></td>
<td>-85,382</td>
<td>-64,708</td>
<td>-20,674</td>
<td>-17,626</td>
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<td>24,728</td>
</tr>
<tr>
<td><strong>Net</strong></td>
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<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

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* University Systems include Dormitory and Dining Hall System, University Services System, Intercollegiate Athletics System, and Electric Service System. The Systems were created to provide assurance to bond holders that system revenues are pledged for the payment of debt service and to allow for dedicated repair and replacement that are not subject to liens of any creditor of the university.

** University Services System includes Career & Professional Development, Center for the Arts, Health Services, Recreational Sports, Student Engagement & Campus Life, Cultural and Community Centers, Student Organizations, and the VT Rescue Squad.

*** Other Enterprise Functions include Golf Course, Hokie Passport, Library Café, Library Photocopy, Licensing & Trademark, Little Hokie Hangout, New Student and Family Programs, Pouring Rights, Software Sales, Tailor Shop and Clearing Accounts.
AUXILIARY ENTERPRISE BUDGET

1. Revenues in Residence and Dining Halls are higher than projected due to higher than budgeted self-generated revenues primarily from interest earnings and summer conferences. Expenses are lower than projected due to timing of expenses.

2. Revenues in Parking and Transportation Services are higher than projected due to higher than budgeted permit and self-generated revenues. Expenses are lower than projected due to timing of expenses and Fleet Services vehicle replacement purchases.

3. Expenses in Telecommunications Services are lower than projected due to timing of network telecommunication projects.

4. Revenues for the University Services System are higher than projected due to higher than budgeted self-generated revenues. Expenses are lower than projected due to timing of operating expenses.

5. Revenue for Other Enterprise Functions are higher than projected due to increased business volume in New Student Programs and Software Sales.

6. The annual revenue and expense budgets for Residence and Dining Halls were decreased $5.5 million for lower dining business volume and timing of Dining’s Perry Place at Hitt Hall opening. The revenue budget was decreased for lower Steger Center enrollment and expense budget increased for higher operating costs.

7. In June 2023, the annual revenue, expense, and reserve budgets for Auxiliary Enterprises were adjusted for technical alignments and finalization of fixed cost estimates. In addition, the annual revenue, expense, and reserve budgets for Auxiliary Enterprises were adjusted for the state 2% compensation program and board approved comprehensive fee and room and board reductions.

8. The annual expense budget for Auxiliary Enterprises was increased $25.3 million for outstanding 2022-23 commitments and projects that were initiated but not completed before June 30, 2023.

<table>
<thead>
<tr>
<th>Auxiliary Enterprise</th>
<th>Outstanding Commitments</th>
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</thead>
<tbody>
<tr>
<td>Residence and Dining Halls</td>
<td>$5,312,170</td>
</tr>
<tr>
<td>Parking and Transportation</td>
<td>1,390,856</td>
</tr>
<tr>
<td>Telecommunication Services</td>
<td>5,524,952</td>
</tr>
<tr>
<td>University Services System</td>
<td>8,262,740</td>
</tr>
<tr>
<td>Intercollegiate Athletics</td>
<td>2,409,303</td>
</tr>
<tr>
<td>Electric Service</td>
<td>1,618,422</td>
</tr>
<tr>
<td>Inn at Virginia Tech</td>
<td>(295,630)</td>
</tr>
<tr>
<td>Other Enterprise Functions</td>
<td>1,105,743</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>$25,328,556</strong></td>
</tr>
</tbody>
</table>
9. The annual expense and reserve budgets for Parking and Transportation Services were increased $2.0 million for transportation equipment maintenance. The revenue and expense budgets were increased $0.6 million for higher business volume.

10. The annual revenue and reserve budgets for Telecommunications Services were decreased by $1.0 million for timing of the residential network refresh project.

11. The annual expense and reserve budgets for the University Services System were increased $0.4 million for Rescue Squad ambulance replacement.

12. The annual revenue, expense, and reserve budgets for Intercollegiate Athletics were increased $1.1 million to accommodate the football team’s participation in the Military Bowl. The annual revenue budget was increased $2.7 million for insurance proceeds, $3.0 million for IMG Learfield, $0.6 million for ACC network revenues, $0.6 million for interest earnings, $0.4 million for women’s basketball revenues, $0.2 million for supplemental NCAA distribution, and $0.2 million private support for sports operating projects. The annual expense budget was increased $0.6 million for the board approved football locker room capital project, $1.0 million for stadium chairback seat agreement, $1.3 million for team travel and sports operating expenses, $0.8 million for recruiting, and $0.9 million for facility maintenance and supplies, partially offset by a decrease of $3.4 million for alignment of scholarship expenses to private fundraising.

13. The annual revenue, expense, and reserve budgets for The Inn at Virginia Tech and Skelton Conference Center were increased $0.5 million for higher than projected business volume.

14. The annual expense and reserve budgets for Other Enterprise Functions were increased for scholarship expenses in Licensing and Trademark and $0.3 million for privately funded Corps of Cadets physical training area.
## CAPITAL OUTLAY PROJECTS
### AUTHORIZED AS OF MARCH 31, 2024

**Dollars in Thousands**

### Educational and General Projects

#### Design Phase

<table>
<thead>
<tr>
<th>Project Description</th>
<th>Initiated</th>
<th>Annual Budget</th>
<th>YTD Expenditures</th>
<th>State Support</th>
<th>Nongeneral Support Fund</th>
<th>Revenue Bond</th>
<th>Total Budget</th>
<th>Cumulative Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mitchell Hall (Replace Randolph Hall)</td>
<td>Jul 2020</td>
<td>$12,500</td>
<td>$6,756</td>
<td>$264,453</td>
<td>$11,000</td>
<td>$16,828</td>
<td>$292,281</td>
<td>$14,298</td>
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<tr>
<td>Planning: New Business Building</td>
<td>Apr 2022</td>
<td>800</td>
<td>54</td>
<td>-</td>
<td>8,000</td>
<td>-</td>
<td>8,000</td>
<td>954</td>
</tr>
<tr>
<td>Expand VT-C SOM &amp; Fralin Biomedical Research Institute</td>
<td>Sept 2023</td>
<td>200</td>
<td>7</td>
<td>-</td>
<td>9,000</td>
<td>-</td>
<td>9,000</td>
<td>7</td>
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<tr>
<td>Improve Center Woods Complex</td>
<td>Nov 2023</td>
<td>100</td>
<td>14</td>
<td>550</td>
<td>296</td>
<td>-</td>
<td>846</td>
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#### Construction Phase

<table>
<thead>
<tr>
<th>Project Description</th>
<th>Initiated</th>
<th>Annual Budget</th>
<th>YTD Expenditures</th>
<th>State Support</th>
<th>Nongeneral Support Fund</th>
<th>Revenue Bond</th>
<th>Total Budget</th>
<th>Cumulative Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maintenance Reserve</td>
<td>On-going</td>
<td>18,728</td>
<td>14,182</td>
<td>39,175</td>
<td>-</td>
<td>-</td>
<td>39,175</td>
<td>28,752</td>
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<tr>
<td>Innovation Campus - Academic Building</td>
<td>Jul 2019</td>
<td>75,000</td>
<td>75,241</td>
<td>177,164</td>
<td>80,336</td>
<td>44,636</td>
<td>302,136</td>
<td>222,734</td>
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<tr>
<td>Hitt Hall</td>
<td>Apr 2017</td>
<td>22,000</td>
<td>26,761</td>
<td>-</td>
<td>31,657</td>
<td>53,343</td>
<td>85,000</td>
<td>64,646</td>
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<tr>
<td>Undergraduate Science Laboratory Building</td>
<td>Jul 2017</td>
<td>28,000</td>
<td>25,874</td>
<td>90,412</td>
<td>-</td>
<td>-</td>
<td>90,412</td>
<td>58,598</td>
</tr>
<tr>
<td>Building Envelope Improvements</td>
<td>Aug 2022</td>
<td>3,500</td>
<td>3,372</td>
<td>13,580</td>
<td>10,400</td>
<td>33,620</td>
<td>44,600</td>
<td>4,786</td>
</tr>
<tr>
<td>Life, Health, Safety, Accessibility, &amp; Code Compliance</td>
<td>Jul 2020</td>
<td>3,000</td>
<td>3,733</td>
<td>10,400</td>
<td>-</td>
<td>-</td>
<td>10,400</td>
<td>5,618</td>
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#### Equipment and Special Initiatives

<table>
<thead>
<tr>
<th>Project Description</th>
<th>Initiated</th>
<th>Annual Budget</th>
<th>YTD Expenditures</th>
<th>State Support</th>
<th>Nongeneral Support Fund</th>
<th>Revenue Bond</th>
<th>Total Budget</th>
<th>Cumulative Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fralin Biomedical Research Institute Equipment</td>
<td>Jul 2020</td>
<td>6,730</td>
<td>6,250</td>
<td>18,133</td>
<td>-</td>
<td>-</td>
<td>18,133</td>
<td>17,653</td>
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<tr>
<td>Equipment for Workforce Development</td>
<td>May 2021</td>
<td>2,000</td>
<td>750</td>
<td>34,444</td>
<td>-</td>
<td>-</td>
<td>34,444</td>
<td>11,268</td>
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#### Close-Out

<table>
<thead>
<tr>
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<th>Initiated</th>
<th>Annual Budget</th>
<th>YTD Expenditures</th>
<th>State Support</th>
<th>Nongeneral Support Fund</th>
<th>Revenue Bond</th>
<th>Total Budget</th>
<th>Cumulative Expenditures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data and Decision Science Building</td>
<td>Jul 2019</td>
<td>5,522</td>
<td>3,546</td>
<td>69,000</td>
<td>-</td>
<td>10,000</td>
<td>79,000</td>
<td>77,024</td>
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<tr>
<td>Commerce Street Property Acquisition</td>
<td>Jun 2023</td>
<td>555</td>
<td>-</td>
<td>555</td>
<td>-</td>
<td>555</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Corps Leadership and Military Science Building</td>
<td>Jun 2019</td>
<td>6,000</td>
<td>7,181</td>
<td>-</td>
<td>21,600</td>
<td>30,400</td>
<td>52,000</td>
<td>49,445</td>
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### Total Educational and General Projects

<table>
<thead>
<tr>
<th>Project Description</th>
<th>Initiated</th>
<th>Annual Budget</th>
<th>YTD Expenditures</th>
<th>State Support</th>
<th>Nongeneral Support Fund</th>
<th>Revenue Bond</th>
<th>Total Budget</th>
<th>Cumulative Expenditures</th>
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<tr>
<td></td>
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<td>$187,975</td>
<td>$175,744</td>
<td>$735,494</td>
<td>$176,024</td>
<td>$188,827</td>
<td>$1,100,345</td>
<td>$579,753</td>
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**Presentation Date: June 11, 2024**
Education and General Projects

1. Mitchell Hall (Replace Randolph Hall): This state authorized project will replace Randolph Hall with an approximately 285,500 gross square foot building to accommodate engineering instruction and research. The Guaranteed Maximum Price (GMP–1) contract for demolition and early site work is underway. Construction is expected to start June 2024. Pricing for the remainder of the project, GMP-2, is expected fall 2024.

2. Planning: New Business Building: This planning project will design a 92,300 gross square foot building for the Pamplin College of Business. Preliminary designs are underway.

3. Planning: Expand Virginia Tech-Carilion School of Medicine and Fralin Biomedical Research Institute: This planning project will design a new 100,000 gross square foot building for the VT-Carilion School of Medicine and renovate 51,000 gross square feet of the existing School of Medicine and Research Institute building to be backfilled by the Fralin Biomedical Research Institute. Procurement for AE services is in process.

4. Planning: Improve Center Woods Complex: This planning project will demolish 12 existing facilities that have surpassed their useful life and construct 25,900 GSF of research laboratories and research support spaces, equipment storage and offices. Schematic designs are underway.

5. Maintenance Reserve: The total project budget reflects $3.27 million of carryforward from fiscal year 2022, $17.462 million appropriated for fiscal year 2023, and $18.446 million of new appropriations from the State for fiscal year 2024. The annual budget amount reflects the pace necessary to meet the state’s 85 percent spending performance requirement.

6. Livestock & Poultry Research Facilities, Phase I: The new swine, poultry, beef, and equine facilities are substantially complete. A supplement from the State to support the fifth and final bid package has been received. Construction of three hay barns and the demolition of swine facilities past their useful life are underway with substantial completion expected December 2025.

7. Innovation Campus – Academic Building: This project will construct a new 300,000 gross square foot academic building with below grade parking as part of the Innovation Campus in Alexandria Virginia. Private funds have been infused into the project and the corresponding amount of debt has been reduced. Construction is underway with substantial completion expected January 2025. Resources are available and sufficient to cover accelerated cash flows, and the project remains within the authorized total budget.

8. Hitt Hall: This project houses an expansion of Myers-Lawson School of Construction, a new dining center, and other academic spaces. Construction of the new 101,000 gross square foot building is underway with substantial completion expected June 2024. Resources are available and sufficient to cover accelerated cash flows, and the project remains within the authorized total budget.

9. Undergraduate Science Laboratory Building: Construction of the 102,000 gross square foot science instruction laboratory building is underway with completion July 2024.

10. Building Envelope Improvements: This project will complete envelope improvements to four buildings.

11. Life, Health, Safety, Accessibility, & Code Compliance: This project improves accessible pedestrian connectors in the North Academic District. The installation of two enclosed elevator towers for an accessible pathway from the ground level of Derring Hall to Burchard Plaza is under construction. Accessible pathway improvements from Perry Street to the Drillfield are under construction with substantial completion expected April 2025. Designs for accessible pathways between Patton Hall, Holden Hall, and McBryde Hall are underway. Resources are available and sufficient to cover accelerated cash flows, and the project remains within the authorized total budget.

12. Fralin Biomedical Research Institute Equipment: This funding supports the procurement and installation of specialized research equipment for the Fralin Biomedical Research Institute.

13. Equipment for Workforce Development: This project supports space and equipment purchases for the instructional programs associated with the Tech Talent Investment Program.

14. Data and Decision Sciences Building: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.

15. Commerce Street Property Acquisition: The property acquisition supports the university’s research enterprise growth. The project will be closed and financial accounts terminated when the transaction is finalized.

16. Corps Leadership and Military Science Building: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid. Resources are available and sufficient to cover accelerated cash flows, and the project remains within the authorized total budget.
### Auxiliary Enterprise Projects

#### Design Phase
- **Planning: Student Life Village, Phase I**
  - Initiated: Jun 2023
  - Annual Budget: $800
  - YTD Expenditures: $104
  - State Budget Expenditures: $19,500
  - Nongeneral Revenue Support: $104

#### Construction Phase
- **Maintenance Reserve**
  - On-going
  - Budget: $12,000
  - YTD Expenditures: $11,239
- **Student Wellness Improvements**
  - Initiated: Jun 2016
  - Budget: $22,500
  - YTD Expenditures: $31,573
- **Football Locker Room Renovations**
  - Initiated: Jun 2023
  - Budget: $3,000
  - YTD Expenditures: $1,222

#### Close-Out
- **Dietrick Renovation**
  - Initiated: Sept 2017
  - Budget: $242
  - YTD Expenditures: $219
- **New Upper Quad Residence Hall**
  - Initiated: Jun 2019
  - Budget: $5,000
  - YTD Expenditures: $5,082
- **Sluscher Hall Renovation**
  - Initiated: Mar 2023
  - Budget: $5,030
  - YTD Expenditures: $4,088

#### Total Auxiliary Enterprise Projects
- **Total Budget**: $48,572
- **Total Expenditures**: $53,527
- **State Budget Expenditures**: $95,673
- **Nongeneral Revenue Support**: $70,355
- **Total Budget**: $166,029
- **Cumulative Expenditures**: $114,526

#### Grand Total
- **Total Budget**: $236,547
- **Total Expenditures**: $229,270
- **State Budget Expenditures**: $735,494
- **Nongeneral Revenue Support**: $271,897
- **Total Budget**: $259,182
- **Cumulative Expenditures**: $1,266,374
- **Presentation Date**: June 11, 2024
Auxiliary Enterprise Projects

1. **Planning for Student Life Village, Phase I**: The planning project will design the first phase of the Student Live Village which includes 1,750 new beds, dining service capacity to meet approximately 4,000 transactions per day, and recreational space of approximately 23,000 gross square feet. Schematic designs and procurement of CMaR services are underway.

2. **Maintenance Reserve**: The auxiliary maintenance reserve program covers 106 assets with a total replacement value of $1.4 billion. Projects are scheduled and funded by the auxiliary enterprises. The units prepare five-year plans that outline their highest priority deferred maintenance needs. The annual budget and total project budget reflect the spending plans of the auxiliary units on maintenance reserve work scheduled for fiscal year 2024. The annual and total budgets may be adjusted during the year depending on the actual spending activities of the auxiliary units provided expenditures do not exceed the total resources encumbered for the program.

3. **Student Wellness Improvements**: This project will renovate War Memorial Hall to address program improvements, deferred maintenance, code requirements, and install air conditioning to the building. Construction is underway with substantial completion expected July 2024. Resources are available and sufficient to cover accelerated cash flows, and the project remains within the authorized total budget.

4. **Football Locker Room Renovation**: The project will renovate approximately 4,200 square feet within the Jamerson Athletic Facility to provide a state-of-the-art hydrotherapy suite and restroom and shower improvements in the player’s locker room. Construction is underway with substantial completion expected August 2024.

5. **Dietrick Renovation**: This project is complete and will be closed and financial accounts terminated when final invoices are received and paid.

6. **New Upper Quad Residence Hall**: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid. Resources are available and sufficient to cover accelerated cash flows, and the project remains within the authorized total budget.

7. **Slusher Hall Renovations**: The project closed in March 2024.
## OPEN SESSION

<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Reporting Responsibility</th>
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<tbody>
<tr>
<td>1. Welcome and Opening Remarks</td>
<td>Chris Petersen</td>
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<tr>
<td>2. Consent Agenda</td>
<td></td>
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<tr>
<td>a. Approval of November 5, 2024, Meeting Minutes</td>
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<tr>
<td>* b. Resolution to Amend the University Council Constitution</td>
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<tr>
<td>* c. Resolution to Approve an Appointment to the New River Valley Passenger Rail Station Authority</td>
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<td>* d. Resolution for Approval of Appointment to the Roanoke Valley Broadband Authority Board</td>
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<tr>
<td>*# 3. Resolution to Ratify the Updated Safety and Security Committee Structure</td>
<td>Mike Mulhare</td>
</tr>
<tr>
<td>* 4. Resolution to Approve Revisions to Policy 1025 on Harassment, Discrimination and Sexual Assault and to Discontinue Policy 1026 on Title IX Sexual Harassment and Responsible Employee Reporting</td>
<td>Kelly Oaks</td>
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<td>Katie Polidoro</td>
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<td>* 5. Resolution to Revise the Board of Visitors Bylaws</td>
<td>Kim O'Rourke</td>
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<tr>
<td># 6. Board Self-Assessment</td>
<td>Kim O'Rourke</td>
</tr>
<tr>
<td>7. Future Agenda Items and Closing Remarks</td>
<td>Chris Petersen</td>
</tr>
</tbody>
</table>

* Requires Full Board Approval
# Discusses Enterprise Risk Management Topic(s)
+ Discusses Strategic Investment Priorities
Open Session Briefing Report

GOVERNANCE AND ADMINISTRATION COMMITTEE

June 11, 2024

1. Welcome and Opening Remarks. Chris Petersen, Chair of the Governance and Administration Committee, will welcome committee members, guests, and invited participants.

2. Consent Agenda. The committee will consider for approval the items listed on the consent agenda.

   a. Minutes of the November 5, 2024, Meeting. The committee review for approval the minutes from its November 2024 meeting.

   * b. Resolution to Amend the University Council Constitution. The committee will review for approval amendments made to the University Council Constitution in accordance with the first-year review of the new governance structure implemented in 2022.

   * c. Resolution to Approve an Appointment to the New River Valley Passenger Rail Station Authority. The Committee will review for approval an appointment to the New River Valley Passenger Rail Station Authority. The university is requesting approval to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as a Virginia Tech representative and member on the New River Valley Passenger Rail Station Authority Board of Directors to fill the role vacated by Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, upon his retirement from the university.

   * d. Resolution for Approval of Appointment to the Roanoke Valley Broadband Authority Board. The Committee will review for approval an appointment to the Roanoke Valley Broadband Authority. The university is requesting approval to appoint Sharon Pitt, Vice President and Chief Information Officer, as a Virginia Tech representative and member on the Roanoke Valley Broadband Authority Board to fill the role vacated by previous Vice President and Chief Information Officer, Scott Midkiff.

*# 3. Resolution to Ratify the Updated Safety and Security Committee Structure. Assistant Vice President for Emergency Management, Mike Mulhare, will provide an overview of the updated Safety and Security Committee Structure for the committee to consider for approval.

* Requires Full Board Approval
# Discusses Enterprise Risk Management Topic(s)
+ Discusses Strategic Investment Priorities
* 4. **Resolution to Approve Revisions to Policy 1025 on Harassment, Discrimination, and Sexual Assault and to Discontinue Policy 1026 on Title IX Sexual Harassment and Responsible Employee Reporting.** Title IX Coordinator, Katie Polidoro, will brief the committee on new state regulations related to Title IX, and introduce the Resolution to Approve Revisions to Policy 1025 on Harassment, Discrimination, and Sexual Assault and to Discontinue Policy 1026 on Title IX Sexual Harassment and Responsible Employee Reporting for the committee to consider for approval.

* 5. **Resolution to Revise the Board of Visitors Bylaws.** Secretary to the Board, Kim O'Rourke, will review revisions of the Board of Visitors Bylaws for the committee to consider for approval.

# 6. **Board Self-Assessment.** Secretary to the Board, Kim O'Rourke, will provide an overview of the results from the 2024 annual board self-assessment survey.

7. **Future Agenda Items and Closing Remarks.** Chris Petersen, Chair of the Governance and Administration Committee, will discuss future agenda items and offer closing remarks.

* Requires Full Board Approval
# Discusses Enterprise Risk Management Topic(s)
+ Discusses Strategic Investment Priorities
RESOLUTION RATIFYING UPDATES TO THE VIRGINIA TECH SAFETY AND SECURITY COMMITTEE STRUCTURE

WHEREAS, §23.1-805 Code of Virginia requires the Board of Visitors to adopt a committee structure charged with education and prevention of violence on campus; and

WHEREAS, by resolution at its November 2009 meeting, the Board of Visitors ratified the Virginia Tech Safety and Security Committee Structure including the Campus and Workplace Violence Prevention Committee, and the Threat Assessment Team; and

WHEREAS, the Virginia Tech Safety and Security Committee structure has been changed to reflect lessons learned in the response to the COVID-19 pandemic and other events; and

WHEREAS, the Virginia Tech Safety and Security Committee structure and responsibilities are identified in the diagram labeled *Updated* Virginia Tech Safety and Security Committee Structure which is attached hereto.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Visitors ratifies the UPDATED Virginia Tech Safety and Security Committee Structure.

RECOMMENDATION:
That the above resolution ratifying updates to the Virginia Tech Safety and Security Committee Structure be approved.

June 11, 2024
led by Virginia Tech Emergency Management;
Implements the tactical objectives for resolving an incident, including recovery operations;
Comprises members from across the university representing core capabilities in response and recovery functions.

President

Incident Leadership Team

Health & Safety Committee

BOV

Campus & Workplace Violence Prevention Committee

*Updated* Safety and Security Committee Structure

President

Incident Leadership Team

University Safety & Security Committee

BOV

Approves Emergency Management Plan (§ 23.1-804);
Approves committee structure for education & prevention of violence (§ 23.1-805)

Incident Management Team

Provide a forum for university-wide safety and security concerns to be heard;
Review university’s hazards and risks related to the safety and security of campus;
Review university practices related to safety and security;
Make recommendations to improve campus safety policies and procedures and review issues that affect the overall safety and well-being of Virginia Tech’s diverse community;
Advise the Executive Vice President & Chief Operating Officer on safety and security issues;
Consult with units responsible for public safety on the issues they have;
Consult with units responsible for public safety on security equipment and its use on campus;
Take up other safety and security matters referred to the Committee.

EvPCoo

Chaired by Executive Director of Emergency Management;
Provide oversight, coordination, & leadership for improving emergency management procedures;
Continually evaluate the needs of the university, developing appropriate planning, programmatic response and mitigation strategies to improve disaster resiliency.

Threat Assessment Team

Chairied by Chief of Police, or designee;
Assess, intervene, and follow policies for individuals whose behaviors may present a threat to the safety of the campus community as appropriate;
Work with law enforcement and mental health providers to expedite assessment and intervention;
Develop comprehensive fact-based assessments of students, employees or other individuals who may present a threat to the university.

Campus & Workplace Violence Prevention Committee

Chairied by Chief of Police, or designee;
Responsibilities outlined in § 23.1-805;
Recommend and promoting awareness and training programs on campus and workplace violence prevention and communicate internally regarding these programs;
Review periodic summary reports from Student Affairs, Campus Police, Human Resources, regarding violence prevention.

Health & Safety Committee

Chairied by Executive Director of Environmental Health & Safety;
Oversee implementation & compliance with health and safety policies.

Emergency Management Committee

Chairied by Executive Director of Emergency Management;
Provide oversight, coordination, & leadership for improving emergency management procedures;
Continually evaluate the needs of the university, developing appropriate planning, programmatic response and mitigation strategies to improve disaster resiliency.

Division of Public Safety | May 2024
RESOLUTION TO APPROVE REVISION TO POLICY 1025 ON DISCRIMINATION AND HARASSMENT AND TO DISCONTINUE POLICY 1026 ON TITLE IX SEXUAL HARASSMENT AND RESPONSIBLE EMPLOYEE REPORTING

WHEREAS, Virginia Tech is committed to a learning and working environment that is free of discrimination; and

WHEREAS, the university is subject to federal regulations that include Titles VI and VII of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Sections 503 and 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, as amended, the Age Discrimination in Employment Act, the Equal Pay Act, the Vietnam Era Veterans' Readjustment Assistance Act of 1974, Federal Executive Order 11246, Genetic Information Nondiscrimination Act of 2008 (GINA), Virginia Executive Order(s), and all other federal and state rules and regulations that are applicable; and

WHEREAS, Virginia Tech regularly reviews and revises its policies to be consistent with federal and state requirements; and

WHEREAS, since 1991, policy 1025 has served as the university's policy on harassment, discrimination, and sexual assault; and

WHEREAS, in April 2024, the U.S. Department of Education, Office of Civil Rights released its Final Rule under Title IX of the Education Amendments of 1972—to be effective August 1, 2024, and this 2024 regulation eliminates the university's need for policy 1026 “Policy on Title IX Sexual Harassment and Responsible Employee Reporting” that had been promulgated in 2020 in response to specific Title IX regulations at that time; and

WHEREAS, the proposed attached revision of policy 1025 incorporates all required elements of the Final Rule of Title IX, and the inclusion of Title IX sexual harassment and responsible employee reporting into the proposed revision of policy 1025 allows the university to communicate anti-discrimination policy and procedures in one document; and

WHEREAS, there is pending litigation in five jurisdictions requesting that the Final Rule of Title IX be vacated in part or in their entirety and seeking a nationwide preliminary injunction to bar the rules from going into effect pending the outcome of the cases;

NOW, THEREFORE BE IT RESOLVED that the Board of Visitors approves the attached proposed revision to policy 1025, which includes all required elements of the Final Rule of Title IX issued by the U.S. Department of Education, Office of Civil Rights, to be effective August 1, 2024; and

BE IT FURTHER RESOLVED that Policy 1026 on Title IX Sexual Harassment and Responsible Employee Reporting be discontinued, effective August 1, 2024; and

BE IT FURTHER RESOLVED that the appropriate university documents, including but not limited to the Student Code of Conduct and the Faculty Handbook, be revised as necessary to reflect the discontinuation of policy 1026 and the adoption of policy 1025 as revised; and

LASTLY, BE IT RESOLVED that should any of the lawsuits that have been filed requesting that the Final Rule of Title IX be vacated in whole or in part be successful or a preliminary injunction be granted prior to August 1, 2024, this Board of Visitors resolution will be null and void.
RECOMMENDATION:

That the resolution to revise Policy 1025 as proposed in the attached document and to discontinue policy 1026 be approved effective August 1, 2024, with the provision that this resolution will be null and void if any of the lawsuits that have been filed requesting that the Final Rule of Title IX be vacated in whole or in part is successful or a preliminary injunction is granted prior to August 1, 2024.

June 11, 2024
RESOLUTION TO AMEND THE BYLAWS OF
THE VIRGINIA TECH BOARD OF VISITORS,
EFFECTIVE JUNE 11, 2024

WHEREAS, in 2017, the Board of Visitors conducted a comprehensive review of its committee structure for the first time in several decades, which resulted in a restructuring of its committees and several associated changes; and

WHEREAS, a review of effectiveness, efficiencies, and best practices conducted in this seventh year of operation under the new structure resulted in proposed changes within Article I, Section 5, and Article II, Section 3 of the Bylaws to delegate to the President of the university the authority to implement annual compensation plans, including merit-based programs, authorized by the General Assembly or the Board of Visitors; and

WHEREAS, additionally, several other minor changes for clarity are proposed, as noted in the attached document;

NOW, THEREFORE, BE IT RESOLVED that the Bylaws of the Virginia Tech Board of Visitors be amended as described in the attached document, effective immediately.

RECOMMENDATION:

That the Bylaws of the Virginia Tech Board of Visitors be amended as proposed in the attached document, effective immediately.

June 11, 2024
BYLAWS OF THE BOARD OF VISITORS

Virginia Polytechnic Institute and State University

Amended by Resolution passed April 9, June 11, 2024

- Preamble
- Article I
- Article II, Administration and Officers of the University
- Article III, Related Corporations
- Article IV, Instruction
- Article V, Extension
- Article VI, Miscellaneous Provisions
- Article VII, Amendments and Repeal

Preamble

Virginia Polytechnic Institute and State University, popularly known as Virginia Tech, has evolved since its founding in 1872 into a comprehensive state land-grant university of increasing national and international prominence, heavily influenced by its land-grant heritage. The federal Morrill Act of 1862 mandated for the land-grant colleges not only the teaching of agricultural and mechanical arts and sciences, but also "the liberal and practical education of the industrial classes in the several pursuits and professions of life." It embraced three basic principles which shaped the destiny of the land-grant institutions: (1) that higher education should be made available to talented men and women regardless of economic class or conditions, (2) that inquiry and instruction should be directed toward the end of knowledge for its own sake, as well as toward knowledge applied for the benefit of all; and (3) that the results of scientific inquiry should be immediately and broadly disseminated throughout the society.

The University's instructional, research, and extension programs still are rooted in these principles. The Virginia statutes which created and control the institution heavily reflect the land-grant orientation. Subsequent federal legislation, including the Hatch Act of 1877, which established the agricultural experiment stations, and the Smith-Lever Act of 1914, which created the Federal Extension Service, further emphasized the multiple purpose of the University. The multiple-mission, multiple-agency structure of the University introduces some complexity into its internal organization, and into its relationships with the executive and legislative branches of both the state and federal governments. Each to some degree exercises budgetary and administrative control of various programs and activities of the institution which must be accommodated in the basic policies and programs of the University. These regulations and their interpretations provide a part of the reality in which the University functions as it seeks to fulfill the purposes for which it exists.
The public trustees are responsible for the University's academic and fiscal integrity and for the basic policies under which it is administered. With the Governor, they are responsible under applicable state statutes for the faithful execution of the requirements of law, as well as for the continued adaptation of the instructional programs to the evolving needs of the society which the University serves. The trustees collectively constitute the University's Board of Visitors. Much of the Board's duty and authority is delegated to the President whom it appoints. The Board, however, cannot delegate its legal obligations; service on the Board involves significant trustee responsibilities.

It is in this context that the Board's normal operating procedures, reflecting both its traditions and its legal responsibility, have been codified as bylaws conveniently available for reference.

**Article I**

The Board of Visitors of Virginia Polytechnic Institute and State University is a public corporation that serves as the governing authority for Virginia Polytechnic Institute and State University. The corporation is under the control of the General Assembly of the Commonwealth of Virginia.

**Section 1. Composition**

The Board of Visitors is composed of fourteen members, thirteen of whom are appointed by the Governor subject to confirmation by the Senate. The fourteenth member is the President of the Board of Agriculture and Consumer Services, who serves ex officio. All fourteen members have full voting privileges. Three members of the Board may reside outside of Virginia; at least six of the thirteen appointed members are required to be alumni or alumnae of the University.

The term of office for a visitor is four years, and the visitor is eligible to be reappointed for a successive four years. An individual appointed to fill an unexpired term which has become vacant is eligible for appointment to two additional four-year terms.

The term of the ex officio member of the Board of Visitors runs concurrently with his/her term as President of the Board of Agriculture and Consumer Services, which is typically from July 1 through June 30.

For each vacancy on the Board, the Alumni Association of the University may submit, for the consideration of the Governor, the names of three qualified persons. The Governor, however, is not limited to the persons on such a list when making an appointment (§23.1-2601, *Code of Virginia*, as amended).

Prior to appointment, the Virginia Commission on Higher Education Board Appointments may review potential Board appointees and make recommendations about the appointees to the Governor (§2.2-2518, *Code of Virginia*, as amended).
Section 2. Constituent Representatives

Representatives to the Board are appointed from the Undergraduate student body and the Graduate/Professional student body as non-voting, advisory representatives, pursuant to statutory authority (§23.1-1300, Code of Virginia, as amended). The term of appointment is for one year commencing July 1. Such representatives shall be welcomed at all open meetings of the Board and may be appointed to standing or special committees of the Board.

The President of the Faculty Senate (§23.1-1300, Code of Virginia, as amended), President of the Administrative and Professional Faculty Senate, and President of the Staff Senate shall also be welcomed to sit with the Board in open session and participate in discussion, without authority to vote or make or second motions. Similarly, these representatives shall also be welcomed to attend meetings of the Board's committees in open session and to provide information and advice as deemed appropriate by the chair of that committee, without authority to vote or to make or second motions. [BOV resolutions approved January 18, 1988; August 28, 2006; and November 8, 2021.]

By statute, the Board must solicit the input of representatives of the Faculty Senate or its equivalent at least twice per academic year on topics of general interest to the faculty, and in advance of decisions to be made on the search for the university's new President (§23.1-1303).

Section 3. Meetings

By statute the Board must meet at Blacksburg, Virginia, once a year (§23.1-2602). It traditionally holds four meetings a year. The last meeting of the academic year will be designated the annual organizational meeting; this is the meeting at which officers of the Board will be elected. Meetings of the Board are called by the Rector of the Board; however, a special meeting may be called by the Governor, the Rector or any three members of the Board. Regardless of how called, all members must be notified of meetings (§23.1-2602). Moreover, by statute, the Board must notify and invite the Attorney General’s appointee or representative to all meetings of the board and its committees (§23.1-1303).

A majority of the voting membership of the Board and also of each of its committees constitutes a quorum (§23.1-2602). If the Rector is present at a committee meeting, he/she will be counted as a member of the committee for the purpose of determining whether a quorum is present. The Board or any of its committees may meet without a quorum present, but may not vote on any items.

The Board shall be transparent in all of its actions to the extent required by the law. All meetings of the Board, formal or informal, are subject to the requirements of the state’s Freedom of Information (FOI) statutes and are open to the public. Discussions and actions on any topic other than those specifically exempted by law must be held in open session. Public notice is required of meetings. Any official action taken in closed session must be approved in open session before it can have any force or effect. Open meetings must have minutes taken; copies of these minutes are posted to the Board’s website and available to the public (§23.1-1303). By statute, the Board must abide by standards developed by the State Council of Higher Education for Virginia (SCHEV) for providing the public with real-time electronic access to witness open meetings of the governing boards. Currently, SCHEV standards require video or audio livestreaming of regularly-scheduled meetings of the full governing board, with exceptions for a meeting, tour, or gathering that takes place outside of the usual location of the board meeting provided that the reason for
the exception is noted in the public notice of the meeting and in the meeting minutes. Livestreaming of the Board’s committees or subcommittees is not required.

Closed sessions may be held for specific matters. These matters are enumerated in the Code of Virginia, as amended. In order to assemble in closed session, the Board must approve a specific motion which cites each item to be considered in closed session, with appropriate reference to the exemption in the FOI statutes. Discussion in closed session is restricted to the items so identified.

Section 3a. Electronic (“All-Virtual”) Meetings

In accordance with the Freedom of Information Act, the Board and any of its committees separately may conduct all-virtual public meetings in which all who participate do so remotely, provided that the electronic communication means by which members of the public may witness the meeting is disclosed in the public notice of the meeting. Members of the public must be provided electronic communication means through which to observe or listen to the meeting. Any interruption in the means of electronic communication for an all-virtual meeting shall result in a suspension of action at the meeting until repairs are made and public access is restored. The board or its committee may not convene an all-virtual meeting (a) more than two times per calendar year or 25 percent of the meetings held per calendar year rounded up to the next whole number, whichever is greater, or (b) consecutively with an all-virtual meeting.

During an all-virtual meeting, no more than two members of the Board may participate from the same remote location unless that remote location is open to the public for physical access.

Section 3b. Remote Participation by Individual Board Members

An individual Board member may participate remotely in a Board or committee meeting by some electronic communication means if on or before the day of a meeting, the Board member notifies the Rector or respective committee chair and Board Secretary that the Board member is unable to attend the meeting due to (a) a Board member’s own disability or medical condition or the Board member’s need to care for a family member due to the family member’s medical condition, (b) the Board member’s principal residence being located more than 60 miles from the meeting location, or (c) a personal matter. The Board member’s location need not be open to the public. The minutes must include the remote location of the Board member and the reason that the Board member was unable to attend; if the reason is a personal matter, the specific nature of the personal matter must be cited in the minutes. If a Board member’s request to participate remotely is disapproved, such disapproval shall be recorded in the minutes with specificity. A Board member may participate remotely due to a personal matter in up to two meetings per calendar year or 25 percent of the meetings held per calendar year rounded up to the next whole number, whichever is greater. These provisions regarding remote participation of individual board members apply to meetings of the full board and to each of its committees separately.

An "all-virtual meeting" is a meeting conducted by electronic means during which all members who participate do so remotely rather than being assembled in one physical location and to which public access is provided through electronic communication means.
“Remote participation” is participation by an individual Board member via electronic means in a meeting where the public body is otherwise physically assembled. (§2.2-3708.2 and .3, Code of Virginia, as amended)
Section 4. Officers

The Board elects annually from among its members a Rector to preside at meetings and a Vice Rector to serve as President pro tempore in the absence of the Rector. By statute (§23.1-1300 Code of Virginia, as amended), either the Rector or the Vice Rector must be a Virginia resident. The Vice President for Policy and Governance serves as Secretary to the Board and as a resource on questions of parliamentary procedure unless the Board votes to elect a separate Secretary. The University Legal Counsel serves as the counsel to the Board.

The Rector and Vice Rector may serve a maximum of two one-year terms. The terms of the Rector and Vice Rector take effect July 1. The Vice Rector will also serve as the chair of one of the standing committees.

Section 5. Responsibilities of the Board

As public trustees, the members of the Board have the overall responsibility and authority, subject to constitutional and statutory limitations, for the continuing operation and development of the institution as a state land-grant university, and for the evolving policies within which it must function. Much of this authority necessarily is delegated to the President, who serves as agent of the Board and chief executive officer of the University.

The most important responsibility of the Board is the trustee obligation to insure that the University's educational and research programs effectively meet the evolving needs of Virginia's citizens to the fullest extent possible within the statutory mission of the institution. Similarly, in a national context, the Board's oversight responsibilities extend to federally mandated programs. The formulation of the basic policies under which every aspect of the University's operations are carried out, as well as the implementation of those policies, consequently are subject to the Board's review, possible modification, and ultimate approval. However, it is at the policy level, rather than the operational level, that the Board's responsibilities are paramount.

By statute, the Board is charged with the care, preservation, and improvement of university property and with the protection and safety of students and other persons residing on such property. The Board also is charged with regulating the government and discipline of students and, in respect to the government of the University, may make such regulations as the Board deems expedient, not contrary to law. The Board has authority over the roads and highways within the University campus and may prohibit entrance to the property of undesirable and disorderly persons or eject such persons from the property (§23.1-2603), Code of Virginia, as amended).

Following are examples of the responsibilities of the Board, as set forth in state statutes or as developed through tradition and practice (see §23.1-1303). The list, however, is not necessarily inclusive.

1. Appointment of the President of the University.
2. Approve appointments and fix salaries of the faculty, university staff, and other personnel.1
3. Delegates authority to the President to implement annual compensation plans, including merit-based programs, authorized by the General Assembly or the Board of Visitors.

3.4. Establishes fees, tuition, and other charges imposed by the University on students (see Section 5b).

4.5. Reviews and approves of the University's budgets and oversees its financial management.

5.6. Reviews and approves of proposed academic degree programs and the academic programs of the University.

6.7. Reviews and approves of the establishment of new colleges or departments.

7.8. Ratifies appointments by the President or vice presidents that meet the salary threshold set by the Board.

8.9. Representation of the University to citizens and officers of the Commonwealth of Virginia, especially in clarifying the purpose and mission of the University.

9.10. Approves promotions, grants of tenure, and employment of individuals.\(^2\)

10.11. Reviews and approves of physical plant development of the University.

11.12. Approves the naming of buildings and other major facilities on University property.

12.13. Reviews and approves of grants of rights-of-way and easements on University property.


14.15. Exercised of the power of eminent domain.

15.16. Reviews and approves of personnel policies for the faculty and university staff.

16.17. Subject to management agreement between the Commonwealth of Virginia and Virginia Tech, the Board has full responsibility for management of Virginia Tech. (§23.1-1000, Code of Virginia, as amended).

\(^1\) In practice the President and officers of the University make interim appointments which are ratified by the Board.

Section 5a. Resolutions

In order to permit mature consideration and to facilitate preparation of agendas and dissemination to all members of the Board, all proposed resolutions of the Board of Visitors shall be presented to the Secretary to the Board at least fifteen (15) days prior to the meeting at which they are proposed to be considered, with mailing or electronic access provided to the members and constituent representatives to occur ten (10) or more days prior to the meeting. Any amendments or additions to or deletions from the agenda must be presented to the Board Secretary in sufficient time to enable the changes to be distributed to the Board members and constituent representatives at least three (3) working days prior to the meeting. An emergency may be declared by a two-thirds (2/3) majority of the voting members present at the meeting to permit consideration of a proposal not adhering to this time requirement. Except in emergency situations, all action items and resolutions should come to the full Board from one of its standing or special committees or from the President of the University.

Section 5b. Resolutions for Tuition and Fees

Notwithstanding the provisions of Section 5a, when an increase to undergraduate tuition and/or mandatory fees is contemplated, the proposal shall be provided to the Board Secretary in sufficient time to enable notice of the projected range of the planned increase and an explanation of the need for the increase to be provided to students and the public at least 30 days prior to
voting on the resolution. The proposal will be shared with Board members concurrently with notification to the students and public. (§23.1-307(D), Code of Virginia, as amended)

Additionally, the Board will permit public comment on the proposed increase at a meeting (as defined in §2.2-3701, Code of Virginia, as amended) of the Board. The Governance and Administration Committee or other appropriate committee of the Board will develop guidelines for such public comment to include reasonable time limitations and the manner in which such comment will be shared with the Board. (§23.1-307(E), Code of Virginia, as amended)

Section 5c. Board Website

By statute, the Board is required to maintain a public website that includes a listing of all Board members with their date of appointment and the name of the Governor who appointed each, a listing of all Board committees and their membership, a schedule of all upcoming meetings of the Board and its committees along with instructions for public access, an archive of agendas and supporting materials of all Board and committee meetings, and an email address or email addresses through which Board members can receive public communications pertaining to Board business (§23.1-1303).

Section 6. Committees

The Board may organize itself into committees to facilitate its work. Committees are required to report to the full Board at least once a year (§23.1-2602, Code of Virginia, as amended). The Rector appoints the members and chairmen-chairs of the Standing and Special Committees. The Vice Rector will serve as the chair of one of the standing committees. At the option of the Rector, chairs are limited to three (3) years.

The chairman of a committee is responsible to see that minutes are taken of the meetings of the committee. The President makes available appropriate persons who may be of assistance in the deliberations of a committee. The Rector is an ex officio member of all standing and special committees. All committee members will be members of the Board; committees, however, may form advisory committees which include non-Board members. Chairs may request advisors or other consultants to meet with their committees.

Any committee may adopt a formal written charter that specifies the committee’s responsibilities and practices. Charters must be approved by the Governance and Administration Committee before adoption.

Committee meetings are subject to the same requirements of the state’s Freedom of Information statutes as are meetings of the full Board.

Section 6a. Executive Committee

The Executive Committee of the Board, established by statute (§23.1-2602, Code of Virginia, as amended), consists of not less than three or not more than six members. The Executive Committee includes the Rector, Vice Rector, and the chairs of the standing committees: Academic, Research, and Student Affairs Committee; Buildings and Grounds Committee; Compliance Audit, and Risk Committee; Finance and Resource Management Committee; and Governance and Administration Committee. [Note: The Vice Rector serves as chair of one of
the standing committees – See Sections 4 and 6.] At the request of the Rector or a quorum of the Executive Committee, the immediate Past Rector will be available to serve as a non-voting advisor to the Executive Committee. The immediate Past Rector is not counted as a member of the Executive Committee for the purpose of determining whether a quorum is present. The Executive Committee convenes on the call of the Rector or on the call of any two members. This Committee, in the interim between meetings of the Board, has full power to take actions on behalf of the Board. All actions taken by the Executive Committee must be ratified by the full Board at its next meeting in order to remain in effect.

The Executive Committee is charged by statute with organizing the working processes of the Board and recommending best practices for Board governance. Specifically, the Executive Committee shall:

1. Develop and recommend to the Board a statement of governance setting out the Board’s role;
2. Periodically review the Board’s bylaws and recommend amendments;\(^3\)
3. Provide advice to the Board on committee structure, appointments, and meetings;\(^3\)
4. Develop an orientation and continuing education process for visitors that includes training on the Virginia Freedom of Information Act;\(^3\)
5. Create, monitor, oversee, and review compliance with a code of ethics for Board members; and
6. Develop a set of qualifications and competencies for membership on the Board for approval by the Board and recommendation to the Governor. (§23.1-1306, Code of Virginia, as amended)

\(^3\) These duties of the Executive Committee are delegated to the Governance and Administration Committee.

Section 6b. Academic, Research, and Student Affairs Committee

This committee is responsible for matters and policies pertaining to the academic affairs, student life and conduct, and the research mission and goals of the university.

Section 6c. Buildings and Grounds Committee

This committee is responsible for the maintenance and development of the physical plant and infrastructure, land use and planning, and review and development of capital outlay requests. The university employee designated as the University Building Official when serving in that capacity reports directly to the Board of Visitors through this committee.

Section 6d. Compliance, Audit, and Risk Committee

This committee is responsible for oversight of enterprise risk management, adherence to the audit charter, reviewing audits conducted by Internal Audit and external bodies, and providing guidance on auditing concerns to the full Board. This committee is responsible also for oversight of university compliance with all federal, state, and local laws and executive orders; and policies promulgated by academic and athletic accrediting bodies, regulatory agencies, funding agencies, and the State Council of Higher Education for Virginia. This committee conducts an annual review of the Audit Charter.

Section 6e. Finance and Resource Management Committee
This committee is responsible for oversight of all fiscal resources, revenues, and expenditures of the university. This committee is charged with reviewing and evaluating budgets, expenditures, financial performance, and funding sources, and with providing guidance on financial issues to the full Board. This committee is also responsible for reviewing changes to the Commemorative Tributes Policy and requests for commemorative recognition.

**Section 6f. Governance and Administration Committee**

This committee is responsible for Board engagement, the Board’s protocols, bylaws, and periodic self-evaluation. This committee is also responsible for oversight of campus safety and security and of various administrative functions and non-academic areas of the university, including but not limited to human resources, communications and marketing, administrative computing, and athletics.

In addition, this committee is responsible for reviewing new or revised charters of all committees prior to their adoption (refer to Section 6).

**Section 6g. Nominating Committee**

The Nominating Committee, traditionally composed of three members, is appointed by the Rector and is responsible for reporting at the annual organizational meeting of the Board its nominations for all officers of the Board. The Rector will invite any additional nominations from the full Board before voting on nominations at the organizational meeting.

**Section 7. Annual Reporting Requirement**

The Board is required by statute to submit to the General Assembly and the Governor an annual executive summary of its interim activity and work no later than the first day of each regular session of the General Assembly. This executive summary shall also be posted for the public on the Board’s website ($23.1-1303). The secretary to the Board will be responsible for preparing the report and submitting and posting it in accordance with procedures stipulated by law.

**Article II. Administration and Officers of the University**

**Section 1. The President**

The Board appoints a President to initiate proposed policies, to execute approved policies, and to administer the University. The President serves as the authorized officer through whom communication takes place between the Board and the faculty, the Board and the students, and the Board and the other officers of administration or instruction employed by the University. The Board, as the governing authority of the University, delegates to the President the authority to oversee and to administer the policies of the Board and to manage the administrative, instructional, research, and public service programs of the University.
By statute, the Board must meet with the President at least once annually in a closed meeting and deliver an evaluation of the President’s performance. Any change to the President’s employment contract shall be made only by an affirmative vote of the majority of the Board’s members (§23.1-1303).

Section 2. Other Officers of the University

The President is assisted in the performance of the duties of that office by other officers of the University. Provost and vice-presidential appointments are made by the President and formally ratified by the Board.

Section 3. Faculty and Staff

The faculty and staff of the University receive appointments by appropriate University officials, and their names, titles and salaries are submitted periodically for confirmation to the Board of Visitors. The Board may delegate to the President (or designee) through a Delegation of Authority Resolution the authority to approve certain types of appointments or compensation actions without the requirement for subsequent confirmation by the Board. By statute, the Board may remove any faculty member of the University with the assent of two-thirds of the Board, subject to approved grievance procedures (§23.1-2605).

Article III. Related Corporations

Section 1. Associations with Related Corporations

A number of corporations are intricately tied with the University by virtue of affiliation agreements that they have entered into with the University and that comply with the format for affiliation agreements that the Board of Visitors has approved. Each corporation has its own board. The boards of these corporations focus on areas of special interest to the University. A listing of these affiliated corporations and their affiliation agreements shall at all times be kept on file with the Secretary of the Board of Visitors.

Prior approval of the Board of Visitors is required before permission to establish or to charter any new related corporation is sought from the State Corporation Commission.

Corporations associated with the Board are requested to supply the following information and comply with these procedures:

a. Provide the Board of Visitors with a copy of the corporate constitution, bylaws, and certificates of incorporation.
b. Specify the services which the corporation provides to the University.
c. Obtain approval for services and space, subject to review from time to time. The Administration, acting for the Board, may make facilities available.
d. Provide the Board with a copy of its official annual audit and other documents relating to tax-exempt status.
e. Coordinate insurance programs for the Corporation, other than employee benefit insurance programs, through the University's insurance office and pay for its share of the premiums.
Article IV. Instruction

Section 1. Courses of Study

The curricula of the University, by statute, are to include instruction in agriculture and the mechanic arts without excluding other scientific and classical studies and military tactics (§23.1-2606). A full range of courses in the arts and sciences, agriculture, engineering, and other professional fields is offered in conformity with the institution’s mission as a comprehensive state university.

Section 2. Changing Curricula

The Board delegates to the President the authority to develop appropriate courses of study. New degree offerings are subject to the approval of the Board and the State Council of Higher Education for Virginia.

Article V. Extension

Section 1. Extension Division

The Board has responsibility and authority for the Virginia Cooperative Extension and Agricultural Experiment Station Division which encompasses Cooperative Extension, continuing education programs, and such other subjects as designated by the President or the Board. This Division, authorized by statute to serve both adults and youths, is established to conduct educational programs and disseminate useful and practical information to the people of the State (§23.1-2608, Code of Virginia, as amended).

Article VI. Miscellaneous Provisions

Section 1. Expenses

Board members may be reimbursed for reasonable travel expenses and other expenses incurred in the discharge of their duties (§23.1-1307).

Section 2. Removal of Board Members

The members of the Board of Visitors are protected by Virginia law from being removed without appropriate reasons. If any Visitor fails to attend the meetings of the Board for one full year without sufficient cause and/or perform the duties of his office for one year without good cause as determined by a majority vote of the Board, the remaining members of the Board shall record such failure in the minutes at its next meeting and notify the Governor, and the office of such member shall be vacated. (§23.1-1300, Code of Virginia, as amended).
The Code of Virginia §23.1-1304 requires new board members to attend educational programs developed by the State Council of Higher Education for Virginia (SCHEV) in his/her first two years of membership and to participate in further training on board governance as determined by SCHEV at least once every two years thereafter. If any Visitor fails to complete these educational requirements without sufficient cause, as determined by a majority vote of the Board, the remaining members of the Board shall record such failure in the minutes at its next meeting and notify the Governor, and the office of such member shall be vacated, and the member will be ineligible for reappointment. (§23.1-1300, Code of Virginia, as amended).

Dismissal of a Board member for cause will be pursued in accordance with Virginia Code §23.1-1300, as amended, which provides the process for removal of a Board member from office for malfeasance, misfeasance, incompetence, or gross neglect of duty. The Governor will issue a written public statement indicating his/her reasons for removing the member.

Section 3. Conflict of Interest

Each Board member is subject to the provisions of the State and Local Government Conflict of Interests Act and must file reports as necessary. (§ 2.2-3114(B), Code of Virginia, as amended).

Section 4. Code of Ethics

The Board is required by statute to adopt a Code of Ethics. Each Board member is subject to the provisions of the code. The Executive Committee will review compliance and report to the Governor any instances of breach of ethical conduct pursuant to the terms of the Code of Ethics.

Section 5. Educational Requirement

Educational programs for boards of visitors are required by statute to be delivered annually by the State Council of Higher Education for Virginia (SCHEV). New board members must participate in programs offered at least once during their first two years on the board. In addition, each board member shall participate in further training as determined by SCHEV at least once every two years (§23.1-1304, Code of Virginia, as amended). (See Article VI, Section 2.)

By July 1 of each year or upon request by SCHEV, the secretary of the Board shall report to SCHEV the activity of any Board member who has complied with the educational requirement during the prior year.

Section 6. Board Self-Evaluation

The Board periodically should conduct a formal evaluation of its committee structure, processes, procedures, and performance. Candid feedback should be sought from the Board members themselves, constituent representatives to the Board, the University President, and others as deemed appropriate by the Board, which may include the Board Secretary, Legal Counsel, and/or the administrators who serve as liaisons to the Board’s committees. The Governance and Administration Committee is responsible for developing and recommending to the full Board the evaluation procedure to be employed, including whether to retain an external consultant to conduct the evaluation, and for developing a plan to address any issues identified by the evaluation.
Article VII. Amendments and Repeal

Section 1. Construction

The Bylaws supplement the statutes of the Commonwealth as they relate to the University and are not intended to replace or amend them. Nothing contained in the Bylaws should be interpreted to diminish or alter the statutory powers of the Board.

Section 2. Changing Bylaws

These Bylaws, except where mandated by statute, may be changed by majority vote of the voting membership of the Board.

Section 3. Chronology of Bylaws Adoption and Amendments

Adopted by the Board, May 18, 1981
Amended by Resolution passed November 3, 2003
Amended by Resolution passed August 23, 2004
Amended by Resolution passed June 12, 2006.
Amended by Resolution passed August 28, 2006.
Amended by Resolution passed November 6, 2006.
Amended by Resolution passed June 20, 2008.
Amended by Resolution passed June 1, 2009.
Amended by Resolution passed August 31, 2009.
Amended by Resolution passed August 30, 2010.
Amended by Resolution passed June 3, 2013.
Amended by Resolution passed August 31, 2015.
Amended by Resolution passed June 26 (Executive Committee) & August 19, 2017
Amended by Resolution passed August 27, 2018
Amended by Resolution passed August 26, 2019
Amended by Resolution passed June 8, 2021
Amended by Resolution passed November 8, 2021
Amended by Resolution passed June 7, 2022 effective July 2022
Amended by Resolution passed June 7, 2022, effective September 2022
Amended by Resolution passed April 9, 2024
President Sands will provide an update to the Board on Tuesday, June 11, 2024
Constituent Report by Undergraduate Student Representative to the Board, William Storey, will be presented at Monday’s Information Session
Rector Baine, members of the Board of Visitors, President Sands, Provost Clarke, administrators, guests, and friends. Thank you for this opportunity to speak with you all about the graduate and professional students today. It is bittersweet as I give my final constituency report, as it feels like just yesterday when I was attending my very first board meeting - what a wonderful year it has been! In this report I want to highlight what an incredible opportunity this position has been for me, what an honor it has been to serve Virginia Tech, and share what we have been able to accomplish this year.

Firstly, I would like to thank all of the faculty and leadership at the university who welcomed me into this role, and collaborated with me and other graduate and professional students this year. Dean Surprenant, Dean Givens, Dean Learman, Dean Hoopes, Lauren Surface, Ellen Plummer, Dr. Francis Keene, Dr. James Bridgeforth, and everyone else I am failing to mention, thank you for all of your support and guidance this year. To the board, it has been an absolute pleasure getting to know each of you, and see the incredible amount of time, dedication, and passion that you bring to each of these meetings. Not only do you make Virginia Tech a global destination for innovation and education, but a strong community and a home. Thank you for everything you do here, and the difficult decisions I know you make.

As a reminder, I focused on two main topics that impact graduate and professional student attraction and retention: student financial wellness and overall student engagement and wellbeing.

Much has happened this year in relation to student financial wellbeing, specifically surrounding the university's commitment to increasing graduate student stipends. According to data collected by the Graduate School earlier in my term, 19.8% of graduate students received a 5% stipend increase, 38.4% received between 5.1% - 10% increase, and 35.6% of graduate students received more than a 10% increase in stipend amount this year. Similarly, work has been done on the “Graduate Candidacy Status Tuition Reduction,” with great collaboration between the Graduate School and the Finance Office to reduce tuition costs for those who have met Candidacy status. The financial wellness of graduate
students has been an ongoing challenge, and I appreciate the care and dedication that has gone toward supporting our graduate students financially.

Student engagement with campus resources is another contributing factor for student attraction and retention that I focused on this year. As a reminder, graduate school data showed that approximately 41% of graduate and professional students want to connect with campus resources surrounding mental health initiatives. I have collaborated with multiple campus resources, and have seen much work go into supporting our students. In our last board meeting, I mentioned the great success of the Graduate and Professional Student Resource Fair. With 21 campus partners in attendance, we had over 100 students attend and learn more about the resources that Virginia Tech has to offer - It was a huge success!! Rumor even has it that Graduate School will continue to host this event in the future, and I don’t think that it’s a bad legacy to have from my term.

Finally, thank you for this incredible opportunity to serve our institution. I cannot put into words how impactful this experience has been for me, or what an honor and a privilege it has been to work alongside you all. This fall marks my seventh year here at Virginia Tech, and taking a peek behind the curtain of what makes this institution tick has been incredibly rewarding and inspiring. As my term comes to an end, I am excited to know that the Graduate and Professional Student Representative position will be taken over by a driven and compassionate young man. A second year masters student in Electrical Engineering, William Poland is incredibly talented and accomplished in the academic field, studying the scattering of electromagnetic waves over rough surfaces. A Blacksburg native, William has a deep connection to and a rich history with Virginia Tech. He is passionate about graduate and professional student experiences, collaborative with administrators and student leaders across campus, and will be an excellent addition to the Board of Visitors family. Both William and Leslie will do incredible work next year serving this institution, and will represent their respective constituents well.

On behalf of the graduate and professional students, thank you for listening today. I appreciate your attention and I thank you again for this opportunity to share. It has been an honor to share my ongoing progress in this role and collaborating with you all in serving Virginia Tech! For a final time - Go Hokies!
Constituent Report by President of Staff Senate, LaTawnya Burleson, will be presented at Monday’s Information Session
Good afternoon, Rector Baine, board members, President Sands, Provost Clarke, Executive Vice President Sebring, administrators, and guests. It is a pleasure to be with you all for the June board meeting.

Our 2024-25 officer elections were held in April and I’m pleased to share the officers will be Dr. Marlena McGlothlin Lester, Vice President; Enrique Noyola, Secretary/Treasurer; and I will serve a second term as President.

President Sands joined our May senate meeting to discuss a variety of topics including our system of shared governance, free speech at Virginia Tech, discussions President Sands has had with various student groups, and the AP Faculty employee group and Job Architecture project. We greatly appreciate President Sands taking the time to join us for discussion and look forward to continued interactions in the coming academic year.

The AP Faculty employee group is comprised of over 2500 individuals doing a great diversity of work in support of the university’s strategic initiatives. In the AP Faculty Senate, we’ve clustered ourselves into seven constituent areas: Extension, Research, Academic Support, Student Affairs, Athletics, General Professional, and General Administrative. Today I would like to highlight some of the varied work done by AP Faculty members in Academic Support. These AP Faculty members are advisors and other professionals working to support our colleges. Many AP Faculty members in academic support work within the colleges in roles such as advising undergraduate students on their curriculum selections or leading graduate programs with recruitment and academic progress as well as administrative functions in the colleges such as finance and program operations. Other academic support AP Faculty work in units outside of, yet support, the colleges and the university’s academic mission. These AP faculty members work in areas such as the Undergraduate Research Office supporting research opportunities for students, Technology-Enhanced learning and online strategies (TLOS) supporting teaching and learning efforts across the university, Analytics & Institutional Effectiveness using data and information to provide insights used for decision making and continuous improvement efforts, and managing finance and operations for university centers such as the Center for Coal Energy Research. I will share more about our other constituent areas during our future meetings this coming year.
Thank you for the opportunity to update you today and I look forward to updating you on the work of the A/P Faculty Senate at the August meeting.
Constituent Report by President of Faculty Senate, Joseph Merola, will be presented at Monday’s Information Session
MOTION TO BEGIN CLOSED MEETING

June 11, 2024

I move that the Board convene in a closed meeting, pursuant to § 2.2-3711, Code of Virginia, as amended, for the purposes of discussing:

1. Appointment of faculty to Emeritus status, the consideration of individual salaries of faculty, consideration of Endowed Professors, review of departments where specific individuals’ performance will be discussed, and consideration of personnel changes including appointments, resignations, tenure, and salary adjustments of specific employees and faculty leave approvals.

2. Discussion of contract for work to be performed.

3. Special awards.

all pursuant to the following subparts of 2.2-3711 (A), Code of Virginia, as amended, .1, .9, and .11.
Election of Rector and Vice Rector for 2024-25
<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Reporting Responsibility</th>
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<tbody>
<tr>
<td>1. Welcome</td>
<td>C. Chenery</td>
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<tr>
<td>2. Review and Approve Open Session Agenda</td>
<td>C. Chenery</td>
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<tr>
<td>3. Consent Agenda</td>
<td>C. Chenery</td>
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<tr>
<td>A. Approval of April 9, 2024 Committee Meeting Minutes</td>
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<tr>
<td>B. Report of Reappointments to Endowed Chairs, Professorships, and Fellowships</td>
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</table>
| C. Report of the 2024-25 Faculty Compensation Plan | *Requires Full Board Approval*  
            *(shared for information purposes by Finance and Resource Management Committee)* |
| *D. Resolution to Approve Revised Extension Faculty Tracks |                         |
| *E. Resolution to Revise Faculty Handbook Language on Nominations to University Distinguished Professor and Alumni Distinguished Professor |                         |
| *F. Resolution to Update the Faculty Handbook Description of Expectations for Promotion and Tenure |                         |
| *G. Resolution to Approve 2024 – 2025 Student Code of Conduct |                         |
| *H. Resolution to Approve Organizational Change at the Off-Campus Northern Virginia Center Located in Falls Church, Virginia |                         |
| *I. Ratification of 2024-25 Faculty Handbook |                         |
| 4. Provost’s Update                             | C. Clarke               |
| 5. Virginia Tech Global Distinction             | D. Sui, D. Taylor        |
| 6. Future Agenda Items and Adjourn              | C. Chenery               |

* Requires Full Board Approval  
# Discusses Enterprise Risk Management topic(s)
Open Session Briefing Report

ACADEMIC, RESEARCH AND STUDENT AFFAIRS COMMITTEE
June 11, 2024

<table>
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<tr>
<td>1. Welcome</td>
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<tr>
<td></td>
<td><em>The chair will welcome members and others to the committee’s open session.</em></td>
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<tr>
<td>2. Review and Approve Open Session Agenda</td>
<td>C. Chenery</td>
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<tr>
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<td><em>The chair will review and ask for approval of the Open Session Agenda including items on the Consent Agenda.</em></td>
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<td>3. Consent Agenda</td>
<td>C. Chenery</td>
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<td><em>The committee will consider approval of items on the consent agenda including: approval of the April 9, 2024 committee meeting minutes, a report on eight reappointments to endowed chairs, professorships, or fellowships, a report of the 2024-25 faculty compensation plan (shared for information purposes by the Finance and Resource Management committee), a resolution to approve revised extension faculty tracks, a resolution to revise faculty handbook language on nominations to University Distinguished Professor and Alumni Distinguished Professor, a resolution to update the Faculty Handbook description of expectations for promotion and tenure, a resolution to approve the 2024 – 2025 Student Code of Conduct, a resolution to approve organizational change at the Northern Virginia Center located in Falls Church, Virginia, and ratification of the 2024-25 Faculty Handbook.</em></td>
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<tr>
<td>4. Provost’s Update and Discussion</td>
<td>C. Clarke</td>
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<td><em>Executive Vice President and Provost Cyril Clarke will update the committee on the university’s academic initiatives.</em></td>
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<tr>
<td>5. Virginia Tech Global Distinction</td>
<td>D. Sui, D. Taylor</td>
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<td><em>Vice President for Research and Innovation Dan Sui and Executive Vice Provost Don Taylor will update the committee on the preliminary report from Virginia Tech’s Global Distinction steering committee. The committee is charged to examine how investments and policies can advance the university’s international prominence.</em></td>
</tr>
<tr>
<td>6. Future Agenda Items and Adjourn</td>
<td>C. Chenery</td>
</tr>
<tr>
<td></td>
<td><em>The committee chair will request that committee members consider topics for upcoming meetings of the committee.</em></td>
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</tbody>
</table>

* Requires Full Board Approval
# Discusses Enterprise Risk Management topic(s)
Welcome

ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE

The chair of the committee will welcome committee members and others to the committee open session.
Acceptance of Agenda

ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE

The chair of the committee will review and ask for acceptance of the Open Session Agenda and items as listed on the Open Session Consent Agenda.
A. Approval of April 9, 2024 Committee Meeting Minutes
B. Report of Reappointments to Endowed Chairs, Professorships, and Fellowships (8)
C. Report of the 2024-25 Faculty Compensation Plan
   (shared for information purposes by Finance and Resource Management Committee)
*D. Resolution to Approve Revised Extension Faculty Tracks
*E. Resolution to Revise Faculty Handbook Language on Nominations to University Distinguished Professor and Alumni Distinguished Professor
*F. Resolution to Update the Faculty Handbook Description of Expectations for Promotion and Tenure
*G. Resolution to Approve 2024 – 2025 Student Code of Conduct
*H. Resolution to Approve Organizational Change at the Off-Campus Northern Virginia Center Located in Falls Church, Virginia
*I. Ratification of 2024-25 Faculty Handbook
Committee Minutes

ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE

April 9, 2024

Committee Members Present: Carrie Chenery (chair), Brad Hobbs, Don Horsley.
Additional Board Members Present: Ed Baine, Nancy Dye, Chris Petersen, John Rocovich.

Constituent Representatives Present: Emily Tirrell (graduate and professional student representative), Joe Merola (faculty representative), and LaTawnya Burleson (staff representative).

Guests: Catherine Amelink, Lauren Augustine, Jacob Barney, Cyril Clarke, Lance Collins, Jeff Earley, Juan Espinoza, Ron Fricker, Rachel Gabriele, Rebekah Gunn, Chelsea Haines, Dee Harris, Kay Heidbreder, Rachel Holloway, Frances Keene, Sharon Kurek, Lu Liu, Elizabeth McClanahan, Ken Miller, Laurel Miner, TM Murali, Kim O'Rourke, Sharon Pitt, John Porter, Tim Sands, Kiera Schneiderman, Amy Sebring, Brennan Shepard, Mark Sikes, Micheal Stowe, Aimee Surprenant, Mary Trigiani, Tracy Vosburgh, Chris Wise,

OPEN SESSION

1. Welcome. C. Chenery, chair of the committee, welcomed attendees to the meeting.

2. Review and Approval of Open Session Agenda.

3. Consent Agenda Items. Approval of November 6, 2023 Meeting Minutes, the Report of Reappointments to Endowed Chairs, Professorships, and Fellowships, a Resolution to Approve the Appointment of the Interim Executive Director of the Virginia Center for Coal and Energy Research; a Resolution to Approve Appointment and Reappointments to the Virginia Coal and Energy Research and Development Advisory Board, a Resolution to Discontinue the Current Bachelor of Landscape Architecture and Approve a New Bachelor of Landscape Architecture in the College of Architecture, Art, and Design; a Resolution to Discontinue the Master of Arts in Data Analysis and Applied Statistics, and a Resolution to Update the Title of the Approved Master of Science in Applied Data Science to the Master of Science in Data Science.

The committee voted unanimously to approve the Open Session Agenda as presented including approval of all Consent Agenda items.

4. Provost's Update. C. Clarke, executive vice president and provost, updated the committee on several initiatives. Foundational work has been accomplished over 50 years to establish a Northern Virginia footprint, mostly managed through the Graduate School. Geographic areas of thematic concentration include a national security emphasis at the Virginia Tech Research Center in Arlington (VTRC-A). Additional developments include the innovation campus at Potomac Yard, the National Security Institute (NSI), and
the sunsetting of the Northern Virginia Center at Falls Church to be replaced by a coalition for Smart construction. A steering committee, chaired by Dean Julie Ross, reviewed and assessed current positioning, recommended adjustments as necessary, and charted a detailed course for further progress. The committee’s scope includes instruction, research, and outreach missions with an emphasis on those that will distinctively position Virginia Tech among land-grant universities and leverage the opportunities afforded by operating in the nation’s capital. The steering committee is making progress and plans to provide a detailed report to the BOV in June when the committee’s report is finalized. Provost Clarke anticipates that the report will recommend a region-wide administrative structure that optimizes the provision of services to students and employees; a tighter connection with and accountability to university leadership in Blacksburg; and enhanced visibility of the primary disciplinary emphasis undergirding academic programs in the region – computing and related sciences.

Senior-level searches are underway for the dean of the College of Agriculture and Life Sciences and the Commandant of the Corps of Cadets. Three candidates for dean of the College of Agriculture and Life Sciences have been invited for on-campus interviews. That search committee includes external voting members Robert Mills and Katie Frazier. Dean Alan Grant was thanked for his years of effective service. The search committee for the Commandant of the Virginia Tech Corps of Cadets conducted preliminary interviews and presented five candidates for consideration. Provost Clarke will meet with each candidate this week and, in consultation with the search committee, will select three for on-campus interviews.

Provost Clarke shared an update on Virginia Tech’s initiatives with Radford University (RU). A range of opportunities are being explored, with initial emphasis placed on guaranteed admission of Radford graduates to select M.S. programs such as computer science and related disciplines. This initiative is a priority because of the benefits to undergraduate and graduate enrollments at both universities.

Two work groups are underway. The first recognizes the potential impact of Artificial Intelligence (AI) on the university's activities. The workgroup is a collaboration between the provost and the chief operating officer. The second work group is focused on the Virginia Tech Global Distinction initiative and is charged with assessing progress, recommending strategies, and estimating funding needs over the next five years.

Virginia Tech had a record number of applications received for undergraduate admission approximately 52,000 versus 47,000 last year. Freshman enrollment is close to the target of 7,085. A waitlist strategy is being used for out-of-state acceptances. Currently, there is a decline in the number of acceptances from underserved populations that include underrepresented minorities (URM) and individuals who are first-generation, Pell-eligible, and Veterans. Acceptances from these populations are at 68% compared to April of 2023. Like other institutions, Virginia Tech was challenged by delays with the federal Student Financial Aid Program (FAFSA - and its associated Institutional Student Information Records) which complicated admissions modeling and impacted the timing of financial aid packaging.
In conclusion, Provost Clarke shared that Virginia Tech is progressing well within the three areas of the academic mission of the university - education, research, and outreach. Education, admissions, post-graduate success, and instructional innovation are anchored in a core commitment to experiential learning. Virginia Tech is expanding rapidly in its research focus, as evidenced by extramural expenditures, priority initiatives, and faculty distinction. The university's outreach mission is achieved through the variety of ways in which quality service is being provided including through Virginia Cooperative Extension and university-level international partnerships.

5. Virginia Tech Global Distinction: Destination Areas Program. Catherine Amelink, associate vice provost, T.M. Murali, professor of computer science, and Jacob Barney, professor of invasive plant ecology provided an update to the Destination Area 2.0 program which is designed and intended to support Virginia Tech’s efforts to advance its global distinction.

Destination Area 2.0 projects are submitted by the faculty and go through a rigorous screening and development process that involves competitive selection leading to a Phase I planning and development grant, followed by a gap analysis, and then a more extensive Phase II project award if selected for continued funding. From the first round of Destination Area 2.0 proposals, two were advanced to Phase II for funding: pediatric brain cancer and quantum navigation.

The committee received a briefing on two proposals from the second round of Destination 2.0 proposals that have been advanced to Phase II for funding, Invasive Species: Mitigating a Global Threat, and Pandemic Prediction and Prevention. Professor Barney leads a transdisciplinary team focused on combatting invasive species. Professor Murali’s team is focused on global pandemic prediction and intervention.

The invasive species project will integrate invasion science with policy, management, and social demands to confront a global crisis which causes harm to the environment, to the economy, and to human health. The pandemic prediction and prevention project is focused on the accurate prediction of pandemics and the development of methods to proactively minimize their impact. Both projects draw upon talent and expertise from across the university and they position Virginia Tech as a global leader in these areas.

6. Agenda Items for Committee Meeting. Committee members are encouraged to contact the chair with any possible future agenda items.

7. Adjournment.
The president and executive vice president and provost have confirmed the reappointment of the following faculty to endowed chair, professorship, or fellowship appointments with a salary and/or operating supplement provided by the endowment.

**College of Agriculture and Life Sciences (1)**

Katharine Knowlton  
Colonel Horace E. Alphin Professorship in Dairy Science

**College of Engineering (4)**

Kevin Boyle  
Blackwood Department of Real Estate Professorship

Dimitrios Nikolopoulos  
John W. Hancock Jr. Engineering Chair

Corina Sandu  
Robert E. Hord, Jr. Professorship in Mechanical Engineering

Daphne Yao  
CACI Faculty Fellowship in Cyber Security

**Pamplin College of Business (3)**

Dipankar Chakravarti  
Robert H. Digges Professorship in Entrepreneurial Studies

Frank May  
Mary F. McVay and Theodore R. Rosenberg Junior Faculty Fellowship

Steven Sheetz  
PwC Senior Faculty Fellowship in Accounting and Information Systems
As the university develops the annual Faculty Compensation Plan, it continues to use historical guidance provided by the commonwealth\(^1\) and the university’s Faculty Handbook. This faculty compensation plan defines the qualification criteria for faculty, provides guidance on the compensation process for faculty, and requires Board of Visitors’ approval.

The university’s 2024-25 Faculty Compensation Plan covers:

1. the 2024-25 pay structure;
2. the promotion and tenure process;
3. the annual evaluation and salary adjustment process for teaching and research faculty (T&R) and administrative/professional (A/P) faculty; and
4. salary adjustments within the evaluation period.

This faculty compensation plan is only for faculty positions. The compensation plan for staff is administered separately by the university administration in accordance with the Board of Visitors’ approval of the university’s Management Agreement, effective July 1, 2006, as well as guidance from the commonwealth and the state’s Department of Human Resource Management.

**Virginia Tech Salary Average and Benchmark Ranking for T&R Faculty**

For strategic planning purposes, the university has established a metric goal of reaching the 50\(^{th}\) percentile of the Top 20 Land Grant universities in the nation as ranked by the Wall Street Journal/Times Higher Education World University Rankings. The university’s actual salary average as compared to the Top 20 Land Grant group can be seen in the table below. The university’s competitive positioning among this group for Fall 2023 will be computed once the Integrated Postsecondary Education Data System (IPEDS) data becomes available.

<table>
<thead>
<tr>
<th>Top 20 Land Grant Group</th>
<th>Fall 2022</th>
<th>Fall 2023*</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>50(^{th}) percentile (excl. VT)</td>
<td>$119,260</td>
<td>N/A</td>
<td>-</td>
</tr>
<tr>
<td>VT Average Salary</td>
<td>$115,498</td>
<td>$123,858</td>
<td>7.24%</td>
</tr>
<tr>
<td>VT Rank</td>
<td>14 of 20</td>
<td>N/A</td>
<td>-</td>
</tr>
<tr>
<td>VT Percentile</td>
<td>37(^{th})</td>
<td>N/A</td>
<td>-</td>
</tr>
</tbody>
</table>

\(^*\)IPEDS peer salary data for Fall 2023 is not yet available.

Attachment A provides a list of the university’s peer group and the comparative salary averages for Fall 2022.

Although peer salary data is not yet available for Fall 2023, Virginia Tech’s salary average was $123,858. This overall average was 7.24% more than the Fall 2022 salary average. Within this overall average:

- **Continuing faculty:** 1,757 T&R faculty were a part of both the Fall 2022 and Fall 2023 averages and had an average salary of $125,956, an increase of 8.0% over the prior year.
- **Departing faculty:** 182 T&R faculty who were a part of the Fall 2022 average did not subsequently appear in the Fall 2023 average and had an average salary of $104,862.
- **New faculty:** 274 T&R faculty were a part of the Fall 2023 average who were not included in the Fall 2022 average and had an average salary of $110,405.

### 2024-25 Faculty Pay Structure

Consistent with traditional commonwealth guidance, a pay structure for T&R faculty for 2024-25 is presented in Attachment B. This plan is derived from the 2023-24 approved plan and incorporates the estimated impact of the planned merit program on entrance rates for 2024-25. The attachment also displays the normal entrance rate for each faculty category along with the change from the approved compensation rate for each rank, along with the distribution of faculty across the ranks. T&R faculty entering salaries will vary based on faculty discipline.

### Promotion, Tenure, and Continued Appointment

Promotion to a higher rank and appointment with tenure may be granted to faculty members on a regular faculty appointment who have demonstrated outstanding accomplishments in an appropriate combination of learning, discovery, and engagement. A current curriculum vitae together with student and peer evaluations of teaching, reprints of publications, evaluations by external reviewers from the same or a related field, and other similar documents comprise a dossier which furnishes the principal basis for promotion and tenure decisions. Faculty members being considered for either promotion or the awarding of tenure will have their dossiers reviewed at three levels:

- by a departmental committee and the head or chair;
- by a college committee and the dean; and
- by a university committee and the Provost.

Each candidate for promotion or tenure will be evaluated in the light of the tripartite mission of the university: learning, discovery, and engagement. Although not all candidates can be expected to have equal levels of commitment or equal responsibilities in each of these missions, a high level of general competence is expected in recognition
of the need for flexibility in the future establishment of priorities in academic programs. Beyond that basic foundation of competence, decisions related to tenure or promotion to associate professor will require evidence of excellence in at least one area.

The university’s mission and commitment as a major research institution requires high accomplishment for promotion to professor. Faculty members must demonstrate a high level of competence in an appropriate combination of instruction, outreach, and professional activities relevant to their assignment. Because of the university’s mission and commitment as a major research institution, successful candidates for the rank of professor must demonstrate excellence in research, scholarship, or creative achievement, as appropriate for the candidate’s discipline and assignment. Promotion to the rank of professor is contingent upon national or international recognition as an outstanding scholar and educator.

In addition to the rank promotions within the faculty categories described below, faculty may be promoted to ranks within other faculty categories, as appropriate (for example, an Instructor may be promoted to a rank within the Professor of Practice or Collegiate Faculty categories).

The Faculty Handbook provides detailed policies and procedures for the departmental evaluation, the college evaluation, and the university evaluation.

Members of the Library faculty and Cooperative Extension faculty not holding appointments in a collegiate department may be considered for continued appointment or for promotion in faculty rank in recognition of appropriate professional accomplishments. Candidates for promotion or continued appointment will be reviewed at two levels: first by the University Libraries or Extension promotion and continued appointment committee and Dean of University Libraries or Director of Virginia Cooperative Extension, and second by the University Promotion and Continued Appointment Committee and the Provost.

The following raises are recommended for promotions to:

<table>
<thead>
<tr>
<th>Rank</th>
<th>Raise</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor</td>
<td>$10,000</td>
</tr>
<tr>
<td>Associate Professor</td>
<td>7,000</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>5,000</td>
</tr>
</tbody>
</table>

For academic-year faculty members who have Research Extended Appointments (10-, 11-, or 12-month appointments funded by sponsored projects) with salaries adjusted in accordance with formulas in Policy 6200 – Policy on Research Extended Appointments, or for those who have a limited-term appointment as department head or other administrator, the stipend is adjusted by the same conversion rate to preserve its value when the faculty member returns to the academic-year base appointment.
Clinical Faculty

The clinical faculty track provides for long-term, full-time or part-time faculty appointments to individuals whose primary responsibilities are instruction and/or service in a clinical setting, such as veterinary medicine. Tenure cannot be earned in these ranks, and time spent in one of these ranks is not applicable toward probationary tenure-track faculty service. There are four non-tenure-track clinical ranks beginning with Clinical Instructor. Those clinical faculty members with outstanding performance may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

The following raises are recommended for promotions to:

- Clinical Professor: $10,000
- Clinical Associate Professor: $7,000
- Clinical Assistant Professor: $5,000

Collegiate Faculty

The collegiate professor series provides for short- or long-term, full- or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. There are three non-tenure-track collegiate professor ranks, beginning with Collegiate Assistant Professor. Tenure will not be awarded at any of these ranks and service at these ranks is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position. Collegiate faculty members with a record of significant scholarly and/or professional achievement may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

- Collegiate Professor: $10,000
- Collegiate Associate Professor: $7,000
- Collegiate Assistant Professor: $5,000

Professor of Practice

The professor of practice series provides for short- or long-term, full- or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. There are three non-tenure-track professor of practice ranks, beginning with Assistant Professor of Practice. Tenure will not be awarded at any of these ranks and all service at one of these ranks will be excluded from the probationary period should the faculty member later be appointed to a tenure-track position. Professor of practice faculty members with a record of outstanding performance
may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

<table>
<thead>
<tr>
<th>Rank</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor of Practice</td>
<td>$10,000</td>
</tr>
<tr>
<td>Associate Professor of Practice</td>
<td>7,000</td>
</tr>
<tr>
<td>Assistant Professor of Practice</td>
<td>5,000</td>
</tr>
</tbody>
</table>

**Instructors**

The instructor track provides for full- and part-time appointments to individuals whose primary responsibilities are to the undergraduate instructional program. Tenure will not be awarded at any of these ranks and all service at any instructor rank will be excluded from the probationary period should the faculty member later be appointed to a tenure track position. There are three ranks in the series: Instructor, Advanced Instructor, and Senior Instructor. Those faculty members with outstanding performance may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

The following raises are recommended for promotions to:

<table>
<thead>
<tr>
<th>Rank</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Instructor</td>
<td>$7,000</td>
</tr>
<tr>
<td>Advanced Instructor</td>
<td>5,000</td>
</tr>
</tbody>
</table>

**Extension Agents**

There are three ranks for extension agents: Associate Extension Agent, Extension Agent, and Senior Extension Agent. Criteria for promotion in rank include educational preparation, performance, and professionalism. The Director of Cooperative Extension makes a recommendation to the Provost based on an evaluation of the candidate’s dossier and recommendations of the Peer Review Committees, District Director, and Associate Directors of Cooperative Extension.

The following raises are recommended for promotions within Cooperative Extension:

<table>
<thead>
<tr>
<th>Rank</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Extension Agent</td>
<td>$7,000</td>
</tr>
<tr>
<td>Extension Agent</td>
<td>5,000</td>
</tr>
</tbody>
</table>

**Extension Specialists**

There are three ranks for extension specialists: Associate Extension Specialist, Extension Specialist, and Senior Extension Specialist. Extension faculty may or may not hold an appointment in an academic college. They are, nonetheless, subject to high professional standards in the dissemination of knowledge through the Virginia Cooperative Extension programs and in the planning and delivery of educational programs and programs of assistance to industries and local governmental agencies. Recommendations for
promotion in rank are made to the Provost based on an evaluation of the candidate’s dossier and recommendations of the Promotion Review Committee and Department Head and/or District Director.

The following raises are recommended for promotions to:

<table>
<thead>
<tr>
<th>Position</th>
<th>Raise</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Extension Specialist</td>
<td>$7,000</td>
</tr>
<tr>
<td>Extension Specialist</td>
<td>5,000</td>
</tr>
</tbody>
</table>

Virginia Tech Carilion School of Medicine Faculty

Faculty members of the Virginia Tech Carilion School of Medicine are of two types: faculty employed by the university or faculty employed by affiliate entities (in most cases Carilion Clinic). At all times, regardless of employer, faculty members providing instruction, academic support, or performing academic duties or roles as a Virginia Tech Carilion School of Medicine faculty member are governed by Virginia Tech’s policies and procedures. In the Virginia Tech Carilion School of Medicine, tenure-to-title is granted at the discretion of the school without any right to, interest in, or expectation of any compensation or guarantee for compensation or future employment and is granted only in the Virginia Tech Carilion School of Medicine to individuals who are not employed by Virginia Tech. Tenure-to-title is recognition of a faculty member’s significant accomplishments in teaching, clinical care (if relevant), scholarship, and service to the school.

The tenure-to-title and/or promotion in rank dossier is reviewed at three levels: (1) by an appropriately charged departmental committee and the department head or chair, (2) by an appropriately charged college-level committee and the dean, (3) and by the Provost. The department head or chair and dean make separate recommendations to the subsequent review levels. The Provost reviews college and dean recommendations and makes recommendations to the President. The Board of Visitors grants final approval.

Annual Evaluation and Salary Adjustments

Teaching and Research Faculty

An evaluation of every faculty member’s professional performance is held each year. All persons holding non-temporary faculty appointments are asked to prepare a report at the end of each academic year (or other appropriate 12-month period) citing their instructional activities, creative scholarship, and other professional activities and recognitions during the year. Salary recommendations are based upon performance documented in these annual reports, which are reviewed by departmental personnel committees in some cases, by the department head or chair, and the dean.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the department head or chair and are reviewed by the
The dean then provides the salary adjustment recommendations for review by university leadership prior to submission to President or designee.

Administrative/Professional Faculty

The Administrative/Professional Faculty are comprised of Senior Administrators and Managers and Professionals. Senior Administrators perform work directly related to management of the educational and general (E&G) activities of the institution at least 50 percent or more of their contractual time, and typically serve in executive leadership roles such as vice president, dean, director, and assistant or associate vice president or dean. Managers have responsibility for supervision and evaluation of a significant number of staff and/or professional faculty, and budgetary responsibility for their unit or a substantive program. Professionals provide direct service to students, other university constituencies, or clients external to the university as part of the university's missions of learning, discovery, and engagement. Professionals include, but are not limited to, extension agents, librarians, coaches, physicians, lawyers, engineers, architects, student or academic affairs professionals, development officers, specialists in public relations, human resources, information technology, and finance.

Evaluations are based upon standards set by the supervisor with the participation of the faculty member and relate closely to the duties inherent in the functional title and job description of the position. Annually set expectations become one of the important criteria for judging professional job performance in the subsequent year. In addition to maintaining a high level of performance in carrying out their job-related duties and responsibilities, senior administrators, managers, and professionals are expected to participate in and provide leadership of departmental, divisional, or university-wide committees, special university-wide assignments, or similar activity on behalf of important university priorities.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the supervisor and are reviewed as appropriate by the department head, dean, and vice president. The dean or vice president provides salary adjustment recommendations for approval by university leadership prior to being considered by the President or designee.

Research Faculty

Research faculty are those with the titles of research associate, senior research associate, postdoctoral associate, research scientist, senior research scientist, research assistant professor, research associate professor, research professor, project associate, senior project associate, or project director. Research faculty appointments are intended to promote and expedite the research activities of the university. Tenure cannot be earned in these ranks and service is not applicable toward probationary faculty service. Each research faculty member is evaluated and given a merit adjustment on the same schedule for evaluations and raise recommendations as the other faculty groups. Salary
adjustments are based on merit; they are not automatic. An annual performance review by the principal investigator and/or department head becomes part of the basis for salary adjustments. Recommendations for salary adjustments originate with the supervisor (usually the principal investigator or the department head or chair) and are reviewed, as appropriate, by the department head or chair, dean, and vice president for research and innovation. At the university level, the dean or vice president reviews the salary adjustment with university leadership prior to being considered by the President or designee.

**Other Salary Adjustments**

Faculty salary adjustments are normally reviewed and approved in two phases: adjustments for promotion are recommended at the June meeting and compensation programs are planned in the university budget process and in compensation plans developed in congruence with any applicable state compensation program.

In addition to this process, it is sometimes necessary to adjust the salaries of specific faculty members at other times during the fiscal year. These adjustments are primarily for changes in duties and responsibilities, special temporary assignments, retention or other exceptional needs, and faculty selected for a different position as part of a search. Adjustments on the anniversary date of appointment for a restricted faculty member may also be approved in lieu of the normal merit process.

To recognize continued educational attainment, faculty members may receive a base salary adjustment of up to $3,000 for completion of the doctorate effective upon official certification by the degree-granting institution that all requirements have been met for award of the degree.

By a separate resolution, the Board has delegated authority to the President, or designee for various employment and salary adjustments. The President, Provost, and Chief Operating Officer are authorized to administer the faculty compensation plan during the year and act upon requests for salary adjustments. The President has issued a set of guidelines establishing the parameters for approval of special salary adjustments. The quarterly Personnel Changes Report will reflect those actions of strategic importance to the institution not otherwise delegated through separate resolution.

**Faculty Research Incentive Plan**

During 2011-12, a university workgroup developed a university savings program by incentivizing faculty research activities. This effort resulted in the Board’s creation of a Faculty Research Incentive Program (FRIP) that has similarities to programs at peer institutions. This plan was implemented in 2012-13 and will be continued in 2024-25.

The goal of the FRIP is to provide an incentive for principal or co-principal investigators to secure additional competitively awarded, externally sponsored activities. Through the
leveraging of appropriately charged time to competitive grants and contracts, research
time that is funded by departments or colleges can be reduced, resulting in salary savings
that can be used to both support the incentive program as well as to support academic
initiatives.

One-time research incentive payments are made from department or college salary
savings and are based on a minimum savings threshold that is applied equitably within
departments or colleges. Faculty must apply in advance to be considered for the program.
Research incentive payments must be approved by the department head or chair, the
dean, and the vice president for research and innovation (or the appropriate
administrators based on reporting structure); all disapprovals must also be reviewed by
each management level. When salary savings result in a reduction in faculty assignments,
those salary savings are excluded from the program.

**Update on 2023-24 Faculty Compensation Plan**

Consistent with the biennial budget approved by the Governor and General Assembly,
the Board of Visitors approves an average three-percent faculty merit increase for
teaching, research, administrative and professional faculty, effective on the July 1, 2024
paycheck, with salary increases being implemented differentially based on individual
performance. The President, or designee, shall implement the results of the merit
program within the parameters specified in the final state Appropriation Act and the
university’s Faculty Compensation Plan. A summary of the results of this process will be
shared with the Board at its next regularly scheduled meeting following full
implementation of the plan.

**Other 2024-25 Compensation Actions**

To maintain and improve upon the university’s standing relative to the 50th percentile of
the Top 20 Land Grant peers, the higher levels of competing offers offered to key faculty,
and to minimize the high cost of turnover, the university will continue to explore
opportunities to improve the competitiveness of Virginia Tech faculty compensation.

In addition to the merit program outlined previously, the university may also elect to create
a supplemental pool to achieve certain targeted salary compensation or retention needs.
For example, in some years the university has worked to address issues such as salary
compression and equity needs. For 2024-25, such changes may result from one or more
of the following processes:

- The university establishes a special pool of funds to address salary for faculty who
  have achieved national distinction in their field. The funding will only be used to make
  adjustments based on evaluations of specific circumstances surrounding individual
  faculty members. As such, these adjustments would not be available to all faculty
members and may occur at any time during the year, subject to approval by the President or designee.

- The President may use a special pool of funds to adjust individual salary recommendations made by the vice presidents and deans when he determines that a different adjustment is warranted.

**RECOMMENDATION:**

That the proposed 2024-25 Faculty Compensation Plan be approved.

June 11, 2024
Virginian Tech Actual Salary Average Percentile 37th

(1) Average salary of peer institutions is based on the latest available data (Fall 2022) from IPEDS
*Excludes University of California-Berkeley and Cornell University
** Pennsylvania State University data under review with IPEDs
# 2024-25 T&R Faculty Proposed Pay Structure

Virginia Tech

<table>
<thead>
<tr>
<th>Rank</th>
<th>Minimum Entering Salary for 9-Month T&amp;R Faculty</th>
<th>Minimum Entering Salary for 12-Month T&amp;R Faculty</th>
<th>Distribution of Faculty by Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Entrance</td>
<td>Change</td>
<td>Entrance</td>
</tr>
<tr>
<td>Professor</td>
<td>$109,605</td>
<td>3.0%</td>
<td>$133,679</td>
</tr>
<tr>
<td>Associate Professor</td>
<td>83,829</td>
<td>3.0%</td>
<td>101,578</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>69,348</td>
<td>3.0%</td>
<td>84,352</td>
</tr>
<tr>
<td>Senior Instructor</td>
<td>59,477</td>
<td>3.0%</td>
<td>77,390</td>
</tr>
<tr>
<td>Advanced Instructor</td>
<td>53,027</td>
<td>3.0%</td>
<td>68,792</td>
</tr>
<tr>
<td>Instructor</td>
<td>48,602</td>
<td>3.0%</td>
<td>63,236</td>
</tr>
</tbody>
</table>
RESOLUTION TO APPROVE REVISED EXTENSION FACULTY TRACKS

WHEREAS, in explicit support of the land grant mission in the Commonwealth of Virginia, the Code of Virginia (23-132.1) recognizes the Cooperative Extension Service Program at Virginia Tech and Virginia State University; and

WHEREAS, the Virginia Tech Board of Visitors has the authority over all faculty employment policies associated with the university; and

WHEREAS, the university’s Faculty Handbook articulates faculty employment policies as well as faculty tracks and ranks; and

WHEREAS, Virginia Tech’s Cooperative Extension (Extension) faculty have varied responsibilities across the Commonwealth; and

WHEREAS, in the interest of aligning Extension faculty tracks and ranks with Extension regional and national practices; and

WHEREAS, no faculty have been hired on the Extension Continued Appointment track since 2013;

NOW, THEREFORE, BE IT RESOLVED, that the Virginia Tech Cooperative Extension Administrative/Professional Faculty tracks and ranks be revised and approved as follows (revision noted in red):

<table>
<thead>
<tr>
<th>Continued Appointment</th>
<th>Assistant Professor, Associate Professor, Professor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extension Agent</td>
<td>Associate Extension Agent, Extension Agent, Senior Extension Agent</td>
</tr>
<tr>
<td>Extension Specialist</td>
<td>Associate Extension Specialist, Extension Specialist, Senior Extension Specialist</td>
</tr>
<tr>
<td>4-H Center Program Director</td>
<td>Associate Program Director, Program Director, Senior Program Director</td>
</tr>
</tbody>
</table>

AND, BE IT FURTHER RESOLVED, that all remaining Extension faculty with Continued Appointment will remain on the Continued Appointment track,

AND, BE IT FURTHER RESOLVED, that the university’s Faculty Handbook and related policy documents will reflect the revised and approved language as detailed above.

RECOMMENDATION:

That the Board of Visitors approve the resolution to change the Extension faculty tracks.

June 11, 2024
RESOLUTION TO REVISE FACULTY HANDBOOK LANGUAGE ON NOMINATIONS TO UNIVERSITY DISTINGUISHED PROFESSOR AND ALUMNI DISTINGUISHED PROFESSOR

WHEREAS, University Distinguished Professor and Alumni Distinguished Professor are among Virginia Tech’s most prestigious honored faculty appointments; and

WHEREAS, the university continues to attract, retain, and advance faculty members with distinguished academic careers who serve as exemplars in their discipline, in the university and beyond; and

WHEREAS, the president, executive vice president and provost, and college deans have opportunities to identify faculty members with distinctive national and international honors and recognition; and

WHEREAS, the university’s Faculty Handbook outlines the processes by which eligible faculty members are nominated and selected for these honored appointments.

NOW, THEREFORE, BE IT RESOLVED that the Faculty Handbook be revised to include nominations for the honored appointment of Alumni Distinguished Professor to read as follows (revisions in red):

3.2.2 Alumni Distinguished Professor
Nomination and selection: Each academic year The provost, in consultation with the president and the Alumni Association, determines the process for if there will be one or more appointments to the Alumni Distinguished Professor rank and, if so, issues a call to the academic deans for nominations. The deans, in turn, invite nominations from academic departments or schools. In addition, in special circumstances and in consultation with the appropriate dean, the president or the provost may nominate an eligible faculty member for consideration by the Alumni Distinguished Professor selection committee.

AND, BE IT FURTHER RESOLVED that the Faculty Handbook be revised to include nominations for the honored appointment of University Distinguished Professor to read as follows (revisions in red):

3.2.3 University Distinguished Professor
Nomination and selection: Each academic year The president and provost determine if there will be one or more the process for appointments to the rank of University Distinguished Professor and, if appropriate, issue a call to the academic deans for nominations. The deans, in turn, invite nominations from academic departments or schools. In addition, in special circumstances and in consultation with the appropriate dean, the president or the provost may nominate an eligible faculty member for consideration by the University Distinguished Professor selection committee.

RECOMMENDATION:
That the Board of Visitors approve the resolution on nominations to Alumni Distinguished Professor and University Distinguished Professor.

June 11, 2024
RESOLUTION TO UPDATE THE FACULTY HANDBOOK DESCRIPTION OF EXPECTATIONS FOR PROMOTION AND TENURE

WHEREAS, the Faculty Handbook describes the general expectations for promotion and tenure; and

WHEREAS, aspects of clinical/medical service and its relationship to scholarship and teaching are not clearly articulated in the Faculty Handbook with respect to promotion and tenure; and

WHEREAS, the explicit description of the importance of clinical/medical service and its evaluation are important in the evaluation for promotion and tenure for faculty with those responsibilities;

NOW, THEREFORE, BE IT RESOLVED that the Faculty Handbook, Section 3.4.4, be revised as shown below in red.

3.4.4 General Expectations for Promotion and Tenure

In accordance with their assignments and as outlined in the “Virginia Tech Guidelines for Promotion and Tenure Dossier” document available from the provost’s office, candidates for promotion and/or tenure will be evaluated in the following categories: teaching, scholarship, and service. While candidates are not expected to have equal levels of commitment or equal responsibilities in all these areas, scholarship is expected of all tenure-track faculty members to a degree and in a discipline appropriate for their assignment.

Teaching (Includes advising/mentoring): Teaching is a multifaceted activity that includes formal and informal advising/mentoring. In any assessment of a candidate for promotion and/or tenure, both the quality and the quantity of the individual’s achievements in teaching and advising/mentoring should be considered. Those evaluating candidates for promotion and/or tenure should give special consideration to teaching effectiveness: faculty members must demonstrate the ability to evaluate scholarship applicable to their field and effectively teach their discipline to students. If applicable to the candidate’s appointment, teaching may include didactic lecture classes and laboratory settings as well as an integrated component of clinical practice.

Scholarship (Includes research, creative activities, and Extension activities): Scholarship is broadly defined at Virginia Tech as the discovery, transmission, and/or application of knowledge. Scholarship takes many forms, including but not limited to research, creative activity, and Extension activities. While both the quality and quantity of a candidate’s achievements should be examined, quality should be the primary consideration. Quality should be defined largely in terms of the work’s importance in the progress or redefinition of a field or discipline, the establishment of relationships among disciplines, the improvement of practitioner performance, or the creativity of the thought and methods behind it. To be awarded tenure, in addition to demonstrating productivity as a scholar, a candidate must provide evidence that their scholarship enhances their discipline, which is typically demonstrated by has—a growing impact nationally or internationally and the
potential for greater impact in the future. Promotion to the rank of professor requires evidence of ongoing or renewed productivity and the realization of a candidate’s potential for greater impact nationally or internationally, including a description of how their scholarship has influenced their field.

Service (Includes engagement, university service, professional service, medical service, inclusion and diversity, and additional outreach and Extension activities): In the spirit of *Ut Prosim* (That I may serve) and the land-grant mission, faculty members are expected to use their knowledge, creativity, and expertise to improve the human condition and engage the communities of which they are a part. Candidates must demonstrate their contributions to the governance, development, and vitality of the university, their academic professions, and other relevant communities at the local, state, national, and/or international levels. The quality and effectiveness of healthcare delivery, including activities in the presence of learners, and outreach and Extension activities that are not considered scholarship should also be documented.

The unique features of every candidate’s department or school, discipline, and assignment must be considered in any evaluation for promotion and/or tenure. Each department or school (or college, when college-wide guidelines are applied) is required to have “Expectations Guidelines for Promotion and/or Tenure.” Expectations guidelines account for disciplinary and programmatic differences unique to and within the department(s) and school(s) and specify what is required of their faculty members to fulfill the general expectations outlined above. Departments or schools, or colleges should carefully assess and state the overall standards of professional performance and contribution they consider minimally acceptable for the awarding of promotion and/or tenure. Expectations must be adhered to at every stage of the promotion and/or tenure process. Colleges that adopt a college-wide set of promotion and/or tenure guidelines will ensure that the “Expectations Guidelines for Promotion and/or Tenure” account for differences within and across departments and schools.

**RECOMMENDATION:**

That the board of visitors approve resolution to update the faculty handbook description of expectations for promotion and tenure.

June 11, 2024
RESOLUTION TO APPROVE 2024 – 2025 STUDENT CODE OF CONDUCT

WHEREAS, the Code of Virginia §23.1-412 mandates all public institutions of higher education in the Commonwealth of Virginia maintain and enforce student codes of conduct; and

WHEREAS, the Virginia Tech Board of Visitors has the authority to review and approve the Student Code of Conduct to reflect legal requirements and the evolving needs of the university community; and

WHEREAS, the Student Code of Conduct outlines the expectations for student behavior and the university’s response to instances of misconduct, applying to all enrolled students and student organizations; and

WHEREAS, the proposed revisions to the 2024-2025 Student Code of Conduct clarify existing language and include the provisions of University Presidential Policy Memorandum #303.

NOW, THEREFORE, BE IT RESOLVED that the revisions to Section II “Student Rights and Responsibilities” in red below be approved; and

BE IT FURTHER RESOLVED that the 2024 – 2025 Virginia Tech Student Code of Conduct, as amended, be in effect upon approval of the Board of Visitors.

Section II Student Rights and Responsibilities

Responsibilities

1. Students are responsible for understanding and following university policies and procedures, including the Student Code of Conduct, and for abiding by all applicable state, federal, and local laws.

2. University email is the primary means by which the university communicates with students; therefore, students are responsible for reading all official communications delivered to their university email address.

3. Pursuant to Code of Virginia §18.2-371, students who are offered admission to Virginia Tech and choose to matriculate have a continuing duty to report to the Office of Student Conduct any arrests, conviction, or issuance of a protective order, other than minor traffic violations, as well as any protective orders issued against them. This duty applies regardless of where the arrest occurred and regardless of whether the university is in session at the time of the arrest, conviction, or issuance of a protective order. Students must notify Student Conduct in writing, using the Arrest, Conviction, and Protective Order Disclosure Form within 10 business days of the incident that led to their arrest/summons or within five business days of the incident that led to their conviction of a crime or issuance of a protective order. Failure to comply with this continuing duty may result in disciplinary action under the Student Code of Conduct.

RECOMMENDATION:

That the Board of Visitors approve the 2024 – 2025 Student Code of Conduct to include the revisions to Section II Student Rights and Responsibilities.

June 11, 2024
Proposed Changes for 2024-2025
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I. Introduction

The Virginia Tech community is guided by the university’s motto, Ut Prosim (That I May Serve), and is based on the fundamental values expressed in the Principles of Community: to nurture learning and growth for all community members, to encourage open expression, and to respect our differences and common humanity.

When a student accepts admission to Virginia Tech as an undergraduate, graduate, or professional student, they also accept membership in the university community and responsibility for upholding its shared values and expectations. The Student Code of Conduct outlines policies established by the university that set standards for students’ behavior, along with procedures for adjudicating and sanctioning violations of these standards. The code applies to all students and student organizations at Virginia Tech, as defined in this document. The university reserves the right to make changes to the code at any time.

Authority to approve policies and procedures for student discipline, as outlined in the Student Code of Conduct, lies with Virginia Tech’s governing body, the Board of Visitors, as authorized under the Code of Virginia. The Vice President for Student Affairs has responsibility for the university conduct system, with direct supervisory oversight of disciplinary matters assumed by the Office of Student Conduct, under the direction of the Director of Student Conduct. The director serves as the Chief Student Conduct Officer for the university.

The Student Code of Conduct does not apply to matters of academic integrity. For information on policies and procedures related to student academic integrity, please refer to the following:

- Undergraduate Academic Integrity
- Graduate Honor System
- Doctor of Veterinary Medicine Honor Code (Virginia-Maryland School of Veterinary Medicine)
- Doctor of Medicine Honor Code (Virginia Tech Carilion School of Medicine)

The Office of Student Conduct and the University Conduct System

The Student Code of Conduct is overseen by the Office of Student Conduct. The university’s conduct system supports the educational mission of the university by educating students about appropriate behavior and fostering a community in which students can flourish academically and personally.

The system assumes that students and student organizations have the capacity to assume responsibility for their own behavior and that the university has the authority to establish an internal structure for the enforcement of its policies and procedures, which students have agreed to accept by enrolling in the university. As part of its authority, Student Conduct may suspend or dismiss students from the university.
Conduct matters are addressed by Student Affairs professionals who have been appointed as hearing officers by the Director of Student Conduct. These individuals each have significant education and training on student development, student discipline, and university policies and procedures.

Additional Community-Specific Regulations

As part of their education and life at Virginia Tech, students may also be involved in organizations, programs, or other entities for which additional and separate standards and policies, including potential sanctions for violations, have been established. Students should be aware of additional policies that may apply to their involvement in certain programs, organizations, or communities, including but not limited to students in the Corps of Cadets, student athletes, members of certain Greek-letter organizations under the Office of Fraternity and Sorority Life, and students in certain colleges or programs, such as the Virginia Tech Carilion School of Medicine or the Virginia-Maryland College of Veterinary Medicine.

These policies and processes do not supersede a student’s responsibilities under the Student Code of Conduct. In situations involving potential violations of policies in the Student Code of Conduct and community-specific policies, the student is accountable first to the university’s Code. Additional sanctions may be issued by programs/organizations that address a student’s participation or membership in those communities, specifically. Student Conduct is responsible for coordinating adjudication processes with these various entities, when appropriate.

II. Student Rights and Responsibilities

As individuals, Virginia Tech students enjoy basic rights. As members of the university community, they also accept certain responsibilities.

Rights

1. Students at Virginia Tech will be treated fairly and with dignity regardless of age, color, disability, sex (including pregnancy), gender, gender identity, gender expression, genetic information, national origin, political affiliation, race, religion, sexual orientation, or military status as described in university policy 1025.

2. Students at Virginia Tech enjoy those rights guaranteed by the Constitutions of the United States and the Commonwealth of Virginia as applicable. This includes activities protected under the First Amendment. In accordance with the Code of Virginia, incidents of disruption of constitutionally protected speech may be reported via the Speech on Campus webpage.

3. The Student Code of Conduct and the policies and procedures it outlines, under the administration of the Office of Student Conduct, provides an administrative process for resolving allegations of misconduct. This process includes certain procedural guarantees to ensure that students receive a fair and equitable resolution.
Responsibilities

1. Students are responsible for understanding and following university policies and procedures, including the Student Code of Conduct, and for abiding by all applicable state, federal, and local laws.

2. University email is the primary means by which the university communicates with students; therefore, students are responsible for reading all official communications delivered to their university email address.

3. Students who are offered admission to Virginia Tech and choose to matriculate have a continuing duty to report to the Office of Student Conduct any arrests, conviction, or issuance of a protective order, other than minor traffic violations, as well as any protective orders issued against them. This duty applies regardless of where the arrest occurred and regardless of whether the university is in session at the time of the arrest, conviction, or issuance of a protective order. Students must notify Student Conduct in writing, using the Arrest Disclosure and Conviction Form within 10 business days of the incident that led to their arrest/summons or within five business days of the incident that led to their conviction a crime or issuance of a protective order. Failure to comply with this continuing duty may result in disciplinary action under the Student Code of Conduct.

III. Jurisdiction

Enrollment Status

For the purposes of disciplinary action, a “student” is defined as any individual who has accepted an offer of admission as an undergraduate, graduate, or professional student and who has not yet graduated or officially transferred to another institution.

If a student’s enrollment lapses for more than one calendar year, based on a student’s voluntary decision not to enroll, that student will no longer be subject to disciplinary action. However, students who are separated from the university for academic or disciplinary reasons are still considered students for disciplinary purposes, regardless of the duration of the separation.

Student Organizations

A student organization, as defined in this document (below), may be considered for disciplinary action if an incident(s) is determined to be an organizational activity, based on at least two of the criteria listed below. Student Conduct will consider the entirety of the information to determine whether to charge an organization.

- Any student serving as an executive officer of the organization who is aware of the incident sufficiently in advance of its occurrence to prohibit its taking place and takes no action to prohibit it.
- The incident involves the expenditure of any organizational funds.
- The incident involves or is actively or passively endorsed by a majority of the members of the organization.
- The incident occurs in property owned, rented, reserved, or used by the organization.
• Members and/or non-members of the organization learned about the event through members or communication associated with the organization.

• The incident occurred as a result of individual members of the organization acting in the capacity as members of the organization.

Leaders and members of organizations who are complicit in any violation of the Student Code of Conduct or who permit or condone behavior that violates the code may also be held accountable as individuals in addition to the organization.

**Location of Incidents**

Students and student organizations that violate the Student Code of Conduct may be considered for disciplinary action whether the conduct occurs on or off university property, including but not limited to in-state, out-of-state, and outside of the United States.

The Student Code of Conduct may also apply to behavior conducted online or through an electronic medium. Students should also be aware that online postings such as blogs, web postings, chats and social networking sites are in the public sphere and are not private.

The university does not regularly search for this information but may take action if and when such information is brought to the attention of university officials.

**Alleged Violations of Criminal Law**

When conduct violates both criminal law and the Student Code of Conduct, disciplinary action may be taken by the university, irrespective and separate from criminal action. At the university’s discretion, the Office of Student Conduct may proceed with disciplinary action prior to a criminal trial or postpone action until after trial.

**IV. Definitions**

The following terms as used throughout the Student Code of Conduct are defined below. For definitions related to cases referred for formal adjudication under Title IX, refer to Appendix III.

<table>
<thead>
<tr>
<th>TERM</th>
<th>DEFINITION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advisor</td>
<td>An advisor is one person of a student’s choosing and cost who may accompany a student throughout the conduct process. They may consult with the student but not speak on the student’s behalf or participate actively in the process.</td>
</tr>
<tr>
<td>Aggravating Factors</td>
<td>An aggravating factor is information, used during sanctioning (i.e., after a violation has been determined to have occurred), that may increase the sanction. Some factors may include but are not limited to a student’s past conduct record and the nature and severity of the behavior and its impact.</td>
</tr>
<tr>
<td>Appeal</td>
<td>An appeal is a written request for review of a hearing and findings, based on specific grounds.</td>
</tr>
<tr>
<td>TERM</td>
<td>DEFINITION</td>
</tr>
<tr>
<td>--------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Appellate Officer</td>
<td>An appellate officer is an employee of Virginia Tech, external to the Office of Student Conduct staff, designated by the Vice President of Student Affairs to review and respond to appeals.</td>
</tr>
<tr>
<td>Charge(s)</td>
<td>A potential violation of the Student Code of Conduct.</td>
</tr>
<tr>
<td>Complainant</td>
<td>Any individual who has reported a potential violation of the Student Code of Conduct.</td>
</tr>
<tr>
<td>Conduct Officer or Hearing Officer</td>
<td>A conduct or hearing officer is an individual designated by the Director of Student Conduct to adjudicate cases involving allegations of conduct violations.</td>
</tr>
<tr>
<td>Conduct Referral</td>
<td>A report or complaint that alleges violations of the Student Code of Conduct by a student(s) or student organization(s).</td>
</tr>
<tr>
<td>Consent (general)*</td>
<td>Consent is generally defined as knowing, voluntary, and clear permission for something to occur. *For a more specific definition of consent in the context of sexual activity, please see the definition below.</td>
</tr>
</tbody>
</table>
| Consent (in the context of sexual activity) | Consent is defined as knowing, voluntary, and clear permission by word or action, to engage in mutually agreed upon sexual activity. The existence of consent is based on the totality of circumstances, including the context in which the alleged consent occurred. Silence does not necessarily constitute consent and coercion, force, or threat of either party invalidates consent.  
  - Consent cannot be given where a person is incapacitated; or where a person has a disability; or is not of legal age to consent as defined by law.  
  - Consent to any one form of sexual activity cannot automatically imply consent to any other forms of sexual activity. Consent can be withdrawn at any time.  
  - Previous relationships or prior consent cannot imply consent to future sexual acts. |
| Incapacitation           | Physical or mental inability to make informed, rational judgments. Incapacitation includes but is not limited to being asleep, being unconscious, and the inability to make decisions due to the voluntary or involuntary use of alcohol or drugs. |
| Mitigating Factors       | A mitigating factor is information, used during sanctioning (i.e., after a violation has been determined to have occurred), that may decrease the sanction. Some factors may include but are not limited to a student’s past conduct record and steps taken to remedy their behavior. |
| Notice                   | Written notice of the alleged violations of the Code. Notice will be presumed to have been furnished when the notice is sent to the student’s Virginia Tech email address or, when appropriate, provided at a prehearing meeting. |
The Office of Student Conduct uses preponderance of the evidence to determine whether or not a student has violated a policy in the Student Code of Conduct. This determination is made based on the information available to determine if it is more likely than not that a violation occurred.

Any student or student organization alleged to have violated the Student Code of Conduct.

For the purposes of disciplinary action, a “student” is defined as any individual who has accepted an offer of admission as an undergraduate, graduate, or professional student and who has not yet graduated or officially transferred to another institution.

For the purposes of disciplinary action, a “student organization” includes Registered Student Organizations (RSO), Extended Campus Student Organizations (ECSO), and University Chartered Organizations (UCSO), as defined in university policy 8010.

A university official is any person given authority by the university to perform administrative or professional responsibilities, including, but not limited to university police officers, residential well-being student leaders, graduate/teaching assistants, administrative support staff, faculty, etc.

University property or university facilities are any location, either permanent or temporary, owned or leased by Virginia Tech, and includes satellite campuses and offices. This includes, but is not limited to, the buildings, grounds, and the surrounding perimeters, including the parking lots, field locations, classrooms, alternate work or class locations, and university owned or leased vehicles.

A witness is a person who provides relevant information about an incident in a hearing or through a written statement. Character witnesses are not generally considered relevant.

V. Prohibited Conduct

Alcohol and Other Drug Offenses

- Alcoholic Beverage: Improper use of alcohol as defined by the regulations of the Commonwealth of Virginia and the university, including but not limited to underage possession/consumption, public intoxication (regardless of age), manufacturing, providing alcohol to any underage person, or any violation of university alcohol regulations, as outlined in Appendix I.

- Drugs: Possessing, using, manufacturing, selling, or misusing any illegal or controlled substance and/or possession of drug paraphernalia in violation of state or federal law.
Cannabis (Marijuana): Virginia law permits adults aged 21 or older to possess, use, and grow cannabis under certain circumstances; however, federal law continues to prohibit it and requires institutions of higher education that receive federal funds, including financial aid, to have policies prohibiting cannabis on university property or at university-sponsored off-campus events.

Therefore, in accordance with federal and state laws, Virginia Tech prohibits the following conduct related to cannabis. (Additional information is available in Appendix II):

- Possession or use of any form of cannabis, or any substance containing more than 0.3% THC, for any purpose, including medical or recreational use, on university property or at university-sponsored events off campus. This includes but is not limited to smoking, consuming edibles, and using vaporizers. “Use” includes being under the influence of marijuana.
- Possession of cannabis paraphernalia on university property or at university-sponsored event off campus.
- Improper possession or use of cannabis off university property (with the exception of university-sponsored events) as defined by the regulations of the Commonwealth of Virginia, including but not limited to possession/use under the age of 21, possession of greater than 1 ounce, consuming in public, and selling, as outlined in Appendix II.

- Driving Under the Influence: Operating or attempting to operate a motor vehicle, bicycle, or other personal transportation device while intoxicated or impaired by alcohol or other drugs.

- Tobacco: Improper use of tobacco as defined by the laws of the Commonwealth of Virginia and the university, including but not limited to underage possession of any tobacco product, nicotine vapor products, alternative nicotine products, or hemp products intended for smoking, providing any tobacco product to any underage person, or any violation of university policy No. 1010. Tobacco products include but are not limited to cigarettes, cigars, bidis, and rolling papers. The use of tobacco products is prohibited within 25 feet of any Virginia Tech building.

**Offenses Against People**

- Abusive Conduct: The use of physical force against an individual or any acts that cause physical harm; threats, including words or actions, that may cause a person reasonable apprehension of imminent physical harm.
- Endangerment: Actions that intentionally or recklessly endanger the health, safety, or well-being of oneself or another person or group.
• Harassment: Unwelcome conduct not of a sexual nature that is sufficiently severe, pervasive, or persistent that it could reasonably be expected to create an intimidating, threatening, or hostile environment that limits the ability of an individual to work, study, or participate in the activities of the university. Note: the Code also includes a Gender-Based Harassment policy.

• Hazing: Any mental or physical requirement, request, or obligation placed upon any person for the purpose of admission, initiation, or continued association with a group or organization that could cause discomfort, pain, fright, disgrace, or injury; that is personally degrading; or that violates any federal, state, local statute, or university policy, regardless of the willingness of an individual to participate in such activity. Additional information is available in Appendix IV.

• Stalking: Repeated contact of another person not based on gender when the contact is unwanted and may cause the other person reasonable apprehension of imminent physical harm or cause substantial impairment of the other person’s ability to perform the activities of daily life. Note: the Code also includes a Gender-Based Stalking policy.

• Recording and/or Distribution of Audio/Visual Material Without Consent: Making, attempting to make, sharing, or distributing an audio and/or visual recording of any person(s) without the knowledge and consent of all participants subject to such recordings, in locations where there is a reasonable expectation of privacy, and when the action is likely to cause injury, distress, or damage to one’s reputation.

• Gender-Based Violence (these policies apply in cases outside of the jurisdiction of Title IX; for Title IX policy definitions, refer to Appendix III):
  ▪ Sexual Violence: Physical sexual acts perpetrated against a person’s will or where a person is incapable of giving consent. Sexual violence includes rape, sexual assault, sexual battery, and sexual coercion.
    ▪ Sexual Assault: Actual or attempted sexual contact with another person without that person’s consent.
    ▪ Sexual Battery: Intentional touching of another person’s intimate parts without the person’s consent; or other intentional sexual contact with another person without that person’s consent.
    ▪ Sexual Coercion: Using physical or verbal aggression or pressure to force or attempt to force a person to touch another person’s intimate parts without that person’s consent.
    ▪ Rape: Penetration, no matter how slight, of (1) the vagina or anus of a person by any body part of another person or by an object, or (2) the mouth of a person by a sex organ of another person, without that person’s consent.
Gender-based Harassment: Acts of verbal, nonverbal, or physical aggression, intimidation, or hostility based on sex or sex-stereotyping, even if those acts do not involve conduct of a sexual nature.

Sexual Exploitation: An act or acts committed through non-consensual abuse or exploitation of another person’s sexuality for the purpose of sexual gratification, financial gain, personal benefit or advantage, or any other non-legitimate purpose. The act or acts of sexual exploitation are prohibited even if the behavior does not constitute one of the other sexual misconduct offenses.

Domestic Violence: A pattern of abusive behavior that is used by an intimate partner to gain or maintain power and control over the other intimate partner. Domestic violence can be physical, sexual, emotional, economic, or psychological actions or threats of actions that influence another person. This includes any behaviors that intimidate, manipulate, humiliate, isolate, frighten, terrorize, coerce, threaten, blame, hurt, injure, or wound someone.

Dating Violence: Acts of physical or sexual abuse committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim.

- The existence of such a relationship shall be determined based on the reporting party's statement and with consideration of the length of the relationship, the type of relationship and the frequency of interaction between the persons involved in the relationship.
- Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse, but does not include acts covered under the definition of domestic violence.

Gender-Based Stalking: Repeatedly contacting another person when the contact is unwanted. Additionally, the contact may cause the other person reasonable apprehension of imminent physical harm or cause substantial impairment of the other person’s ability to perform the activities of daily life. Contact includes but is not limited to communicating with (either in person, by phone, or by computer) or remaining in the physical presence of the other person.

Offenses Against Property

- Damage or Destruction: Intentional, reckless, and/or unauthorized damage to, destruction of, tampering with, or vandalism of property.
- Fire Safety: The misuse of or tampering with firefighting equipment and/or signage, unauthorized burning, disregarding fire alarm signals, deliberately
initiating a false alarm or, tampering with fire detection or suppression equipment.

- Theft: Theft is the unauthorized taking, appropriation, use, or possession of property belonging to another person or entity. Failing to tender payment for services rendered may also constitute theft. Found property should be presumed lost and delivered to an appropriate University authority immediately. Failure to return found property to an appropriate authority may constitute theft.

- Unauthorized Entry: Entering, attempting to enter, or being present in buildings, residences, public or private property, and/or facilities or other areas without proper authority.

**Offenses Against the Community**

- Disorderly or Disruptive Conduct: Engaging in disorderly or disruptive conduct that interferes with university, community, or individual activities, including but not limited to studying, teaching, research, and university administration.

- Failure to Comply: Failure to comply with a request and directives of university officials acting within the scope of their authority, including but not limited to the following: failure of a student to present their university identification card, failure to keep or attend a required meeting, and failure to leave an area when requested by an authorized university official. Upon the request of the student questioned, university officials must identify themselves and state the source of their authority.

- Impersonation: Impersonating any person, group, or office, with the intent to deceive another.

- Public Exposure: Any act or attempted act of public nudity or urinating/defecating in public.

- Hazardous Materials: Unauthorized possession, use, or threat of use of fireworks, explosives, or hazardous and potentially hazardous materials.

- Weapons: Unauthorized possession, use, threat of use, or storage of firearms, ammunition, or weapons on university property at any location, either permanent or temporary, owned or leased by Virginia Tech. Refer to Virginia Polytechnic Institute and State University Policy and Procedures No. 5616 for additional information.

**Offenses Against the University**

- Climbing: Unauthorized climbing, scaling, rappelling, or attempting to climb, scale, or rappel, inside or outside campus buildings or structures.

- Furnishing False Information: Knowingly giving false information to a university official who is performing their official duties, including but not limited to perjury in a conduct hearing.

- Interference with University Complaint Processes: Attempting or actively influencing, impeding, intimidating, interfering, coercing, or retaliating against
any person involved in a potential, actual, or past student complaint in a formal university complaint process.

- Involvement in a University Violation: Presence, regardless of participation, during any violation of the Student Code of Conduct and/or other university policies in such a way as to condone, support, or encourage that violation. Students who anticipate or observe a violation of university policy are expected to remove themselves from participation and are encouraged to report the violation.

- Visitation/Guest Policies: Students or student organizations will be held responsible for the conduct of their guests and are expected to inform them of all university regulations, including but not limited to Housing policies.

**Other Prohibited Conduct**

- Actions Leading to the Conviction of Criminal Offenses: Any student convicted of a criminal offense is subject to university disciplinary action.

- Failure to Observe Rules and Regulations: Failure to observe rules and regulations issued by the university that are not listed specifically as “Prohibited Conduct” in the document, including but not limited to regulations linked above in the “Additional University Policies” and “Additional Community Specific Regulations” sections.

- Forgery or Fraud: Forgery or fraud, including attempts to obtain any item of value under false pretenses, falsification of official university documents, or possession of forged or altered identification or another person’s identification.

- Gambling: Participation in any form of illegal gambling.

**Statement on Sanction Enhancements for Policy Violations Motivated by Bias**

Any violation of the Virginia Tech Student Code of Conduct found to be motivated by an individual’s age, color, disability, sex (including pregnancy), gender, gender identity, gender expression, genetic information, national origin, political affiliation, race, religion, sexual orientation, or veteran status (as stated in Virginia Polytechnic Institute and State University Policy and Procedures No. 1025) will be deemed an aggravating factor and will subject the student to a sanction more severe than would be imposed in the absence of such motivation.

This sanction enhancement will not apply in cases in which protected classes are specifically addressed within the language of the policy, such as gender-based violence or gender-based stalking.

**Statement on Self-Reporting and Bystander Intervention**

Virginia Tech recognizes that the health and safety of students is of utmost importance. Therefore, if someone requires assistance for themselves or others because of alcohol or drug use, we want them to call for help. If medical assistance is sought, Student Conduct will not pursue conduct charges against the individual or organization who sought assistance, or the individual in need of assistance. However, Student Conduct will still
require students to attend a meeting with a hearing officer to discuss the incident and will assign substance-related and other educational assignments to the involved parties.

Violations having a significant individual or community impact and students with prior violations that demonstrate an actual, potential, or perceived pattern of behavior are not likely to have outcomes that are mitigated and are not likely to be protected under this policy.

**Statement on Reports of Sexual Harassment and Gender-Based Violence and Immunity for Use of Alcohol or Other Drugs**

Virginia Tech seeks to remove any barriers to reporting incidents of sexual harassment and gender-based violence. Therefore, any student, whether the complainant or a third party, who makes a good-faith report of sexual harassment or gender-based violence will be immune from disciplinary action for their personal consumption of alcohol or other drugs occurring at the time of the reported incident.

**Statement on Immunity for Reports of Hazing**

In an effort to remove any behavior(s) or action(s) which degrades, intimidates, or endangers the health, safety and wellbeing of any individual in our community, individual(s) who report an ongoing or pending act of hazing shall be provided immunity from disciplinary action for hazing or for their personal consumption of alcohol or other drugs occurring at the time of the reported incident providing:

a) The disclosure is made by a bystander who is not an active participant in such acts; and

b) The disclosure is a good faith report of hazing made in advance of or during an incident of hazing.

Student bystanders who report acts of hazing, while immune from disciplinary action, may be required to meet with Student Conduct to discuss the incident and may be assigned substance-related or other educational assignments.

**VI. Additional University Policies**

The Student Code of Conduct is intended to include other rules, regulations, and policies issued by the university that pertain to students and student organizations. Violations of these policies are actionable under the Student Code of Conduct when the violation warrants a process or sanction beyond what is available in these policies. Additional policies include but are not limited to the following:

- Dining Policies
- Housing Policies
- Housing and Dining Contract
- Parking and Traffic Regulations
- Student ID Cards
University-Level Policies (see the university’s policy library at policies.vt.edu/policy-library for a full list of policies relevant to students; the following policies are those most frequently referenced):

- Acceptable Use and Administration of Computer and Communications Systems
- Arrest, Conviction, and Protective Order Disclosures
- Bicycles and Personal Transportation Devices
- Campus and Workplace Violence Prevention
- Facilities Usage and Events
- Harassment, Discrimination, and Sexual Assault
- Operation of Unmanned Aircraft Systems
- Sales, Solicitation, and Advertising on Campus
- Serving Alcohol
- Smoking
- Social Media
- Tobacco
- University Names and Trademarks

VII. Student Conduct Process

The Office of Student Conduct uses the following procedures to address behavior that is alleged to have violated university policy. It should be noted that not all situations are of the same severity or complexity. Thus, these procedures are flexible and are not exactly the same in every situation, though consistency in similar situations is a priority. The procedures used in particular cases are determined at the sole discretion of the Office of Student Conduct.

The university conduct process is an administrative function and differs from civil or criminal legal proceedings. In some situations, students may be involved in both legal and university systems.

Step 1: Submitting a Conduct Referral/Complaint

Any student, faculty member, staff member, administrator, community member, or concerned party may submit a complaint, known as a “conduct referral,” to the Office of Student Conduct. While there is no time limit for referrals, Student Conduct encourages people who plan to bring a complaint against a Virginia Tech student to do so as quickly and prudently as possible.

Student Conduct will review the conduct referral to determine if there is information regarding behavior that may violate the Student Code of Conduct and thus warrants resolution within the conduct system.
This review may include a meeting with the person(s) who submitted the complaint and/or an investigation to gather additional information.

Potential outcomes of the review include the following:

- A determination that interim measures or administrative actions should be imposed in order to maintain safety or order.
- A determination that an investigation is needed to gather additional information to identify an appropriate avenue for resolution.
- A determination that the matter should be referred to another office or process.
- A determination that there may be a potential violation of the Student Code of Conduct and that an agreed resolution is the appropriate avenue for resolution.
- A determination that there may be a potential violation of the Student Code of Conduct and that a formal hearing is the appropriate avenue for resolution.
- A determination that the complaint may not involve a potential policy violation but is related to a conflict; in this case, Student Conduct may offer voluntary mediation, facilitated dialogue, or conflict coaching.
- In some cases, at Student Conduct’s discretion, students will be invited to participate in an educational conversation about the concerns raised in the complaint, even when Student Conduct determines that adjudication is not appropriate.
- A determination that there is insufficient information to pursue the complaint.
- A determination that the behavior alleged, even if proven, would not violate the Student Code of Conduct.

Formal Complaints of Sexual Harassment and Gender-Based Violence

Formal complaints of sexual harassment and/or gender-based violence should be reported to the university’s Title IX Coordinator. They will follow the steps detailed in Virginia Tech’s Title IX Reporting and Grievance Procedures for Sexual Harassment and Violence (INSERT LINK) to offer supportive measures and to determine whether a complaint falls within the scope of Title IX, as defined by the federal Department of Education, or under the policies in Virginia Tech’s Student Code of Conduct.

Complaints that have been determined to fall under the policies in the Student Code of Conduct will be referred to the Director of Student Conduct. Per the process outlined above, the Director will review the complaint and, if appropriate, may request the Office for Equity and Accessibility conduct a thorough, impartial investigation into the complaint. Upon completion of an investigation, the Director will determine how the matter should be resolved.

**Step 2: Resolution**

After reviewing a conduct referral, Student Conduct will determine an appropriate resolution process from among the following:
Agreed Resolution: An agreed resolution is an informal resolution option in which the respondent meets with a hearing officer to discuss an incident and collaborates with the hearing officer to determine whether they violated a policy and, if so, what sanctions may be appropriate. If the respondent agrees to the resolution, they waive the right to a formal hearing, and the resolution is final. If an agreement cannot be reached, the respondent has the option to move forward to a formal hearing with a new hearing officer.

Formal Hearing: In a formal hearing, the hearing officer(s) determines whether the respondent violated policies in the Student Code of Conduct, along with appropriate sanctions, if necessary. In formal conduct hearings, the respondent is entitled to the following procedural guarantees and opportunities:

- To receive written notice of charges at least five (5) business days in advance of the hearing and in reasonable detail to allow the respondent to prepare for the hearing.
- To share their version of events and refute any information presented.
- To present witnesses/witness statements and question any witnesses present.
- To remain silent or not participate.
- To be accompanied by an advisor.
- To challenge the objectivity of a hearing officer(s), given reasonable cause to believe that they may be biased or have a conflict of interest.
- To appeal if there is a loss of privilege (i.e., suspension, dismissal, denial of housing, etc.), provided there are appropriate grounds as found in the Student Conduct Formal Hearing Appeals section.

In addition to witnesses who may be called by respondents participating in formal hearings, hearing officers may also call witnesses whom they believe are relevant for determining outcomes in a given case. The outcome of a formal hearing is final unless it qualifies for appeal, as outlined in the Formal Hearing Appeals section. If a respondent or complainant fails to attend a formal hearing after receiving proper notice, the case may be heard in their absence.

Formal Title IX Adjudication and Gender-Based Violence Hearings: Cases referred for adjudication by the Title IX Coordinator for a formal Title IX hearing are conducted in accordance with the policies and procedures outlined in Appendix II, as required by the U.S. Department of Education.

Gender-based violence cases that fall outside of the jurisdiction of Title IX are adjudicated through the gender-based violence policies and formal hearing process outlined by the Student Code of Conduct, as described above. These formal hearings are conducted by a team of two hearing officers. In these hearings, both the complainant and respondent receive the same procedural guarantees outlined above, and both parties may appeal, regardless of the outcome. Appeals must be based on appropriate grounds.

Adaptable Conflict Resolution (ACR): When complaints/referrals to Student Conduct are based in conflict between individuals or groups, Student Conduct may offer adaptable conflict resolution (ACR) options to students, including mediation, facilitated dialogue, or
conflict coaching. Participation in ACR is optional, and in the case of mediation or facilitated dialogue, all parties must agree to participate. ACR options may result in a mutually satisfactory agreement between the parties, but it is not required.

Educational Conversation: An educational conversation is a discussion between a student and hearing officer in Student Conduct regarding behavior that does not rise to the level of a policy violation but is, nevertheless, inappropriate or having a negative impact on the student or others or, if it continues, may become a policy violation. These conversations are educational and supportive in nature and are intended to help the student reflect and to connect them with resources, when needed.

**Additional Information**

**Standard of Proof**
The preponderance of the evidence standard will be used to determine responsibility for violations of policies in the Student Code of Conduct. Preponderance of the evidence means that based on the information available to determine if it is “more likely than not” that a violation occurred.

**VIII. Sanctions**

Student Conduct sanctions are designed to promote safety, individual accountability, and reflection. Whenever possible, Student Conduct makes efforts to educate students and to foster personal and academic success. When assigning sanctions, hearing officers consider the type and nature of any policy violation(s), including mitigating or aggravating factors, as well as the student’s prior conduct record. Sanctions are generally cumulative in nature. One or more of the following sanctions may be imposed when a student or student organization is found responsible for violating the Student Code of Conduct:

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<tr>
<td>Formal Warning</td>
<td>A formal written notice that the student or student organization has violated a policy in the Student Code of Conduct and that further violations may result in more serious conduct action. Students or student organizations who receive a formal warning are still considered in good conduct standing with the university. A formal warning is not shared with third-parties during a student disciplinary records check, unless waived by the student or under court order or subpoena.</td>
</tr>
<tr>
<td>Probation</td>
<td>A specified period of time during which the student or student organization is considered not in good conduct standing with the university. Further violations during that time period may result in more serious conduct action, including a potential separation from the university.</td>
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<tr>
<td>SANCTION</td>
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<tr>
<td>Deferred Suspension</td>
<td>A specified period of time during which the student or student organization is considered not in good conduct standing with the university. Violations for which deferred suspension is assigned are those that are serious enough to warrant suspension from the university, but due to mitigating factors, the student or student organization is given the opportunity to remain enrolled at the university, provided they do not violate further policies. The suspension may take effect if they violate additional policies during the period of deferred suspension.</td>
</tr>
<tr>
<td>Suspension</td>
<td>A specified period of time during which the student or student organization is separated from the university. During the suspension period, the student does not have the rights and access to privileges associated with being a student, which includes eligibility to be academically enrolled at Virginia Tech or transfer credits earned at other institutions during the period of disciplinary suspension. For student organizations, the university will withdraw recognition for the duration of the suspension. A student or student organization must complete all assigned sanctions and receive permission from Student Conduct to be eligible to re-enroll. For a student who has completed their academic work but whose degree has not yet been conferred, their degree may be withheld for the duration of the suspension period.</td>
</tr>
<tr>
<td>Deferred Dismissal</td>
<td>A specified period of time during which the student or student organization is considered not in good conduct standing with the university. Violations for which deferred dismissal is assigned are those that may warrant permanent dismissal, or expulsion, from the university, but due to mitigating factors, the student is given the opportunity to maintain student status with the university, provided they do not violate further policies. The dismissal may take effect if the student violates additional policies during the period of deferred dismissal. A deferred dismissal is often accompanied by a suspension or other conduct sanctions.</td>
</tr>
<tr>
<td>Dismissal</td>
<td>A formal notice that the student or student organization is permanently dismissed, or expelled, from the university, with no opportunity to re-enroll. For student organizations, the university permanently withdraws recognition.</td>
</tr>
<tr>
<td>Denial of Privileges or Associations</td>
<td>A specified period of time during which the student is denied certain privileges or associations, including but not limited to termination of the housing contract, removal from athletic events, loss of recreational sports privileges, network access, or access to certain university facilities. Student organizations may also have their social function privileges revoked.</td>
</tr>
</tbody>
</table>
Failure to complete sanctions

Students are expected to complete their conduct sanctions, including educational sanctions, within the timeframe and guidelines specified by their hearing officer. Failure to complete sanctions may result in placing holds on student accounts and additional conduct action.

IX. Formal Hearing Appeals

The respondent has the opportunity to appeal the outcome of a formal hearing if it results in a loss of privilege, including suspension, dismissal, or denial of certain university privileges, including but not limited to housing, network access, or athletic privileges. For gender-based violence hearings, both the complainant and respondent have the opportunity to appeal, regardless of the outcome of the hearing and whether or not there is a loss of privilege. Sanctions take effect immediately, pending the appellate officer’s decision or the end of the appeal period.

The appeal process for formal Title IX hearings is outlined in Appendix III.

Grounds for appeal

Appeals are not re-hearings; therefore, appeal requests are limited to the following grounds:

1. Denial of procedural guarantees
2. Significant and relevant new information that was not available at the time of the hearing
3. Unduly harsh or arbitrary findings or sanctions.

Appeals submitted that do not have sufficient grounds in one of these areas will be denied.

Potential Outcomes of an Appeal

The appellate officer will review the appeal and may:

1. Uphold the original decision and sanctions
2. Uphold the original decision and either decrease or increase the sanction
3. Vacate a finding
4. Send the case back to Student Conduct for a new partial or full hearing.
Timeframe to submit an appeal

The respondents (and complainants, in the case of gender-based violence hearings) have seven (7) business days from the date of the decision to submit the appeal. Appeals submitted after the deadline will not be accepted except in extenuating circumstances, as determined by Student Conduct.

Format of appeal

The appeal is a written request submitted by the student for a review of the original case. The student should include which grounds for appeal they believe apply and any information the student wants considered should be included in the written document. The burden is on the appealing student or student organization to demonstrate why the finding or sanction should be altered.

Appellate Officers

An appellate officer will be designated by the Vice President for Student Affairs, or their designee, who serves as the university's Chief Appellate Officer. All appellate officers are external to the Office of Student Conduct.

X. Interim Measures and Administrative Actions

Based on the nature and circumstances of the referral, the university may authorize interim measures or take administrative action to maintain safety and order and to ensure compliance with university processes and directives, including the following:

Holds on Student Account: Student Conduct may apply a hold on a student’s account, which will prevent course registration, graduation, and access to transcripts. Situations in which holds may be applied include but are not limited to the following:

1. The student fails to complete sanctions by assigned deadlines
2. The student has been issued an interim suspension
3. The student is suspended and has a pending re-enrollment meeting
4. The student has a pending conduct matter that must be resolved

Interim Suspension: The university retains the authority to impose an interim (immediate) suspension from the university and/or selected campus facilities with proper notice if such action is necessary to preserve the safety of persons or property. During an interim suspension, a student may not participate in academic, extracurricular, or other activities of the university except as may be authorized by the Vice President for Student Affairs or their designee. In this instance, the students will be afforded an interim suspension meeting and the opportunity to show why their continued presence on campus does not constitute a threat to themselves, others, or property. The interim suspension meeting is separate from the student conduct process. The student will have five (5) business days within which to request an interim-suspension meeting, should they desire one be held, by contacting the appropriate office as designated in the notice of interim suspension. An opportunity to meet with Student Conduct for a final resolution will be provided as soon as possible.
• Procedures: The following steps explain the procedure for imposing an interim suspension:

† Initiating an Interim Suspension: When a situation, as defined above, occurs, the responding university official contacts the Threat Assessment Team or the Vice President for Student Affairs or their designee to assess the situation and determine if an interim suspension is appropriate.

† Notification of an Interim Suspension: The student will be sent an interim suspension letter immediately, which states that the student is either suspended from the university and/or suspended from all or selected campus residential facilities until a final resolution is determined through the Student Conduct process.

† Interim-Suspension Meeting: The student can immediately request an interim suspension meeting to be conducted by the Vice President for Student Affairs or their designee. The interim suspension letter will contain instructions on how to request a review. Those present at the meeting may include the responding university official and other witnesses as deemed appropriate by the Vice President for Student Affairs, or their designee. During the review, the student will be given an opportunity to demonstrate why their continued presence on campus does not constitute a threat to themselves, others, or property. As part of the review, the student may be required to submit to an immediate medical/psychological evaluation. In such instance, the student will be evaluated by the director of the Cook Counseling Center or their designee.

† Timeframe to Request Interim-Suspension Review: A student must request a meeting within five (5) business days; after that time frame, the interim suspension and/or suspension from campus residential facilities and all student activities will remain in effect until the matter is resolved through the student conduct process.

† Decision: The decision made after the interim suspension meeting will be final. There will be no additional appeal.

† Student Conduct Process/Resolution: Interim suspension information will be shared with Student Conduct and others who need to know. Student Conduct will determine and schedule, as soon as possible, the appropriate resolution process to determine whether the student is responsible for violating university policy and, if so, appropriate sanctions.

No Contact Order: In certain situations, Student Conduct may issue no contact orders to students for a period of time to prevent communication between two or more students if it is determined that contact between the parties may perpetuate or escalate behavior that may interfere with a person’s rightful actions, including but not limited to their safety and security. No contact orders prevent students from face-to-face, electronic, or third-party contact.
If a no contact order is issued, all parties involved will receive the order in writing. Unless issued as a sanction in a student conduct hearing, a no contact order does not appear on a student’s official conduct record.

A student who violates a no contact order may be subject to conduct action; if a violation of the order threatens the safety of persons or property, an interim suspension may be imposed.

The process for no contact orders includes the following:

1. No contact orders may be requested by students, or Student Conduct may issue them independently of a request.
2. Before issuing an order, Student Conduct may request additional information to determine whether it is warranted.
3. Student Conduct may decline to issue an order.
4. A student who has requested an order be issued may subsequently request that it be lifted.
5. Student Conduct has the discretion to lift a no contact order at any time if it is determined that the circumstances under which it was issued are no longer present.

Cease Operations Order: In certain situations involving allegations of policy violations by student organizations that may involve potential impacts on the safety of persons or property or significant disruption to the community, Student Conduct may issue a cease operations order, which places restrictions on the organization while the matter is resolved. Examples of situations in which cease operations are issued include but are not limited to the following: hazing; alcohol distributed to underage members or guests; and disorderly or disruptive behavior, such as serious or ongoing violations of noise regulations in the Town of Blacksburg. The cease operations will remain in place until the matter is resolved by Student Conduct. Cease operations restrictions may include but are not limited to the following:

1. The organization is to stop operating in full, including meetings, communication, events, etc.
2. The organization is to stop hosting events with alcohol present.
3. The organization is to stop recruitment or holding meetings, events, or activities with new or prospective members.

**XI. Student Conduct Records**

Violations of the Student Code of Conduct are maintained in a student’s conduct record for a period of five years from the date of the incident, excluding cases resulting in dismissal from the University, which will be kept in perpetuity. This record is maintained electronically by the Office of Student Conduct and is separate from a student’s academic transcript, though it is considered part of a student’s educational record.
In accordance with the Clery Act, records regarding incidents involving Clery Act reportable violations will be kept for a minimum of seven years from the date of the incident.

Records of formal Title IX hearings will also be maintained by the Office for Equity and Accessibility for a period of seven years, as described in the Title IX Reporting and Grievance Procedures for Sexual Harassment and Violence.

Student conduct cases involving student organizations are not private. Accordingly, hearing notification and sanction letters are sent to organizational advisors and (inter)national headquarters. Additionally, in accordance with Virginia statute, student organizations found responsible for a violation of the hazing policy will be publicly reported on the Office of Student Conduct webpage.

Information Sharing within the University

Notification of student conduct outcomes or decisions is given to individuals in the university with a need to know. Other university agencies or organizations may be required to obtain a written release from students before they can receive notification.

Notification to Victims of Crimes of Violence

Victims of crimes of violence (including abusive conduct and gender-based violence) involving student respondents will be notified of the outcome and sanction(s). In Title IX matters, complainants will also be notified of the outcome and relevant sanctions for non-violent violations of gender-based violence policies.

Parental Notification

Parents/guardians of students under age 21 will be notified if their student is found responsible for a violation of the alcoholic beverage or illegal drug policies.

Student Conduct Transcript Notations in Cases of Suspension and Dismissal

When a student is suspended or permanently dismissed from Virginia Tech, a notation will be included on the student’s academic transcript stating, “suspended [or dismissed] for a violation of the Student Code of Conduct.” Suspension notations will be removed once the student completes the term and conditions of the suspension, including all assigned sanctions. In cases involving allegations of gender-based violence, a notation will also be placed on the transcript of a student who withdraws from Virginia Tech while under investigation. This notation will be removed if the student is subsequently found not responsible for violating policies in the Student Code of Conduct. Students may also petition to have transcript notations expunged, as outlined in the following section.

Lesser sanctions, such as warnings and probation, do not affect a student’s academic standing and do not appear on the official transcript.

Petitions for Expungement

The university offers two opportunities for students to petition for expungement of documentation related to their disciplinary record:
1. In cases involving low-level violations of the Student Code of Conduct, such as cases in which a student received probation, the student may petition the Office of Student Conduct to have the record of that case expunged prior to the end of the five-year period (early record expungement).

2. In cases involving sanctions of suspension or permanent dismissal resulting in a notation on the academic transcript, the student may petition the Office of Student Conduct to have the notation on their academic transcript expunged. Expungement of the notation is not the same as expungement of the entire case record.

The process and timeline for each opportunity is outlined below.

1. Early Record Expungement for Low-Level Policy Violations: Students or graduates may petition Student Conduct to have the documentation of their cases involving low-level policy violations, such as those resulting in probation, “expunged” from their conduct record prior to the end of the five-year period. “Expungement” in this situation means that while the record is maintained by Student Conduct, per state and federal law, the record will not be shared with third parties, except as required by law. For example, a student applying to transfer to another institution may need to obtain a certified copy of their disciplinary record as part of an admissions application; if a record has been expunged, the documentation provided for the application will not include information about that incident.

The opportunity to request expungement reflects the student-centered and learning-focused values on which the Student Conduct process is based. Namely, we believe that students can learn and grow by reflecting on their decisions and examining their values.

Cases involving more serious violations of policy and more significant sanctions may not be considered for early record expungement, including but not limited to the following cases: those resulting in suspension or dismissal, gender-based violence and gender-based stalking, drug distribution, or other offenses against people.

An early record expungement applies only to records maintained by the Office of Student Conduct; records maintained by other offices or units, such as law enforcement and other university departments are not subject to expungement under this process.

Eligibility: A student may petition to have cases expunged from their conduct record in the following circumstances:

- An undergraduate student is classified as a senior, is not on an active status sanction (e.g., probation), and has completed all assigned educational sanctions.

- An undergraduate student is classified as a freshman, sophomore, or junior, has been off of an active sanction (e.g., probation) for at least one full semester (i.e., fall or spring), and has completed all assigned educational sanctions.

- A graduate or professional student is not on an active status sanction (e.g., probation) and has completed all assigned educational sanctions.
2. Transcript Notation Expungement for Cases Involving Suspension or Dismissal:
A student or former student may petition for a transcript notation to be expunged—or removed—from the academic transcript after a period of three years from the final resolution of the case if the student can show good cause. In cases involving suspension, the student must have completed the term of the suspension and all educational sanctions prior to submitting their petition. The Office of Student Conduct will work with former students who have outstanding educational sanctions to determine options, which could include alternate sanctions that are mutually agreed upon, for fulfilling sanction requirements so that the individual may petition to have the transcript notation expunged.

Expungement of the transcript notation is not the same as expungement of the entire case record.

Evaluation of Expungement Petitions
The Director of Student Conduct or their designee will review petitions for early record expungements as well as transcript notation expungements based on the criteria above and will submit a recommendation to the Vice President for Student Affairs or their designee for final approval. The decision will be based upon the following criteria, as outlined in the petition application available on the Student Conduct website:

1. The nature of the violation(s) and the resulting impacts
2. The student’s behavior after the violation(s) and their present demeanor
3. The student’s demonstrated level of reflection and growth

After a petition is evaluated, the student will receive written notification of the decision. That decision will be final.

It is important to note that a student with an expunged record or transcript notation may still need to disclose information about their disciplinary history to third parties, including potential employers, other universities’ admissions offices, a professional board, etc.

XII. Appendices

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<td>IV. Appendix IV</td>
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Appendix I: Additional Policies and Procedures Governing the Use of Alcoholic Beverages

Virginia Tech recognizes that the misuse and abuse of alcohol is a persistent social and health problem in our society and that it interferes with the goals and objectives of any educational institution. The university fully complies with the alcohol regulations of the Commonwealth of Virginia, and all state laws apply to Virginia Tech students and student organizations. Students or student organizations who violate the Alcoholic Beverage Policy in the Student Code of Conduct and any associated policies or guidelines will face disciplinary action. Sanctions will likely include substance-related education.

In compliance with the laws of the Commonwealth, and to maintain conditions conducive to learning, possession or consumption of alcoholic beverages on campus is only permitted according to the following provisions:

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<th>LOCATION</th>
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<tr>
<td>Residence hall room</td>
<td>In the privacy of a student room, alcoholic beverages are permitted for those persons 21 years of age or older in accordance with state law, provided that at least one of the 21-year-old residents of the room is present.</td>
</tr>
<tr>
<td>Other locations in residence halls</td>
<td>Aside from the privacy of a student’s room, possession or consumption of alcoholic beverages in any area of residence halls, including suite living rooms, is forbidden.</td>
</tr>
<tr>
<td>Oak Lane</td>
<td>The Director of Fraternity and Sorority Life, in conjunction with the Director of Residential Well-being, determines regulations concerning the use of alcoholic beverages in the “Oak Lane Community” (also known as Special Purpose Housing) during events.</td>
</tr>
<tr>
<td>Corps of Cadets</td>
<td>The Commandant of Cadets establishes and publishes regulations to be observed by cadets regarding the possession and consumption of alcoholic beverages. This information is published in the Cadet Regulations Manual.</td>
</tr>
<tr>
<td>All residential locations</td>
<td>Kegs of any description in student rooms or residence halls, including Oak Lane, are prohibited.</td>
</tr>
<tr>
<td>All other university property</td>
<td>The possession and use of alcoholic beverages is prohibited on all other university property except in certain facilities that are fully registered with the Virginia Alcoholic Beverage Control Board (ABC).</td>
</tr>
</tbody>
</table>

Alcoholic beverages are further governed by Virginia Polytechnic Institute and State University Policy and Procedures No. 1015.

For more information related to federal and state laws and regulations regarding alcohol or illegal drugs or prevention and substance-use programs available at Virginia Tech, please consult the university’s Drug and Alcohol Prevention Program document.
Appendix II: Additional Information about Policies and Laws Governing the Use of Cannabis (Marijuana)

Effective July 1, 2021, cannabis (marijuana) is legal in the Commonwealth of Virginia for both recreational and medical use. As an academic community committed to well-being, Virginia Tech recognizes that using marijuana may negatively impact students’ academic performance, relationships, mental health, and career goals. Therefore, it is important for students to understand the policies and laws that govern cannabis (marijuana) possession and use, as well as the support resources that are available to address negative effects and potential misuse.

Federal and State Laws and University Policy

1. Using or possessing cannabis (marijuana) or cannabis (marijuana) paraphernalia in any form is prohibited on all university properties and at university-sponsored off-campus activities. This prohibition includes, but is not limited to, smoking, edibles, and vaporizers.

Although recreational and cannabis (medical) uses of cannabis (medical) are both legal in the Commonwealth of Virginia as of July 1, 2021, federal law continues to prohibit it. As an institution that receives federal funds, including federal financial aid, Virginia Tech is required to comply with all federal laws and regulations, including the Drug Free Schools and Communities Act, which requires institutions to have policies prohibiting possession, use, or cultivation of cannabis (marijuana) on university property or at university-sponsored off-campus events. Therefore, Virginia Tech will enforce prohibitions of marijuana on university property and at university-sponsored events off campus, and students who violate this policy will be subject to action under the Student Code of Conduct. Sanctions will likely include substance-related education.

2. Students at off-campus locations/properties and off-campus events that are not sponsored by the university are expected to abide by Virginia laws related to cannabis (medical) use, possession, or growth. These include, among others, the list below. This list serves only as an overview; students should refer to the Code of Virginia for the most updated and accurate description of the law.

- **Legal age**: Legal possession, use, or cultivation is limited to adults 21 or older.
- **Quantity**: Individuals may not possess more than one ounce (28 grams) or the equivalent amount of another marijuana product.
- **Home growth**: Individuals may cultivate up to four marijuana plants; these plants must be marked and may not be visible from a public street or accessible to children.
- **Locations**: Use of cannabis (marijuana) is not permitted in public spaces or on public school grounds.
- **Selling**: Sales of cannabis (marijuana) are prohibited; however, an adult over 21 may “gift” up to 1 ounce to another adult over 21.
- **Driving**: Using cannabis (marijuana) in any form is prohibited while driving or riding in a motor vehicle, as is having an “open container” of cannabis (marijuana) in the passenger area of the vehicle.
3. As of July 1, 2022, Virginia state law prohibits the sale of hemp-derived Delta-8, Delta-10, HHC, THC-0, and other synthetically derived cannabinoids in edible products such as food and beverages. Food and beverages with a THC content of 0.3% or higher is categorized as cannabis and can only be sold in state-licensed medical cannabis dispensaries to individuals 21 years or older.

For information about education and support resources regarding cannabis (marijuana), alcohol, and other drugs, please consult the website for Hokie Wellness, as well as the university’s Drug and Alcohol Prevention Program document.

Appendix III: Title IX Definitions and Formal Title IX Adjudication Process

The process for formal Title IX complaints, including definitions of terms and policies, reporting, investigations, and adjudication, is outlined fully in the university’s Title IX Reporting and Grievance Procedures for Sexual Harassment and Violence. The following excerpts include the policy definitions under Title IX, as well as the formal Title IX adjudication process for students, which is conducted by the Office of Student Conduct.

Title IX Definitions

Complainant means an individual who is alleged to be the victim of conduct that could constitute Title IX Sexual Harassment.

Consent means knowing, voluntary, and clear permission by word or action, to engage in mutually agreed upon sexual activity. The existence of consent is based on the totality of circumstances, including the context in which the alleged consent occurred. Silence does not necessarily constitute consent and coercion, force, or threat of either party invalidates consent.

- Consent cannot be given where a person is incapacitated due to drugs or alcohol; or where a person has a disability; or is not of legal age to consent as defined by law.
- Consent to any one form of sexual activity cannot automatically imply consent to any other forms of sexual activity. Consent can be withdrawn at any time.
- Previous relationships or prior consent cannot imply consent to future sexual acts.

Dating Violence means violence committed by a person: (a) who is or has been in a social relationship of a romantic or intimate nature with the victim; and (b) Where the existence of such a relationship shall be determined based on a consideration of the following factors: (1) the length of the relationship; (2). the type of relationship; and (3) the frequency of interaction between the persons involved in the relationship.

Domestic Violence means felony or misdemeanor crimes committed by: (a) a current or former spouse or intimate partner of the victim; (b) a person with whom the victim shares a child in common; (c) a person who is cohabitating with or has cohabited with the victim as a spouse or intimate partner; (d) a person similarly situated to a spouse of the victim under the domestic or family violence laws of Virginia; or any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of Virginia.
Respondent means an individual who has been reported to be the perpetrator of conduct that could constitute Title IX Sexual Harassment.

Sexual Assault means misconduct that meets the definition of Rape, Fondling, Incest, or Statutory Rape, as defined below:

- Rape means penetration, no matter how slight, of the vagina or anus of a person with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.
- Fondling means the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of age or temporary or mental incapacity.
- Incest means sexual intercourse between persons who are related to each other within degrees wherein marriage is prohibited by law.
- Statutory Rape means sexual intercourse with a person who is under the statutory age of consent.

Stalking means engaging in a course of conduct directed at a specific person that would cause a reasonable person to: (a) fear for the person’s individual safety or the safety of others; or (b) suffer substantial emotional distress.

Formal Title IX Adjudication Process

When the Title IX Coordinator refers a case for formal adjudication, the Office of Student Conduct will hold a live hearing with cross examination to determine whether the respondent is responsible for the alleged conduct and to provide appropriate sanctions, as appropriate.

A. Procedural Guarantees

In formal conduct hearings for Title IX formal complaints, the complainant and respondent are entitled to the following procedural guarantees and opportunities:

- To receive a copy of the final investigation report, including any attachments and supporting documents from the Title IX Coordinator or designee at least ten (10) days in advance of the hearing.
- To receive written notice of the date, time, location, participants, and policies charged at least five (5) business days in advance of the hearing to allow the parties sufficient time to prepare for the hearing.
- To be accompanied by an advisor of their choice, at their own cost, or to have an advisor provided to them by the Office of Student Conduct without fee or charge.
- To inspect and review, during the hearing, all evidence obtained during the investigation that is directly related to the allegations in the formal complaint.
- To present that evidence that supports or refutes the alleged conduct.
- To present witnesses, including fact and expert witnesses.
- To have their advisor conduct live cross-examination on the other party and any witnesses.
• To remain silent or to participate as they see fit, including full, partial, or no participation; however, they should carefully review the section on cross-examination, below, to understand the potential impacts should they choose to limit participation.
• To challenge the objectivity of a hearing officer(s), given reasonable cause to believe they may be biased or have a conflict of interest.
• To appeal, regardless of the outcome, based on the following grounds: 1) Procedural irregularity; 2) Significant and relevant new information that was not available at the time of the hearing; 3) The Title IX Coordinator, Investigator, or hearing officer(s) had a conflict of interest or bias, which affected the outcome; 4) Unduly harsh or arbitrary findings or sanctions.

*Only evidence and information submitted prior to the final investigation report will be considered during at the hearing.

B. Advisors
At the hearing, each party may be accompanied by an advisor of their choice, at their own cost (e.g., parent, friend, attorney, etc.); if a party does not have an advisor, the university will provide one to them without fee or charge for the purposes of cross-examination. Advisors may not also serve as witnesses.

Advisors will be permitted to cross-examine (i.e., ask relevant questions and follow-up questions) the other party and any witnesses directly, orally, and in real time. The parties must use their advisors in this capacity, as they will not be permitted to ask questions personally.

Aside from cross-examination, advisors may not speak on the student’s behalf or participate actively in the process. Advisors must follow the guidance of the hearing officers.

C. Cross-Examination
During the hearing, the parties' advisors will be permitted to ask relevant questions and follow-up questions, including those challenging credibility, of the other party and any witnesses. Cross-examination must be conducted directly, orally, and in real time. At no times will the parties directly conduct cross-examination.

Relevance
Questions asked during cross-examination must be relevant to the behavior and situation in question. Hearing officers will determine whether each question is relevant and, if they choose to exclude a question, explain why it is not relevant. The following topics/questions have been identified as automatic exclusions:

Questions or information about the complainant’s prior sexual behavior, unless they are used to prove someone other than the respondent committed the alleged conduct or if they concern previous sexual activity with the respondent and are used to prove consent.

Questions or information that disclose or seeks to disclose privileged information, such as medical or psychological records.
For more information about relevant information, please refer to the Relevant Evidence section in the Title IX Reporting and Grievance Procedures for Sexual Harassment and Violence (INSERT LINK).

Declining to Participate in Cross-Examination
The hearing officers will also not draw conclusions regarding responsibility based solely on a party's or witness's absence from the hearing or decision to decline to answer questions from the hearing officers or during cross-examination.

D. Recording
The Office of Student Conduct audio records all formal hearings. A copy of the recording is maintained as part of the case file and will be made available to the parties, upon request.

E. Hearing Location and Virtual Participation
At the discretion of the Office of Student Conduct, a hearing may be conducted in a single physical location, with all parties present, or a hearing may be conducted virtually, with participants appearing via videoconference. If the hearing is held in person (i.e., in a single physical location), either party may request to be located in a separate room and to participate via video conference. Regardless of the participation method, the hearing participants will be able to simultaneously see and hear each other.

F. Determination of Responsibility
After the hearing, a determination of whether a respondent is responsible for violating any policy in the Student Code of Conduct will be made by the hearing officers based on the information presented in the investigation report and at the hearing.

Standard of Proof
The university uses preponderance of the evidence to determine whether or not the respondent is responsible for the alleged conduct. This determination is made based on the information available to determine if it is more likely than not that a violation occurred.

Decision Letter
The hearing officer will simultaneously provide the parties the decision in writing. The decision letter will include the following information: allegations and policies charged, procedural steps taken during the grievance procedure, information used to determine the findings and their application to the policies charged, rationales for each finding, any sanctions imposed on the respondent, any remedies provided to the complainant, and information about the appeal process.

Range of Possible Sanctions
If a respondent is found responsible for the alleged conduct, the hearing officers will make a determination regarding appropriate sanctions. One or more of the following sanctions may be imposed:
• Formal warning
• Probation
• Deferred Suspension
• Suspension
• Deferred Dismissal (i.e., deferred expulsion)
• Dismissal (i.e., expulsion)
• Denial of privileges or associations
• Educational, Community, and Wellness Activities

When assigning sanctions, hearing officers consider the type and nature of any policy violation(s), including mitigating or aggravating factors, as well as the student’s prior conduct record. Sanctions are generally cumulative in nature.

For definitions and additional information about sanctions in the Student Conduct process, please refer to the Student Code of Conduct.

Remedial Action
Following a hearing, the Director of Student Conduct shall work with the Title IX Coordinator, who will oversee any necessary remedial action to restore or preserve the complainant’s equal access to the university’s education programs or activities.

Appeal Process
Both parties have the opportunity to appeal the outcome of a formal hearing in a Title IX case regardless of the outcome. Sanctions take effect immediately, pending the appellate officer’s decision or the end of the appeal period.

A. Grounds for Appeal
Appeals are not re-hearings; therefore, appeal requests are limited to the following grounds:

• Procedural irregularity or denial of procedural guarantees
• Significant and relevant new information that was not available at the time of the hearing
• Conflict of interest or bias by the Title IX Coordinator, Investigator, or hearing officer(s), which affected the outcome
• Unduly harsh or arbitrary findings or sanctions.

Appeals submitted that do not have sufficient grounds in one of these areas will be denied.

B. Potential Outcomes of an Appeal
The appellate officer will review the appeal and may:

• Uphold the original decision and sanctions
• Uphold the original decision and either decrease or increase the sanction
• Vacate a finding
• Send the case back to the Title IX Coordinator for further investigation
• Send the case back to Student Conduct for a new partial or full hearing
C. Time Frame to Submit an Appeal
The parties have seven (7) business days from the date of the decision to submit the appeal. The date the decision is given is considered the first day of the appeal period. Appeals submitted after the deadline will not be accepted except in extenuating circumstances, as determined by Student Conduct.

D. Format of Appeal
The appeal is a written request submitted by the student for a review of the original case. The student should include which grounds for appeal they believe apply, and any information the student wants considered should be included in the written document. The burden is on the appealing party to demonstrate why the finding or sanction should be altered.

E. Notification to the Other Party
When one party submits an appeal, the Office of Student Conduct will notify the other party and provide them with an opportunity to review the appeal and submit a written statement in response, which will be included in the appeal documentation.

F. Appellate Officers
An appellate officer will be designated by the Vice President for Student Affairs, who serves as the university's Chief Appellate Officer. All appellate officers are external to the Office of Student Conduct and Title IX. When they are designated to review a case, the Assistant Vice President will ensure they do not have conflicts of interest or bias and are, therefore, able to review the case objectively.

G. Appeal Decision Letter
The appellate officer will issue a decision on the appeal in writing to both parties simultaneously. This notification will include a rationale for the decision.

Appendix IV: Additional Information Regarding the Hazing Policy
Hazing is a criminal offense in the Commonwealth of Virginia, as defined in § 18.2-56 in the Code of Virginia, and is prohibited at Virginia Tech in all forms. This policy is based on the proposition that students are entitled to be treated with consideration and respect at all times. It applies to all student organizations and individuals.

The Student Code of Conduct defines hazing as follows:

Any mental or physical requirement, request, or obligation placed upon any person that could cause discomfort, pain, fright, disgrace, or injury; that is personally degrading; or that violates any federal, state, or local statute or university policy, regardless of the willingness of an individual to participate in such activity.

Hazing shall include, but not be limited to, forcing, compelling, requiring, encouraging, or expecting, whether direct or implied, any individual to participate in any of the following actions or activities. Hazing also includes soliciting, directing, aiding, or otherwise participating actively or passively in these acts:
• Physical Acts
  › Encouraging or requiring persons to consume alcohol or other substances (i.e., food, other beverages) regardless of the age of the participant.
  › Encouraging or requiring that a person do or submit to any act that will alter his or her physical appearance in any significant degree for any substantial period of time (e.g. burning, branding, tattooing, using makeup, paint or markers on a person, or shaving the head or body).
  › Encouraging or requiring activities that disrupt a person’s normal schedule. A normal schedule includes three reasonably spaced meals per day, the opportunity for sufficient rest at night (at least six full hours) and reasonable time for personal hygiene.
  › Encouraging or requiring a person to engage in physical activity of unusual kind or duration, such as: calisthenics, overly difficult work assignments, activities that may be excessive for a person, activities that require a person to remain in a fixed position for an extended period of time, binding or restricting an individual in any way that would prohibit them from moving on their own, confining a person or exposing participants to uncomfortable elements like in environments that are too hot, cold, noisy, small, or threatening/intimidating.
  › Hinting, pretending, or misleading a prospective member into believing that they will be hit, hurt, or physically altered.
  › Encouraging or requiring acts that are or seem to be dangerous.

• Psychological Acts
  › Encouraging or requiring a person to pretend to or actually violate a law.
  › Encouraging or requiring an individual to obtain or possess items or complete tasks in an unlawful manner (i.e. for a scavenger hunt).
  › Verbally abusing prospective members. Examples include but are not limited to yelling or screaming; calling individuals demeaning names; booing, hissing, or demeaning individuals when they make mistakes.
  › Encouraging or requiring a person to perform acts of servitude, perform personal errands for others, or engage in activities that are demeaning.
  › Misleading prospective members in an effort to convince them that they will not become members unless they complete tasks, follow instructions, or act in a certain way.
  › Misleading prospective members into believing that they will be hurt during induction or initiation.
  › Encouraging or requiring a person to publicly carry objects or wear apparel that is abnormal, not normally in good taste, conspicuous and/or indecent.
  › Encouraging or requiring a person to appear nude or reveal body parts.
› Encouraging or requiring an individual or group to remain in a certain place or transporting them to a location without their knowledge (e.g. taking a person on a road trip or excursion to an unknown destination or kidnapping).

› Parading individuals in public areas, transporting individuals in a motor vehicle while blindfolded, or privately conducting blindfolding activities that serve no constructive purpose.

› Requiring an individual to “pledge” or “associate” for a period of unusual length (more than 10-12 weeks) for reasons other than achieving academic requirements or extraordinary circumstances.

As it is impossible to anticipate every situation that could involve hazing, this list does not, and cannot, encompass every circumstance that will cause the institution to discipline for hazing. This policy is not intended to prohibit the following conduct:

• Customary athletic events, contests, or competitions that are sponsored by the institution or the organized and supervised practices associated with such events.

• Any activity or conduct that furthers the goals of a legitimate educational curriculum, extracurricular program or military training program, as approved by the institution.

Note: An individual may not consent to being hazed, and their voluntary or willful participation in hazing activities will not be considered as a defense against a violation of the institution’s hazing policy by an individual or organization.

University Reporting, Investigation, and Adjudication: The university encourages individuals to report any potential hazing activities. The initial report of a suspected violation may be reported in person, by phone or by electronic communication, and may be done anonymously.

Alleged violations of this policy can be reported through an online reporting system or to the following offices:

• Student Conduct
• Student Engagement and Campus Life
• Fraternity and Sorority Life
• Recreational Sports
• Virginia Tech Police Department
• Virginia Tech Corps of Cadets
Credible and sufficiently detailed reports of hazing will be referred to Student Conduct for further investigation and potential adjudication. Both individuals and organizations may be held responsible for their actions and participation in incidents of hazing. If an investigation concludes that an individual or individuals directed, engaged in, aided or otherwise participated in, actively or passively, an incident of hazing, disciplinary action may be imposed against the individual(s). If the investigation concludes that an organization knowingly permitted, authorized, or condoned hazing, disciplinary action may be imposed against the entire organization.

Reporting to the Commonwealth’s Attorney: The university must report incidents of hazing to the Commonwealth’s Attorney, in accordance with § 18.2-56 in the Code of Virginia, who may take separate action.

Public Reporting of Violations of Hazing: Per § 23.1-822 in the Code of Virginia, the university shall maintain and publicly report actual findings of violations of the institution’s code of conduct or of federal or state laws pertaining to hazing that are reported to campus authorities or local law enforcement.
RESOLUTION TO APPROVE ORGANIZATIONAL CHANGE AT THE NORTHERN VIRGINIA CENTER LOCATED IN FALLS CHURCH, VIRGINIA

WHEREAS, from 1994 to 2019, Virginia Tech and the University of Virginia jointly held interests in property and an academic building called the Northern Virginia Center located in Falls Church, Virginia and dedicated to the instruction of graduate students; and

WHEREAS, in 2019, the University of Virginia chose to leave the Northern Virginia property and building, and Virginia Tech acquired the University of Virginia’s interests resulting in Virginia Tech being the sole lessor and occupant of the building; and

WHEREAS, Virginia Tech’s academic programs continue to develop and advance across the Commonwealth including the university’s Innovation Campus; and

WHEREAS, in April of 2022, after extensive review and consideration of options, the Virginia Tech Board of Visitors determined that the continued academic success and financial interests of the university were best served by ceasing instruction at the Northern Virginia Center, relocating the university’s academic programs to more appropriate spaces, and transferring the Northern Virginia Center property and building to the City of Falls Church; and

WHEREAS, to prioritize the completion of degrees by students and the relocation of academic programs the university executed a short-term lease to occupy the Northern Virginia Center until December of 2024.

NOW, THEREFORE, BE IT RESOLVED, that the Virginia Tech Board of Visitors confirms the closure of the off-campus instructional site at the Northern Virginia Center located in Falls Church, Virginia; and

BE IT FURTHER RESOLVED, that this site closure will be communicated to all appropriate parties including the State Council of Higher Education for Virginia.

RECOMMENDATION:

That the Virginia Tech Board of Visitors approve this resolution confirming the cessation of instruction at the Northern Virginia Center in Falls Church, Virginia.

June 11, 2024
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Institution
Virginia Polytechnic Institute and State University (Virginia Tech)

Nature of Proposed Change
The proposed organizational change will close the off-campus instructional site at the following location:

Northern Virginia Center
7054 Haycock Road
Falls Church, VA 22043
Website: https://www.nvc.vt.edu/

Background
In accordance with a 1994 appropriation from the state, Virginia Tech and the University of Virginia (UVA) acquired ownership of 2.19 acres on Haycock Road in 1994 and a shared interest in a ground lease of an adjoining 5.33 acres in 1995, which leased real property that was owned by the City of Falls Church. The universities subsequently constructed an approximately 101,154 square foot academic building on the leased 5.33 acres. This area, containing a total of 7.52 acres and with all improvements, became the Northern Virginia Center and has been in operation since 1997. Based on the costs and funding of the Northern Virginia Center, and by agreement between the universities, Virginia Tech held a sixty percent (60%) interest in the Northern Virginia Center and UVA held a forty percent (40%) interest.

Based on UVA’s expressed desire to leave its interest in the Northern Virginia Center, the Virginia Tech Board of Visitors authorized Virginia Tech to acquire UVA’s interest in April 2019. The board authorized Virginia Tech’s acquisition of UVA’s entire interest in the Northern Virginia Center, UVA’s interest in the 5.33 acre lease including the 101,154 square foot academic building located thereon, and the 2.19 acre parcel jointly owned by both universities. Virginia Tech subsequently acquired UVA’s entire interest in the Northern Virginia Center, the ground lease with the City of Falls Church, and the 2.19 acre parcel. This resulted in Virginia Tech being the sole occupant of the building and the sole tenant under the lease with the City of Falls Church.

As the Northern Virginia Center aged, Virginia Tech determined that the property would not accommodate future program uses and would require significant investment for long-term usage. The university explored redevelopment opportunities and partnerships for the property, but none were determined to be financially viable. As such, at the April 2022 meeting of the Virginia Tech Board of Visitors, the board authorized the university to convey the 2.19 acre parcel to the City of Falls Church and terminate the ground lease of the 5.33 acres, which allowed the transfer of the building to the City of Falls Church pursuant to the terms of the lease. That would allow the City of Falls Church to develop the area in alignment with the city’s overall planning objectives.

In the summer of 2023, Virginia Tech publicly announced plans to the university community for the closure of the Northern Virginia Center off-campus location. Following the announcement, colleges with program offerings at the Northern Virginia Center began planning to address student needs for program completion and provide students with information on where programs were moving following the site closure.
On October 30, 2023, the property at the Northern Virginia Center site officially transferred from Virginia Tech to the City of Falls Church. The City of Falls Church subsequently transferred the property to Converge JV, LLC.

A short-term lease was executed between Virginia Tech and Converge JV, LLC to allow the university to continue to occupy the Northern Virginia Center through December 31, 2024. This lease is needed to allow adequate time for the university programs at the Northern Virginia Center to be relocated to other Virginia Tech off-campus locations in the region.

The Northern Virginia Center currently offers coursework for several degree programs and provides library services for students. The off-campus site also serves as the primary location for student and administrative services provided by the Graduate School for students in the region. The student and administrative services provided by the Graduate School will transition to the Virginia Tech Innovation Campus, once it is complete in spring 2025.

See attachment A for the current lease.

**Purpose of Proposed Change**
The purpose of the proposed change is to close an instructional site in which institutional programming and services are no longer needed.

**Rationale for Proposed Change**
The Northern Virginia Center off-campus site was established and used to offer Virginia Tech graduate degree programs. The degree programs offered at the site were primarily academic programs offered by the university’s Pamplin College of Business and College of Engineering. Academic programs in areas such as business, computer engineering, computer science, and industrial and systems engineering were and are currently offered to residents in the local area of Falls Church. The off-campus site has afforded the university the opportunity to educate graduate students who need access to academic programs and coursework without having to travel to Blacksburg.

A review of the site in 2022 revealed that the facility had aged significantly and would require further redevelopment to meet the instructional needs of the programs offered at that location. The university considered costs associated with redevelopment of the building in conjunction with the existing off-campus instructional site in Arlington and the 2025 opening of an off-campus instructional site in Alexandria. An additional factor considered by the university were the plans expressed by the City of Falls Church to redevelop the property. Based on all factors associated with the site, Virginia Tech made the decision to close the Northern Virginia Center, off-campus site in Falls Church.

**Academic Programs**
Academic programming currently consists of graduate programs and coursework in two colleges, the Pamplin College of Business and the College of Engineering.

**Pamplin College of Business**
- Doctor of Philosophy (Ph.D.) in Business
Master of Science (M.S.)/Master of Business Administration (M.B.A.) in Business Administration

College of Engineering

Bradley Department of Electrical and Computer Engineering Programs
- Doctor of Philosophy (Ph.D.) in Computer Engineering
- Doctor of Philosophy (Ph.D.) in Electrical Engineering
- Master of Science (M.S.)/Master of Engineering (M.Eng.) in Computer Engineering
- Master of Science (M.S.)/Master of Engineering (M.Eng.) in Electrical Engineering

Department of Computer Science Programs
- Doctor of Philosophy (Ph.D.) in Computer Science and Applications
- Master of Science (M.S.)/Master of Engineering (M.Eng.) in Computer Science and Applications

Grado Department of Industrial and Systems Engineering Programs
- Doctor of Philosophy (Ph.D.) in Industrial and Systems Engineering
- Master of Science (M.S.)/Master of Engineering (M.Eng.) in Industrial and Systems Engineering
- Master of Science (M.S.)/Master of Engineering (M.Eng.) in Systems Engineering

Teach Out Plan
In the summer of 2023, students taking courses at the existing site were informed about the impending closure of the site. Virginia Tech administrators decided to continue offering courses at the existing site as plans were made for transitioning course offerings to other Virginia Tech off-campus locations in the region, the Virginia Tech Research Center – Arlington or the Virginia Tech Innovation Campus, once it is complete in spring 2025. There will be no interruption in current course offerings. Students will not incur any additional charges or expenses as a result of the site closure.

Affected colleges, departments, and associated programs developed individual teach out plans to meet the current student population and maintain course offerings.

Pamplin College of Business Teach Out Plan
In spring 2025, Northern Virginia Center students taking courses in the Pamplin College of Business in the Ph.D. in Business and the M.S./M.B.A. in Business programs will take classes at the Virginia Tech Innovation Campus or the main campus in Blacksburg. In addition, the department will provide courses in a fully online format for students who are unable to adjust to a new location. Support for students as they move to new locations will be provided by the Graduate School.

College of Engineering Teach Out Plan
Department of Electrical and Computer Engineering
In spring 2025, Northern Virginia Center students taking courses in the Department of Electrical and Computer Engineering in the Ph.D. in Computer Engineering, Ph.D. in Electrical...
Engineering, M.S./M.Eng. in Computer Engineering, and M.S./M.Eng. in Electrical Engineering degree programs will take classes at the Virginia Tech Research Center – Arlington or the Virginia Tech Innovation Campus. Support for students as they move to new locations will be provided by the Graduate School.

Department of Computer Science
In spring 2025, Northern Virginia Center students taking courses at the in the Department of Computer Science in the Ph.D. in Computer Science and Applications and the M.S./M.Eng. in Computer Science and Applications degree programs will take classes at the Virginia Tech Innovation Campus. Support for students as they move to the new location will be provided by the Graduate School.

Department of Industrial and Systems Engineering
In spring 2025, Northern Virginia Center students taking courses in the Department of Industrial and Systems Engineering in the Ph.D. in Industrial and Systems Engineering, M.S./M.Eng. in Industrial and Systems Engineering, and M.S./M.Eng. in Systems Engineering degree programs will take classes at the Virginia Tech Innovation Campus. Support for students as they move to the new location will be provided by the Graduate School.

Resources/Budget
The organizational change to close the Northern Virginia Center in Falls Church off-campus site is executable within Virginia Tech’s currently authorized funds. Based on the assessment conducted by facilities personnel of the condition of the equipment, including computers, furniture, and all other office items located at the facility, the institution will either move or dispose of the items at an estimated cost of $25,000. The costs will be covered by the university. No resources will be requested form the state to close the off-campus site in Falls Church, Virginia.
ATTACHMENT A

DEED OF LEASE

This Deed of Lease (the "Lease") is dated the 30th day of October 2023, between, Converge JV, LLC, Delaware limited liability company, as Grantor (the "Landlord"), and Virginia Polytechnic Institute and State University, a state agency and an educational institution of the Commonwealth of Virginia, as Grantee (the "Tenant").

1. WITNESSETH

1. PREMISES:

For and in consideration of the terms, conditions, covenants, promises and agreements herein made, the Landlord leases to the Tenant the following property or premises (the "Premises"), together with full rights of ingress and egress, in the County of Fairfax, Virginia. The Premises are more particularly described as:

7054 and 7048 Haycock Road, Falls Church (Tax Map Nos. 0403-01-0092 and 0403-01-0092A) improved by that certain building containing approximately 101,154 square feet of gross floor area (the “Building”), parking areas, drive aisles and related improvements.

2. USE OF PREMISES:

The Premises are to be used and occupied by the Tenant for offices and classroom facilities and other educational purposes consistent with those purposes of which the Premises is being used as of the Commencement Date (as hereinafter defined), and consistent with applicable law.

3. TERM:

a. The term of this Lease (the "Term") shall commence on the date hereof (the "Commencement Date") and terminate on December 31, 2024 (the "Termination Date"), unless sooner terminated as expressly set forth in this Lease.

b. The Landlord warrants that the Landlord alone, at the time this Lease is executed, has the right to lease the Premises, without the consent of any other party. It is expressly understood and agreed that this covenant by the Landlord constitutes a warrant. If the Landlord does not have this right, then the Tenant, in addition to any other remedy available at law or in equity, may immediately declare this Lease null and void from its inception and of no force and effect, without notice. In such event, no rent shall accrue or be deemed to have accrued for the term of this Lease, or for any part of the term.
4. **RENT:**

The Tenant shall pay the Landlord the sum of ONE and NO/100 DOLLARS ($1.00) as rent (the "Rent") for the Term which shall be paid in advance on the Commencement Date. The payment of all Rent and other amounts due pursuant to this Lease shall be made payable to the Landlord and mailed to:

Converge JV, LLC  
c/o Rushmark Properties, L.L.C.  
2900 Fairview Park Drive  
Falls Church, VA 22042

or to such other person or entity or at such other address as the Landlord may designate from time to time by written notice to the Tenant.

5. **POSSESSION AND CONDITION OF PREMISES:**

   a. The Landlord shall deliver quiet possession of the Premises to the Tenant on the Commencement Date and shall provide quiet enjoyment of the Premises to the Tenant during the Term.

   b. Tenant acknowledges that Tenant has been occupying the Premises prior to the Commencement Date pursuant to a lease with Landlord's predecessor in title which terminated on the Commencement Date. On the Commencement Date, the Landlord shall deliver the Premises to the Tenant in its AS IS WHERE IS condition.

   c. The Landlord, and its employees, agents and contractors, shall have the right to enter and pass through any part of the Premises, without prior notice, only in the case of an emergency. If the Landlord, or the Landlord's employees, agents or contractors, must enter the Premises in the case of an emergency, then as soon as practicable before or after such emergency entrance, the landlord, or the Landlord's agent, shall contact Real Estate Management (Telephone #540-357-1586).

6. **MAINTENANCE:**

   a. The Tenant shall equip the Premises and perform all alterations, replacements, improvements, decontamination, and additions to the Premises and the equipment upon the Premises, at the Tenant's expense, as shall be necessary at any time during the Term of this Lease, or any extension or renewal thereof, to comply with the provisions of Federal, State and local laws and regulations pertaining to health, safety, public welfare, and environmental protection, including laws and regulations pertaining to asbestos, carbon monoxide, polychlorinated biphenyls, urea formaldehyde, lead paint, radon, petroleum product storage tanks, and freon, regardless of the effective date of law or regulation unless the Premises are grandfathered from such laws or regulations. This subsection shall not apply if the necessity for compliance with these laws arises from a grossly negligent or willful act of the Landlord or its employees.

   b. It shall be the sole responsibility and obligation of the Tenant, at its expense and in accordance with applicable laws, technical publications, manuals and standard procedures, to (i) properly maintain, repair and replace all the structural portions of the Premises, including foundation, sub-floor, structural walls and roof, as well as to keep the Premises and all equipment and
non-trade fixtures in good working order and to perform any required repairs, replacement and maintenance, and (ii) keep all plumbing, heating, air conditioning, electrical and mechanical devices, appliances and equipment of every kind or nature affixed to or serving the Premises in good repair, condition and working order. All equipment and systems shall be maintained to provide reliable, energy efficient service, without unusual interruption, disturbing noises, exposure to fire or safety hazards, uncomfortable drafts, excessive air velocities, or unusual emissions of dirt. As used herein, the word "repair" shall be deemed to include replacement of broken or cracked glass.

c. All other necessary or required maintenance, repairs and replacements to the Premises and common areas shall be the sole responsibility and expense of the Tenant. The Tenant's maintenance responsibilities shall include the supply and replacement of all supplies, materials and equipment necessary for such maintenance.

d. The Tenant shall not be obligated to make any repairs to the Premises due to damage caused by the grossly negligent or willful acts of the Landlord, or its agents, employees, or contractors.

e. If the Tenant fails to keep, repair and maintain the Premises and all plumbing, heating, air conditioning, electrical and mechanical devices, appliances and equipment of every kind or nature affixed to or serving the Premises in good repair, condition and working order as provided in this Section, then the Landlord, at its option, may either immediately terminate this Lease and all obligations hereunder, or proceed to make, or cause to be made, such upkeep, repair and maintenance, at the Tenant's expense, and, Tenant shall reimburse Landlord in connection therewith, subject to any limitations set forth in this Lease.

f. When and as snow and/or ice removal become necessary, the Tenant shall promptly remove all snow and ice from all walkways, loading areas, common areas, and parking areas.

7. DAMAGE OR DESTRUCTION OF THE PREMISES:

a. If the Premises are damaged by fire, lightning, windstorm, tornado, earthquake, civil disturbance, flood, acts of nature or other casualty loss, in connection with a Material Casualty (as hereinafter defined) or, in the reasonable opinion of the Tenant, the Premises are thereby rendered untenable or unusable for the Tenant's purposes, this Lease shall immediately terminate, at the option of the Tenant, upon written notice to the Landlord. As used in connection herewith the term “Material Casualty” means a casualty loss (by fire, lightning, windstorm, tornado, earthquake, civil disturbance, flood, act of nature or otherwise) which, in the reasonable opinion of Landlord, would cost more than $100,000 to repair.

b. If the Premises are damaged by fire or otherwise which does not constitute a Material Casualty, and in the reasonable opinion of the Tenant the Premises is not rendered totally untenable and unusable, upon being notified to do so by the Tenant or its duly authorized agent, the Landlord shall repair and restore the Premises as promptly as possible to their former condition. If the Landlord fails to make all repairs, replacement, restoration, or renovation as required in this subsection, or as otherwise required in this Lease where no other remedy is expressly provided, within a reasonable time after written notice to the Landlord, then the Tenant may choose either option (i) or (ii) below:

i. The Tenant may undertake with its own resources to repair, replace, restore or renovate the Premises and may deduct the reasonable costs of the repairs, replacement, restoration, and renovation from the Rent or other payments otherwise
due to the Landlord under the terms of this Lease, or any renewal or extension thereof, or the Tenant may collect all such costs from the Landlord in any manner provided by law, if the Landlord has not paid for such repairs within 30 days after receipt of billing therefor from the Tenant; or

ii. The Tenant may terminate this Lease by giving fifteen (15) business days written notice to the Landlord. No notice of termination shall be given by the Tenant under this subsection if the Landlord, or its agents, has physically commenced repairs, replacement, restoration or renovation, and the work is being diligently and continuously pursued to completion in a professional and workmanlike manner.

8. ALTERATIONS BY THE TENANT:

The Tenant, at its sole cost and expense, may make alterations and additions to the Premises as the Tenant deems proper. The Tenant, however, shall not make any structural alterations of the roof, foundation or exterior walls without the prior written consent of Landlord, unless made pursuant to Section 7(b)(i). The Tenant, at its sole cost and expense, may install fixtures, partitions and make such other improvements as the Tenant may deem proper and the title and ownership of materials used in such alterations and additions, and all fixtures, partitions, and other improvements made and/or installed by the Tenant shall remain in the Tenant. Upon termination of this Lease, the Tenant may, at its option, remove the fixtures, partitions and other improvements made under this Section, in which event any damage to the Premises caused by removal, other than nominal damage (such as screw holes, bracket marks, etc.) shall be repaired by the Tenant at its expense. If the Tenant elects not to remove the improvements, it shall have no further responsibility for them or their removal.

9. UTILITIES AND SERVICES; INSURANCE; TAXES:

a. The Tenant shall cause to be provided, at the Tenant's expense, the following utilities and services for the Premises: heating and air-conditioning as conditions require, electricity, gas, water and sewer, janitorial, and interior trash removal to the Premises.

b. The Tenant shall be responsible for all real estate taxes or charges in lieu of taxes applicable to the Premises.

c. The Landlord, at Landlord's expense, shall keep the Premises and the Building insured against damage by fire, lightning, windstorm, tornado, earthquake, civil disturbance, flood, acts of nature and casualty loss, under a broad form extended coverage or similar property loss policy. The policy shall cover at least eighty percent (80%) of the replacement cost of the Premises and the Building. In addition, the Landlord shall maintain broad form general commercial liability insurance sufficient to ensure reasonable financial responsibility in the event of liability for injury, loss or damage at the Premises, the common areas and facilities.

10. CONDITION OF COMMON AREAS:

The Tenant, at the Tenant's sole expense, shall maintain in a good, clean and safe condition, all common areas and common facilities, including all hallways, walkways, parking areas, and all related exterior lighting, to be used by the Tenant in common with other tenants.

11. ACCESSIBILITY BY PERSONS WITH DISABILITIES:
In addition to any other requirements or covenants in this Lease, and at all times during the Term and during any renewals or extensions thereof, the Tenant covenants that, as to the Premises, it will maintain the current level of accessibility.

12. **ANTENNA AND COMMUNICATIONS EQUIPMENT:**

   a. The description of the demised premises will include roof space, exterior wall space and appurtenant interior space.

   b. Use of the roof space, exterior wall space and appurtenant interior space shall be subject to the following covenants and conditions:

   i. The Tenant shall be permitted to use the demised premises for the erection, maintenance and operation of a wireless Antenna and support base.

   ii. The Tenant shall have the right to occupy and use interior space necessary for the maintenance and operation of the Antenna, Communications Equipment, and Communications Network.

   iii. The Tenant shall erect the Antenna using existing or freestanding structures where possible to minimize physical modifications to the building structure. The Tenant shall not penetrate the roof. The Tenant, at Tenant’s expense, is responsible for repairing damage to the Structure caused by erection, maintenance, use or removal of the Antenna and Communications Equipment. In the event of removal of the Antenna, the structure shall be returned to its original condition, reasonable wear and tear excepted.

   iv. The Antenna and Communications Equipment are and shall remain the property of the Tenant. The Tenant may remove the Antenna or Communications Equipment at any time during the Lease. Upon termination of the Lease, at its sole discretion, the Tenant has the option to remove the Antenna, Communications Equipment, and Communications Network.

   v. The Tenant shall have a right and easement for the term of the Lease, including any renewal terms, to construct, erect, install, operate, repair and maintain, in the manner and for the purposes authorized by this Lease, aerial (overhead) and/or underground communications and electrical lines, cables, conduits and related equipment between the Antenna site and the indoor Equipment site and between both the Antenna site plus Equipment site and the nearest available and suitable access point for connection to public utility services and grounding.

   vi. The Tenant shall have a right to occupy and use such necessary chase, conduit and/or duct space within the Landlord’s building for electrical wiring, telephone lines, pipes, conduit, tubes, and related communications lines and equipment as may be required by the Tenant to install and operate, and as an integral part of, its Communications Equipment and facility, but only at locations specified or approved by the Landlord.
vii. Authorized representatives or employees of the Tenant shall have a free right of ingress and egress to and from the demised premises at reasonable times, and other times in case of emergency, for the purpose of the efficient operation and maintenance of the Equipment, Antenna and Communications Network.

13. DISCLOSURES; NON-WAIVER; APPROPRIATIONS:

a. The Landlord understands and acknowledges that the Tenant is an agency of the Commonwealth of Virginia and with respect to tort liability for acts or occurrences on or about the Premises, including product liability, the Commonwealth and the Tenant are either (i) constitutionally immune (or partially immune) from suit, judgment or liability, (ii) insured, or (iii) covered by a financial plan of risk management that is in the nature of self-insurance, all as determined by applicable laws, government policies and practices.

b. The Landlord understands and acknowledges that the Tenant has not agreed to provide any indemnification or save harmless agreements running to the Landlord. No provision, covenant or agreement contained in this Lease shall be deemed to be a waiver of the sovereign immunity of the Commonwealth of Virginia, or of the Tenant, from tort or other liability.

c. This Lease shall be governed by, and construed according to, the laws of the Commonwealth of Virginia. The parties choose County of Fairfax, Virginia, as the venue for any action instituted pursuant to the terms of this Lease.

d. Notwithstanding any other provision of this Lease, if the Tenant shall cease to exist, and is not replaced by a successor entity with similar powers and purposes, or its powers and authority are limited so as to not permit the continued use of the Premises for the purpose and use for which same are leased, then this Lease and all responsibility or obligations of the Tenant under this Lease shall terminate. In such event, the Tenant will endeavor to give as much notice as is reasonably possible of the event triggering the termination of this Lease and the anticipated termination date, but failure to give such notice shall not affect the termination.

e. Agencies of the Commonwealth of Virginia cannot expend funds unless appropriated by the Virginia General Assembly and may not obligate a future session of the Virginia General Assembly. Therefore, notwithstanding any provision in this Lease to the contrary, if any session of the Virginia General Assembly fails to appropriate funds for the continuance of this Lease, this Lease and all obligations hereunder shall automatically terminate upon depletion of the then currently appropriated or allocated funds.

14. REPORT OF OCCUPANCY:

a. The Tenant shall, within fifteen (15) days after receipt of a written request by the Landlord, submit to the Landlord, or its designee, a written Report of Occupancy specifying: (i) the date of possession of the Premises by the Tenant and the date on which the Lease terminates, (ii) whether this Lease is in full force and effect, (iii) the Rent, (iv) whether there have been any modifications to the Lease, and if there have been, a description of all such modifications, and, (v) whether the Tenant has knowledge of any default hereunder on the part of the Landlord, or if it does have such knowledge, a description of any such default.
b. The issuance of a report requested under subsection 14(a), or any errors or omissions in such report: (i) shall not operate as an estoppel against either the Commonwealth of Virginia or the Tenant, (ii) shall not form or provide any basis for liability against the Commonwealth or the Tenant, and (iii) shall not operate as a waiver of any rights or defenses that may be available to the Commonwealth or the Tenant either at that time or in the future.

15. CONDEMNATION:

a. The Landlord shall give immediate notice to the Tenant of any discussions, offers, negotiations or proceedings with any party regarding condemnation or taking of any portion of the Premises.

b. In the event that any portion of the Premises, or any portion of the Building, is taken by eminent domain, or sold to the holder of such power pursuant to a threatened taking, this Lease shall terminate effective as of the date of the taking. The date of taking shall be the earlier of: (i) the date on which title vests in the condemning entity or (ii) the date on which the condemning entity takes possession. In the event of a taking, the Tenant assigns to the Landlord any rights that the Tenant may have in and to any portion of a condemnation award, but such an assignment shall exclude any portion that may be due for, or attributed to, the Tenant's fixtures, moving expenses and allowances.

16. ESTOPPEL:

Upon not less than ten (10) days' prior written notice, Tenant shall execute and deliver to Landlord and/or Landlord's lender or successor, a written statement certifying: (a) that this Lease is unmodified and in full force and effect (or if there have been modifications, that this Lease is in full force and effect as modified and stating the modifications); (b) the date of expiration of the Term; (c) whether or not Landlord is in default in the performance of any obligation, and if so, specifying the nature of such default; (d) that Tenant has accepted the Premises; and (e) such other matters as Landlord may reasonably request.

17. TERMINATION:

a. This Lease may be terminated by Tenant at any time prior to the Termination Date by written notice from Tenant to Landlord. In the event that Tenant is in default pursuant to this Lease, and subject to any applicable notice and cure period, this Lease may be terminated by Landlord by written notice of at least three (3) months from Landlord to Tenant. Nothing in this Section 17(a) shall be interpreted to extend the expiration of the Term of this Lease.
b. Unless the term is extended by written agreement between the parties, if the Tenant shall continue to occupy of the Premises after the Termination Date (a "holdover"), such holdover shall constitute an immediate default by Tenant pursuant to this Lease (without any notice and cure period). Tenant shall be deemed a tenancy from month-to-month upon such terms and conditions as existed immediately prior to the commencement of the holdover except that Rent shall be adjusted as follows: (i) $40.00 per square foot of gross floor area in the Building for the first thirty (30) days of any such holdover period, (ii) $60.00 per square foot of gross floor area in the building for the next thirty (30) days of any such holdover period, and (iii) $80.00 per square foot of gross floor area in the Building for any holdover period thereafter. Any such Rent shall be payable by Tenant to Landlord in advance (and without demand) on the first day of the month in equal monthly installments.

c. At the termination of this Lease, the Tenant will peaceably deliver the Premises in as good condition as when it was formally accepted, nominal damage and normal wear and tear excepted. At the termination of this Lease, there shall be no contracts or licenses or similar agreements entered into by Tenant that would be binding on the Premises or Landlord following termination of this Lease.

d. Once notice of termination has been properly given by either party to this Lease, the Landlord shall have the right to post a notice that the Premises are for rent and may show the Premises to any person desiring to rent the same during the business hours maintained by the Tenant for the Premises, and only at such other times as the Tenant may permit.

18. NOTICES:

a. All notices to the Tenant required or permitted under this Lease shall be given by mailing the notice by certified U.S. mail, postage prepaid, return receipt requested, to the Tenant addressed to:

Real Estate Management
230 Sterrett Drive, Room 30 (0163)
Blacksburg, Virginia 24061
Email: vtrealestate-g@vt.edu
b. All notices to the Landlord required or permitted under this Lease shall be given by mailing the notice by certified U.S. mail, postage prepaid, return receipt requested, to the Landlord addressed to:

Converge JV, LLC
c/o Rushmark Properties, L.L.C.
2900 Fairview Park Drive
Falls Church, VA 22042
Email: pkearney@rushmark.com

with copy to:

Walsh, Colucci, Lubeley & Walsh, P.C.
2200 Clarendon Blvd., Suite 1300
Arlington, VA 22201
Attn: Antonia E. Miller, Esq.
Email: amiller@thelandlawyers.com

c. Where, under the terms of this Lease, a notice is sent by certified U.S. mail, postage prepaid, return receipt requested, such notice shall be deemed to have been given as of the date of mailing such notice. Each party to this Lease shall notify the other party of a new address at which to mail notices, which notice shall be given in the manner provided above, and unless and until such notice of new address is given, notices to a party hereto shall be sufficient if mailed to such party’s address as specified in Section 18(a) or Section 18(b), as appropriate.

d. Where, under the terms of this Lease, a notice is required or permitted to be sent by certified U.S. mail, postage prepaid, return receipt requested, and such notice is not sent in such manner, the notice shall be effective if actually received by the party, or its appointed agent, to whom the notice is addressed.

19. BINDING EFFECT; AMENDMENTS:

The covenants, agreements, and rights contained in this Lease shall bind and inure to the respective heirs, personal representatives, successors and assigns of the Landlord and the Tenant. This Lease constitutes the entire, full and complete understanding and agreement between the Landlord and the Tenant, and all representations, statements, warranties, covenants, promises or agreements previously made or given by either party to the other are expressly merged into this Lease and shall be null, void and without legal effect. Neither party, nor any agent of either party, has any authority to alter, amend or modify any of the terms of this Lease, unless the amendment is in writing and executed by all parties to this Lease with the same formality as this Lease.

20. DEFAULT:

a. The termination of this Lease by the Tenant pursuant to the provisions contained herein shall not be a default hereunder.
b. Except as otherwise expressly set forth in this Lease, if either party shall breach any provision of this Lease, the non-breaching party shall give written notice thereof to the breaching party. The breaching party shall have thirty (30) days from the receipt of the notice to cure the breach, provided the breaching party shall have such period as may be necessary beyond thirty (30) days if the nature of the cure is such that it reasonably requires more than thirty (30) days to cure and the breaching party commences the cure within the thirty (30) day period and diligently pursues the cure to completion. For avoidance of doubt, any such cure period shall not apply to the failure of Tenant to vacate the Premises at the expiration of the Term, as set forth in this Lease. If not so cured, the non-breaching party may, at its option, exercise such rights as may exist at law or in equity. The provisions of this subsection shall not be construed as imposing any additional obligations on the non-breaching party to the extent that this Lease permits the non-breaching party to take certain actions as a result of a breach by the other party.

21. PRESUMPTIONS:

No presumption shall be created in favor of or against any of the parties to this Lease with respect to the interpretation of any term or provision of this Lease due to the fact that this Lease, or any part hereof, was prepared by or on behalf of one of the parties hereto, as may be evidenced by the disclosure on the face of this Deed of Lease made pursuant to Virginia Code Section 17.1-223.

22. ASSIGNMENT:

The Tenant may not assign this Lease, or sublet the Premises, without the written consent of the Landlord, which consent may be given or withheld in Landlord’s sole discretion.

23. HEADINGS:

The heading of the sections of this Lease are inserted for convenience only and do not alter or amend the provisions that follow such headings.

24. ADDITIONAL PROVISIONS:

This Lease is subject to the following terms, conditions, modifications, additions and/or deletions provided in the following designated attachments, exhibits and riders, which are hereby incorporated into this Deed of Lease:

Attachments: N/A
Exhibits: N/A
Riders: N/A

25. COUNTERPARTS:

The parties agree this Deed of Lease may be executed in several counterparts, and all counterparts so executed shall constitute one agreement binding on all parties, notwithstanding the fact that all the parties have not signed the original or the same counterpart.

26. ELECTRONIC TRANSACTIONS:

If this paragraph is initialed by both parties, to the fullest extent permitted by Code of Virginia, Title 59.1, Chapter 42.1, the parties do hereby expressly authorize and consent to the
use of electronic signatures as an additional method of signing and/or initialing this Lease No. XXX-XXXX and agree electronic signatures (for example, the delivery of a PDF copy of the signature of either party via facsimile or electronic mail or signing electronically by utilizing an electronic signature service) are the same as manual executed handwritten signatures for the purposes of validity, enforceability and admissibility.

(Initials)

[The remainder of this page is intentionally left blank]
use of electronic signatures as an additional method of signing and/or initialing this Lease No. XXX-XXXX and agree electronic signatures (for example, the delivery of a PDF copy of the signature of either party via facsimile or electronic mail or signing electronically by utilizing an electronic signature service) are the same as manual executed handwritten signatures for the purposes of validity, enforceability and admissibility.

[Initial]

[The remainder of this page is intentionally left blank]
IN WITNESS WHEREOF, the parties have affixed their signatures and seals.

LANDLORD:  CONVERGE JV, LLC, a Delaware limited liability company

By:  CONVERGE WEST FALLS, LLC, a Delaware limited liability company, its Manager

By:  [Signature]

Patrick J. Kearney
Manager

TENANT:  VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY

By:  [Signature]

See Attached
Heidi M. Myers, Executive Director of Real Estate
IN WITNESS WHEREOF, the parties have affixed their signatures and seals.

LANDLORD:  CONVERGE JV, LLC, a Delaware limited liability company

By:  CONVERGE WEST FALLS, LLC, a Delaware limited liability company, its Manager

By:  See Attached
Patrick J. Kearney
Manager

TENANT:  VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY

By:  [Signature]
Heidi E. Myers, Executive Director of Real Estate
2024 – 2025 Faculty Handbook Resolution and Documents

- Resolution to Approve 2024 – 2025 Faculty Handbook
- List of edits
- Redline (edits added and highlighted in red) version of 2023-2024 Faculty Handbook
RESOLUTION TO RATIFY THE 2024 – 2025 FACULTY HANDBOOK

WHEREAS, the Faculty Handbook is the record for policies pertaining to all faculty employees; and

WHEREAS, the oversight of policies governing all faculty employees at the university is the responsibility of the Board of Visitors; and

WHEREAS, the Faculty Handbook is revised to incorporate editorial updates, new or amended policies; and

WHEREAS, to ensure that the Faculty Handbook reflects the policies passed by the board and that any changes to the handbook are appropriate and accurate, the board annually reviews and ratifies a revised edition of the Faculty Handbook.

NOW, THEREFORE, BE IT RESOLVED that the Virginia Tech Board of Visitors hereby ratifies the 2022- 2023 Faculty Handbook that incorporates the revisions summarized in the attached table; and

BE IT FURTHER RESOLVED that the Faculty Handbook will be amended as soon as practicable to include appropriate federal and state regulations and revised university polices as required.

RECOMMENDATION:
That the Board of Visitors approve the resolution to ratify the 2024 – 2025 Faculty Handbook.

June 11, 2024
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<td>Remove reference to Google Group</td>
<td></td>
</tr>
<tr>
<td>9.4 Textbooks and Other Instructional Materials</td>
<td>Clarifying language for &quot;I&quot; grades.</td>
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<td>9.5 Grading Systems</td>
<td>Clarifying language</td>
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<tr>
<td>9.11.2 Lecture Recording</td>
<td>New section added with guidelines (currently listed on the registrar's website) for lecture recording to comply with FERPA regulations.</td>
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<td>10.5.1 Research with Human Subjects</td>
<td>Added hyperlink</td>
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<td>10.5.2 Teaching and Research with Animals</td>
<td>Added hyperlink</td>
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<td>10.5.3 Laboratory Research</td>
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<td>10.7 Financial Conflicts of Interest Related to Sponsored Research</td>
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<td>10.14 Policy on Intellectual Property</td>
<td>Update position title</td>
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<td>11.1.2 Long-Term Disability Insurance</td>
<td>Long-term disability plans (VT Plan and VSDP plan) distinguished</td>
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<td>11.1.2.1 Virginia Tech Faculty Sick Leave Long-term Disability Plan</td>
<td>New section to describe the VT Plan</td>
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<td>New section to describe the VSDP Plan</td>
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<td>11.1.3 Faculty Retirement</td>
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<td>11.1.5 Optional Retirement Plan</td>
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<td>11.2.9 Additional Leave Benefits for Faculty on Regular, Salaried Appointments</td>
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<td>11.2.12 Workers' Compensation Program</td>
<td>No content change. Moved section to mandatory benefits area of the chapter.</td>
</tr>
<tr>
<td>11.2.12.1 Reporting Work-Related Injuries</td>
<td>No content change. Moved section to mandatory benefits area of the chapter.</td>
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<td>11.3 Optional Benefits Programs Offered to Employees</td>
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<td>11.4.3 Workers’ Compensation Program</td>
<td>Section renumbered to 11.2.12.</td>
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<td>11.4.3.1 Reporting Work-Related Injuries</td>
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No changes.
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<tr>
<th>Chapter 13</th>
<th>This chapter was comprehensively revised, including section titles and addition of sections including: introduction, leadership, preparing students, and handling an emergency.</th>
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<td>13.0 Introduction</td>
<td>New introduction section added</td>
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<td>13.1.1 Know your environment</td>
<td>New section on awareness and preparedness added</td>
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<td>13.1.2 Know what to do in an emergency</td>
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<td>13.1.3 Have the tools you need to receive and disseminate information</td>
<td>New section on awareness and preparedness added</td>
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<td>13.6.1 Controlling Entry to a Secure Location</td>
<td>New section number, section title change, and clarifying language</td>
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<td>13.7 Run, Hide, Fight</td>
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<td>13.9 Evacuation</td>
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<tr>
<td>13.10 Access and Functional Needs</td>
<td>Section title change, and updated section on assisting individuals with access or functional needs</td>
</tr>
<tr>
<td>13.11 Stay Informed</td>
<td>No changes.</td>
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| Chapter 14                                | Removed Extension Faculty with Continued Appointment per CFA 2023-2024B, Resolution to Approve Revised Extension Faculty Tracks                                                                  |
Chapter One
Mission and Governance of the University

1.0 Mission of the University
Inspired by our land-grant identity and guided by our motto, *Ut Prosim* (That I May Serve), Virginia Polytechnic Institute and State University (Virginia Tech) is an inclusive community of knowledge, discovery, and creativity dedicated to improving the quality of life and the human condition within the Commonwealth of Virginia and throughout the world.

1.1 Governance of the University
The Board of Visitors is the governing body of the university. The board appoints the president of the university who serves as the chief executive. The president may delegate authority to the executive vice president and provost (also referred to as the “provost”), executive vice president and chief operating officer, and vice presidents.

1.1.1 University Shared Governance Structure
1.1.2 Board of Visitors

By statute of the Commonwealth of Virginia, the governing body of the university is the Board of Visitors, which exists as a corporation under the control of the Virginia General Assembly. The board is comprised of 14 members, 13 of whom are appointed by the governor subject to confirmation by the Senate of Virginia, with a four-year term that is eligible for reappointment of a successive four years. The president of the Board of Agriculture and Consumer Services serves as the fourteenth member, by virtue of position, with the term running concurrently from July 1 through June 30. A rector and a vice-rector are elected annually among the members of the board, and, by state statute, either the rector or vice-rector must be a resident of Virginia. The vice president for policy and governance serves as secretary to the board. The board appoints two non-voting student representatives (one undergraduate, one graduate/professional) who serve a one-year term and attend open sessions of board meetings. The presidents of the faculty senate, administrative and professional faculty senate, and staff senate sit with the board at all meetings, except those held in closed session, and participate in discussion without authority to vote or to make or second motions. By law, the board meets at least once a year, but typically meets quarterly to consider policy matters and to review the progress of the university.

The Board of Visitors is responsible for institutional policies except those under the direct jurisdiction of the Commonwealth of Virginia. By statute, the board is charged with the care, preservation, and improvement of university property and with the protection of the safety of students and other persons residing on such property. The board regulates the government and discipline of students. The board has authority over the roads and highways within the university’s campuses and may prohibit entrance to the property of undesirable and disorderly persons or eject such persons from the property. The board is also responsible for ensuring that the university does not incur an unauthorized deficit or members shall be held personally liable.

Some examples of the board’s responsibilities as specified by state statute or developed through tradition and practice include:

- appointing the president
- approving appointments and setting salaries of faculty, university staff, and other personnel
- establishing fees, tuition, and other charges imposed by the university on students
- reviewing and approving university budgets and overseeing the university’s financial management
- reviewing and approving the establishment and discontinuance of new colleges, departments, and degrees
- ratifying appointments by the president or vice presidents
- representing the university to citizens and officers of the Commonwealth of Virginia, especially in clarifying the purpose and mission of the university
- approving promotions, grants of tenure, and employment of selected individuals
- reviewing and approving physical plant development of the campuses
- the commemorative naming of buildings and other major facilities on campus
• reviewing and approving real property transactions
• exercising the power of eminent domain
• reviewing and approving personnel policies for the faculty and university staff
• subject to the management agreement between the Commonwealth of Virginia and Virginia Tech, the board has full responsibility for the management of Virginia Tech.

1.1.3 Governance by Shared Responsibility
There is a wide recognition of the complexity of university governance and general acknowledgment of the need for faculty, staff, and student participation in the conduct of university affairs.

1.1.4 University Council
The purpose of the University Council and its internal and related components is to assist the president of the university in formulating and implementing university policy in a manner that ensures that Virginia Polytechnic Institute and State University always strives effectively toward its goals, which are:

1. To provide an environment conducive to the pursuit of learning, teaching, scholarship, research, and service.
2. To anticipate and meet the educational needs of society in general and the Commonwealth and nation in particular.

The University Council, the senates, and the university and senate commissions constitute the main bodies for policy formulation at Virginia Tech. The senate commissions formulate and recommend policies to the senates, which in turn recommend policies to the University Council; the university commissions formulate and recommend policies directly to the University Council.

The University Council makes policy recommendations to the president. Final authority rests with the president of the university and the Board of Visitors.

Because the University Council, the senates, and university commissions, and the standing committees constitute a legislative system, their charges, memberships, relationships and the processes they hold in common are defined in the University Council Constitution and Bylaws. All aspects of the senates not defined in these documents shall be defined in senate constitutions and bylaws. The Office of the Vice President for Policy and Governance maintains membership lists available on the university’s governance website.

1.1.5 University Council Cabinet
The purposes of the University Council Cabinet are to provide a small-scale forum for in-depth conversation among shared governance leaders, with a particular focus on the interests and concerns of senate leaders; to help shared governance leaders remain well-informed of the state of the university; and to facilitate collaborative decision-making and coordinated effort across the components of shared governance.
Functions The functions of the University Council Cabinet are to serve as the executive body of the University Council, to which it is responsible and to which it reports regularly on the disposition of matters submitted to it; to administer the business of the University Council between Council meetings; and to discharge other duties in accordance with the University Council Constitution and Bylaws, including the application of the university mission initiative process described in Article XII of the constitution and Article IV of the bylaws, and the annual shared governance review called for by Article VI of the bylaws.

1.1.6 University Senates
Purpose: The senates are accountable to and responsible for representing the collective voice of their respective constituencies. The senates provide representation within the university’s system of shared governance for faculty, administrative and professional (A/P) faculty, staff, undergraduate students, and graduate and professional students.

Functions: Each senate has a specific area of legislative authority and responsibility as defined below and at least one senate commission assigned to it that is responsible for the crafting of policy recommendations in the form of resolutions. To be advanced as recommendations to the University Council, resolutions of senate commissions must be approved by the appropriate senate under procedures described in Article III of the University Council Bylaws. In addition to their legislative activities, senates appoint or recommend members to University Council, senate and university commissions, and committees; facilitate the exchange of information between constituencies; provide referral for individual concerns and issues to appropriate organizations or personnel; and accept and share responsibility with the administration, faculty, A/P faculty, staff, and students in all efforts to attain the shared goals of the university.

Senates have the right to consider any matter of general interest to its members and to seek wider discourse on these topics within the university’s system of shared governance. Concerns outside the purview of any senate or commission as delineated in the University Council’s constitution may not be advanced as resolutions.

To ensure that constituents can identify their senate representatives, senates will maintain membership rolls that are available on public or secure websites accessible to constituents.

The senates are:

- Administrative and Professional Faculty Senate
- Faculty Senate
- Graduate and Professional Student Senate
- Staff Senate
- Undergraduate Student Senate

1.1.7 University and Senate Commissions
There are two kinds of commissions: senate commissions, which are part of and whose policy recommendations are voted on by senates before advancing to the University Council; and
university commissions, which are part of and whose policy recommendations are made directly to the University Council.

Commissions gather administrators, faculty, A/P faculty, staff, undergraduate students, and graduate and professional students in relatively small numbers to discuss topics and develop policies in the area defined by the commission charge. Each commission is chaired by a faculty, A/P faculty, staff, undergraduate student, or graduate and professional student member and advised by an ex officio administrative faculty member who oversees the unit or office at the core of the commission’s charge and provides support and information to guide the commission’s work. Ex officio and administrative faculty members may not serve as chair of any commission. While the membership of commissions varies in number and mix depending on the charge, all commissions include at least one faculty, A/P faculty, staff, undergraduate student, and graduate and professional student member, making them microcosms of shared governance.

The charges of all commissions can be found in the University Council constitution and bylaws. Though senate commissions are part of senates, their charges are maintained within the University Council Constitution and cannot be altered directly by the senates. Memberships of commissions are maintained in the University Council Bylaws.

University Commissions (2) (part of and whose policy recommendations are made directly to the University Council):

- Commission on Equal Opportunity and Diversity
- Commission on Outreach and International Affairs

Senate Commissions (8) (part of and whose policy recommendations are made to one of the senates):

Administrative and Professional Faculty Senate

- Commission on Administrative and Faculty Affairs

Faculty Senate

- Commission on Faculty Affairs
- Commission on Research
- Commission on Undergraduate Studies and Policies
- Commission on Graduate and Professional Studies and Policies

Staff Senate

- Commission on Staff Policies and Affairs

Undergraduate Student Senate
1.1.8 University Standing Committees

University Standing Committees (9) are constituted on a continuing basis by the president on recommendation of the University Council for matters of university-wide interest. Memberships are set forth in the University Council Constitution.

- Academic Support
- Athletics
- Budgeting and Planning Campus Development
- Climate Action, Sustainability, and Energy Commencement
- Employee Benefits Faculty Honorifics
- Information Technology Services and Systems Intellectual Property
- Library
- Transportation and Parking
- University Curriculum Committee for General Education

1.1.9 Council of College Deans

The Council of College Deans is a consultative body to the University Council and elects a member to the University Council Cabinet.

1.1.10 Department Heads Council

The Department Heads Council is a consultative body to the University Council and elects a member to the University Council Cabinet.

1.1.11 College Faculty Associations

The faculty associations are organized in the colleges of agriculture and life sciences; architecture, arts, and design; engineering; liberal arts and human sciences; natural resources and environment; science; veterinary medicine; University Libraries; and Virginia Cooperative Extension ("Extension"). These associations have constitutions that designate the purposes of the association, membership, officers, election procedures, standing committees and their duties, and other organizational and procedural matters. The Pamplin College of Business vests similar rights and responsibilities on its faculty members through a less formal structure. The Virginia Tech Carilion School of Medicine (VTCSOM) faculty are formally organized in a faculty assembly the composition of which is determined by the school's bylaws.

1.2 University Shared Governance and Policy Support

The Office of the Vice President for Policy and Governance (OVPPG) administers the processes and procedures that support the university’s shared governance system. The OVPPG supports the university council and cabinet, the senates, commissions, and university committees. The OVPPG manages the processes of approval for policy resolutions and all matters that ultimately go to the university’s Board of Visitors for review and approval. In addition, the (OVPPG) manages
and administers the university’s policy review process, coordinates communication of new and revised policies to the university community and maintains the university’s official policy archive, policy numbers and documents. The university policies website is the repository of record for official university policies.

1.2.1 University Policies, Administrative Policies, and Presidential Policy Memoranda

1.2.1.1 University Policies

In addition to policies outlined in the Faculty Handbook, university policies are generally applicable to more than one office or department of the university. The University Council and university commissions constitute the main bodies for university policy formation. The university commissions formulate and recommend policies to the University Council, which in turn, makes recommendations to the university president. Final authority rests with the university president and the Board of Visitors.

1.2.1.2 Administrative Policies

Administrative policies address operational matters and include policies required for federal, state, or other regulatory and legal mandates. Administrative policies do not address matters that traditionally are primarily within the purview of the faculty, including but not limited to curricular changes, professional ethics and conduct, promotion and tenure, and faculty categories. Administrative policies are promulgated by the vice presidents who are responsible for the accuracy and timeliness of policies and procedures relating to their areas. This responsibility includes conducting a review of policies at least every four years and issuing proper notification of changes and updates to policies and procedures.

1.2.1.3 Presidential Policy Memoranda

Presidential policy memoranda (PPM) provide information regarding policies and procedures that apply to specific situations, groups, or individuals. Presidential policy memoranda are issued by the university president and are available on the university’s policy website.

The president may approve exceptions to any policy excluding matters prescribed by state or federal law or those policies that require approval by the Board of Visitors.

1.3 Central Administration

The university’s central administration includes the president, executive vice president and provost, executive senior vice president and chief operating officer, administrative and academic vice presidents, and academic deans.

1.3.1 President

Virginia Tech’s president is appointed as the university’s chief executive by the Board of Visitors. The president initiate’s proposed policies, executes approved policies, and administers the university. The president is the authorized officer through whom communication takes place between the board and the other employees of the university. The board, as the governing
authority of the university, delegates authority to the president to oversee and to administer the policies of the board and manage the administrative, instructional, research, and public service programs of the university.

The President’s Council includes all vice presidents, deans, institute directors and senior leaders reporting to the president. The Council is focused on continuous strategic planning and priorities that support the university’s strategic plan, The Virginia Tech Difference, Advancing Beyond Boundaries.

The President’s Cabinet includes senior university leaders and serves as advisory to the president.

The President’s Advisory Group includes cabinet members and constituent representatives who offer perspectives to the president regarding academic, organizational, and operational matters.

1.3.2 Executive Vice President and Provost
The executive vice president and provost is a senior level administrator responsible for creating, guiding, and achieving institutional priorities and strategies. The executive vice president and provost provides executive and strategic leadership to academic areas and has multiple vice presidents and/or senior vice presidents within their organizational structure. The executive vice president and provost is a strategic leader within the university and has broad operational, administrative, and financial authority. The executive vice president and provost has frequent interaction with the university president, Board of Visitors, and other senior-level stakeholders and constituents.

The executive vice president and provost reports directly to the university president. Appointment to this role is made by the university president and approved by the Board of Visitors.

1.3.3 Executive Vice President and Chief Operating Officer
The executive vice president and chief operating officer (EVPCOO) is the university’s chief financial, administrative, and operations officer. The EVPCOO is responsible for the financial, administrative, physical, technological, and operational infrastructure of the university and leads these areas in support of its teaching, research, and outreach missions. The EVPCOO partners with the president, executive vice president and provost, the president’s executive team, and other university leaders to advance the university’s priorities.

The executive vice president and chief operating officer reports directly to the university president. Appointment to this role is made by the university president and approved by the Board of Visitors.

1.3.4 Senior Vice President(s)
A senior vice president is a senior-level administrator responsible for providing executive and operational leadership for one or more divisions or major operating units within the university. The scope, portfolio, responsibilities, and complexity of the position are at the highest level and warrant the appointment of senior vice president. A senior vice president typically reports to the
A senior vice president provides executive and operational leadership for at least one vice president within their reporting structure and has broad operational responsibility across the university.

Appointment to the rank of senior vice president is approved by the university president and Board of Visitors.

1.3.5 Vice President(s)
A vice president is a senior-level administrator responsible for providing operational and managerial leadership for a specific administrative and/or academic function or unit within the university. A vice president has broad discretion and decision-making authority relative to their assigned function and / or unit. A vice president reports to the university president, executive vice president and provost, executive vice president and chief operating officer, or other senior vice president and serves as a member of the president’s council. A vice president may have operational responsibility or serve in a senior advisory role to the university president. Appointments to the rank of vice president are approved by the university president and Board of Visitors.

1.4 Academic Administration
1.4.1 College and Academic Deans
The college and academic deans report to the executive vice president and provost and are responsible for the academic activities of their respective college or academic unit. These responsibilities include the allocation and administration of resources, appointment and evaluation of faculty and support staff, and curriculum development. Department heads, chairs, and school directors report directly to their respective dean for all matters related to the programs of the college.

For purposes of accreditation, the academic deans, or their designees, are responsible for ensuring compliance with any college-level “substantive change” as defined by the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC). The deans are responsible and accountable for monitoring and timely reporting of all actions that may require a substantive change notification and/or approval. Examples of substantive changes are outlined in Policy 6500, “Academic Programs: Creation, Discontinuance and Delivery Site”.

1.4.1.1 College Deans
College deans are appointed by the executive vice president and provost, approved by the university president and Board of Visitors, and may be reappointed indefinitely. Periodic evaluations of their effectiveness in this capacity occur every five years. The university’s nine colleges are:

- College of Agriculture and Life Sciences
- College of Architecture, Arts, and Design
- Pamplin College of Business
• College of Engineering
• College of Liberal Arts and Human Sciences
• College of Natural Resources and Environment
• College of Science
• Virginia-Maryland Regional College of Veterinary Medicine
• Virginia Tech Carilion School of Medicine

1.4.1.2 Academic Deans
Academic deans are appointed by the executive vice president and provost, approved by the university president and Board of Visitors, and may be reappointed indefinitely. Periodic evaluations of their effectiveness in this capacity occur every five years.

1.4.1.2.1 Dean of University Libraries
The dean of University Libraries directs the University Libraries in providing the university with information, collections, and services necessary to support the learning, discovery, and engagement programs of the university. The dean allocates and administers resources and appoints and evaluates faculty and staff in support of the goals of the University Libraries.

1.4.1.2.2 Dean of Honors College
The dean of the Honors College directs the college in its mission to provide extraordinary educational opportunities for students of exceptional motivation and ability. The dean allocates and administers resources in support of the goals of the Honors College.

1.4.1.2.3 Dean for Graduate Education
The dean for graduate education directs the university’s Graduate School, Graduate Life Center (GLC), and leads strategic graduate academic initiatives that advance a strong, diverse, and inclusive graduate and professional student community.

1.4.2 Academic Department and School Administration
The colleges are comprised of academic departments, and/or schools. Departments and schools are under the supervision of department heads, chairs, and school directors who report to the dean of the college. Department heads, chairs, and school directors are responsible for the growth and vigor of academic programs, recruitment and retention of faculty, administration of the curriculum, and the budget of their department or school. In certain cases, some of these responsibilities may be delegated.

Department heads, chairs, and school directors serve for terms specified by the dean. The president or the provost authorizes the appointment. The dean, in consultation with department or school faculty, analyzes the results of reviews conducted prior to reappointment and decides the length of term and procedures for renewal.
Faculty committees are integral to departmental, school, and college governance and are formed to make recommendations and otherwise assist the head, chair, or school director in curricular modification, in the selection of new faculty, and in the determination and application of policies.

1.4.3 Director of Virginia Cooperative Extension

The director of Virginia Cooperative Extension (VCE) reports to the dean of the College of Agriculture and Life Sciences and is responsible for the administration of VCE programs in cooperation with the U.S. Department of Agriculture and state and local governments, and the Cooperative Extension Service Program at Virginia State University. The director is responsible for VCE programs in agriculture, community and leadership, family, food and health, lawn and garden, natural resources, and 4-H/youth. VCE programs are offered in three of the university colleges and the director administers these programs under the guidance of a committee chaired by the provost. The committee includes the vice president for finance, vice president for outreach and international affairs, senior vice president for research and innovation, director of VCE, director of the Agricultural Experiment Station, and deans of the colleges of agriculture and life sciences, natural resources and environment, and veterinary medicine.

CHAPTER TWO
ALL FACULTY

2.0 Employment Policies for All Faculty

Faculty employment policies are under the purview of the Board of Visitors.

The Board of Visitors holds the authority to approve all faculty appointments. This authority has been delegated to university officials for certain types of new appointments, generally including non-tenure positions and restricted appointments.

Final approval by the Board of Visitors is required for new appointments of instructional and research faculty members on the tenure-track or continued appointment-track, including those appointed with tenure or continued appointment; faculty ranked athletic personnel; senior administrators (such as deans and vice presidents) and their direct reports; and administrative and professional faculty members reporting directly to the president and their direct reports.

The Board of Visitors annually approves a faculty compensation plan, which continues to use historical guidance provided by the commonwealth and the Faculty Handbook is prepared using parameters provided by the commonwealth’s secretary of education in the Consolidated Salary Authorization for Faculty Positions in Institutions of Higher Education. In accordance with the Consolidated Salary Authorization, the faculty compensation plan provides information about the promotion and tenure process; the annual evaluation and salary adjustment process for teaching
and research (T&R) faculty, administrative and professional (A/P) faculty, and research faculty; salary adjustments within the evaluation period, and the pay structure.

All faculty are required to report annually on their research and scholarship, creative works, teaching, Extension, outreach, and service activities, as applicable. Guidance on annual faculty reports is provided by department, college, or administrative unit, as appropriate. Submission of a faculty activity report (FAR) may be required for consideration for a merit adjustment.

2.1 General Faculty and Faculty Categories
The general faculty is composed of those faculty members employed outside the classified and university staff personnel systems who are appointed to carry out the learning, discovery, and engagement programs of the university; conduct general university administration; or provide academic support to those programs.

Appointments to the general faculty may be made for which there is no presumption or consideration of renewal. Such appointments are called “restricted” and should be so designated.

The General Faculty is comprised of five categories for the purposes of applying faculty policies especially those related to promotion and tenure or continued appointment.

Teaching and Research Faculty (T&R): Tenure-track, tenured, instructional faculty not on the tenure-track, and research and Extension faculty, are referred to as Teaching and Research (T&R) faculty, although the duties of research and Extension faculty may have a small, or no instructional component, and non-tenure-track instructional faculty may have a small to or no research component.

- College Faculty: tenure-track and tenured faculty, instructional faculty not on the tenure-track (described in chapters three and four of the Faculty Handbook)
- University Libraries Faculty on Continued Appointment (described in chapter four of the Faculty Handbook)
- Research Faculty (described in chapter six of the Faculty Handbook)

Additional Faculty Categories (described in chapter seven of the Faculty Handbook)

- Extension Faculty (without appointment in an academic college)
- Administrative and Professional (A/P) Faculty

2.1.1 College Faculty: Tenure-Track and Tenured Faculty, and Instructional Faculty not on the Tenure-track
The college faculties are composed of tenured and tenure-track faculty and instructional faculty not on the tenure-track, with full- or part-time positions in academic departments or schools. (Subsequent references to departments or schools within a college are subsumed in this handbook under the word “department.”)
Faculty members who relinquish full-time responsibilities in a college department or school to assume responsibilities elsewhere at the university may choose to continue to have their professional development evaluated by that department or school, and college. The same is true for someone who accepts a position in the University Libraries faculty, Extension faculty, or in the administrative and professional faculty. Evaluation for promotion and/or tenure is done according to academic department or school, college, and university expectations and guidelines. A merit salary adjustment is based on the responsibilities of the current position.

2.1.2 Tenure-Track and Tenured Faculty
Ranks: assistant professor, associate professor, professor

Tenure-track and tenured faculty typically require a terminal degree and are appointed to regular positions. Employment policies and procedures for tenure-track and tenured faculty are in chapter three of this handbook.

2.1.3 Instructional Faculty not on the Tenure-track
Ranks: assistant professor, associate professor, professor

College faculty may also be instructional faculty not on the tenure-track appointed to regular or restricted positions. Employment policies and procedures for faculty not on the tenure-track are described in chapter five of this handbook.

<table>
<thead>
<tr>
<th>Track</th>
<th>Ranks</th>
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<tbody>
<tr>
<td>Instructor</td>
<td>instructor, advanced instructor, senior instructor</td>
</tr>
<tr>
<td>Visiting or Adjunct Professor</td>
<td>visiting/adjunct assistant professor, visiting/adjunct associate professor, visiting/adjunct professor</td>
</tr>
<tr>
<td>Professor of Practice</td>
<td>assistant professor of practice, associate professor of practice, professor of practice</td>
</tr>
<tr>
<td>Clinical Faculty</td>
<td>clinical instructor, clinical assistant, clinical associate, clinical professor</td>
</tr>
<tr>
<td>Collegiate Professor</td>
<td>collegiate assistant professor, collegiate associate professor, collegiate professor</td>
</tr>
<tr>
<td>Lecturer</td>
<td>administrative and professional faculty</td>
</tr>
</tbody>
</table>
2.1.4 University Libraries Faculty including Continued-Appointment Track

Ranks: assistant professor, associate professor, professor

Employment policies and procedures for University Libraries faculty with continued appointment or on the continued appointment-track are in chapter four of this handbook. University Libraries faculty may or may not hold appointment in a college. They perform a unique and indispensable function in the educational process and share many of the professional concerns of their college colleagues. The university recognizes the need to protect the academic freedom of librarians in their responsibility to ensure the availability of information and ideas, no matter how controversial, so that teachers may freely teach, and students may freely learn.

The rank held by a University Libraries faculty member does not imply a particular rank in any college department. University Libraries faculty may hold concurrent adjunct status in a college department to formally recognize their contributions to the undergraduate or graduate program. Guidelines for University Libraries faculty can be found on the libraries website.

2.1.5 Extension Faculty

Employment policies and procedures for Extension faculty with continued appointment or on the continued appointment track are in chapter fourteen of this handbook. Extension faculty not on the tenure-track or continued appointment track are administrative and professional (A/P) faculty and covered by policies in chapter seven.

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<tr>
<th>Track</th>
<th>Ranks</th>
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<tbody>
<tr>
<td>Extension Agent</td>
<td>associate Extension agent, Extension agent, senior Extension agent</td>
</tr>
<tr>
<td>Extension Specialist</td>
<td>associate Extension specialist, Extension specialist, senior Extension specialist</td>
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</tbody>
</table>

There are two types of Extension specialists: any faculty member with Virginia Cooperative Extension funding who is on the tenure-track, or A/P faculty member(s) with Virginia Cooperative Extension funding.

<table>
<thead>
<tr>
<th>4-H Center Program Director</th>
<th>associate 4-H center program director, program director, senior program director</th>
</tr>
</thead>
<tbody>
<tr>
<td>Continued Appointment</td>
<td>assistant professor, associate professor, professor</td>
</tr>
</tbody>
</table>

Extension faculty may or may not hold an appointment in an academic college. They are, nonetheless, subject to high professional standards in the dissemination of knowledge through the Virginia Cooperative Extension programs and in the planning and delivery of educational...
programs and programs of assistance to industries and local governmental agencies. In these functions, Extension faculty share many of the professional concerns of their college colleagues, including the need for the protection of academic freedom in these responsibilities.

The rank held by a faculty member in Extension does not imply a particular rank in any college department. Extension faculty may hold concurrent adjunct status in a college department to formally recognize their contributions to the undergraduate or graduate program.

2.1.6 Administrative and Professional (A/P) Faculty

**Rank: lecturer**

Employment policies for administrative and professional (A/P) faculty are described in chapter seven of this handbook. A/P faculty may or may not hold an appointment in an academic college. Policies regarding the assignment of a faculty rank in a college department for an administrative or professional faculty member are in chapter seven.

2.1.6.1 Administrative Faculty

Administrative faculty are senior administrators and typically serve in executive-level leadership roles such as vice president, dean, assistant or associate vice president or dean, or director of a major unit. They perform work directly related to management of the university, college, or an administrative department. Administrative faculty may have a rank other than lecturer, may hold an academic rank in a college department or school, and may be tenured or be on a continued appointment. A/P faculty members with academic rank are considered General, College, or T&R faculty.

2.1.6.2 Professional Faculty

Professional faculty are managers and professionals and may direct or provide support for academic, administrative, Extension, outreach, athletic, or other programs. They work in information technology, budget or finance, human resources, public relations, development, and architectural or engineering functions. Promotion is recognized by salary adjustment and/or a change in functional title rather than promotion in faculty rank.

2.1.7 Research Faculty

Faculty designated to promote and expedite university research activities and those who have responsibilities primarily in the research area are considered research faculty. Research faculty are typically employed on sponsored grants and contracts on a restricted appointment to carry out research or outreach projects.

Employment policies for research faculty, including affiliated research faculty, are described in chapter six of this handbook.

<table>
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<tr>
<th>Track</th>
<th>Ranks</th>
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2023-24-2024 – 2025 Virginia Tech Faculty Handbook
<table>
<thead>
<tr>
<th>Research Professor</th>
<th>research assistant professor, research associate professor, research professor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Associate</td>
<td>research associate, senior research associate</td>
</tr>
<tr>
<td>Research Scientist</td>
<td>research scientist, senior research scientist</td>
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<tr>
<td>Postdoctoral Associate</td>
<td>postdoctoral associate</td>
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</tbody>
</table>

2.2 The Faculty of Health Sciences

The Faculty of Health Sciences (FHS) promotes continued growth, improvement, and integration in biomedical and health sciences research and educational programs at Virginia Tech. The FHS serves as an organizational home for (a) faculty members who are appointed to it due to their research, teaching, outreach, and/or administrative accomplishments and responsibilities, and (b) interdisciplinary graduate programs in biomedical and health sciences. Faculty appointed to the FHS must have a graduate or professional degree in a relevant discipline.

Faculty appointments to the FHS are term (fixed period) appointments, ranging from one to five years, and are renewable without limit with the agreement of all appropriate parties. The FHS does not award tenure. A faculty member employed by Virginia Tech must have a primary appointment in a senior management unit, college or school, institute, or vice-presidential unit. Faculty members employed at other institutions who wish to be appointed to the FHS must have an adjunct or affiliated appointment in a Virginia Tech senior management unit, college or school, institute, or vice-presidential unit.

2.2.1 Leadership of the Faculty of Health Sciences

The provost appoints the vice president of health sciences and technology to lead the Faculty of Health Sciences. The vice president reports directly to the provost. The vice president enhances health science-related work across the university; leads efforts to develop curriculum, research, and engagement at the intersection of health sciences and technology; expands interdisciplinary graduate programs in biomedical and health sciences; leads an internal advisory group that advises the senior leadership on new strategic directions and promising funding opportunities; and leads and facilitates coordination of clinical, research, and educational relationships internally and with external institutions.

2.2.2 Types of Appointments to the Faculty of Health Sciences

The vice president of health sciences and technology establishes a selection process for faculty appointments to the FHS, selection is based on research, teaching, outreach, and/or administrative contributions to Virginia Tech’s biomedical and/or health sciences initiatives. The selection process involves an evaluation of the individual’s application and a recommendation to the provost. The provost makes the final decision and informs the individual of the outcome of the application by letter.
Appointments to the FHS may be made in any faculty category, with rank determined by qualifications. The usual title is [rank] of health sciences. Appointment to the FHS is a secondary title at the existing rank for current Virginia tech Faculty members. Qualifications for appointment within each rank are described in the appropriate chapter in this handbook. Faculty members with adjunct or affiliated appointments may be appointed using an unqualified title (assistant professor, associate professor, professor) followed by “of health sciences,” as the FHS does not award tenure and service in this role is not tenure-earning.

2.3 The Faculty of the Virginia Tech Carilion School of Medicine (VTCSOM)

Faculty members at the Virginia Tech Carilion School of Medicine (VTCSOM) are of two types: faculty employed by the university or faculty employed by other entities (in most cases Carilion Clinic). At all times, regardless of employer, faculty members providing instruction, academic support, or performing academic duties or roles as a VTCSOM faculty member are governed by the university’s policies and procedures.

The VTCSOM initiates, defines, and contracts for professional services requested from a Virginia Tech faculty member. The contract may be for a buyout of the faculty member’s time through a sponsored project, or the faculty member may be paid directly through overload (wage) compensation. The payment mechanism reflects the level of time commitment, the ability of the department to release the faculty member from current assignments, and the needs of both Virginia Tech Carilion School of Medicine and the faculty member’s department at Virginia Tech.

As part of its commitment to partnership, Virginia Tech provides faculty mentorship of medical student research projects without additional compensation or buyout.

Faculty members employed by the university and whose appointment is in a college other than the VTCSOM are eligible for appointment in the VTCSOM. The dean of the VTCSOM administers a process for the selection and appointment of faculty members. The process includes coordination and agreement with the faculty member, the appropriate department head, chair, school director, or supervisor, and the dean of the faculty member’s college. A recommendation is made to the provost who makes the final decision and communicates the decision to all parties. Appointments may be made in any faculty category with rank determined by qualifications. The usual title is (rank) of (discipline), for faculty members employed by the university this is a secondary title at the existing rank. Adjunct or affiliated faculty members may be appointed using an unqualified title (assistant professor, associate professor, professor) followed by the appropriate disciplinary designation (e.g., pediatrics). Faculty members employed by the university and with tenure-track or tenured appointments external to the VTCSOM earn or retain tenure in their primary department and college. Faculty members employed by the university are not eligible for tenure-to-title in the VTCSOM.

Payments made to Virginia Tech faculty members are made through an approved Virginia Tech payroll mechanism. Virginia Tech faculty members may not hold a private consulting contract with
Virginia Tech Carilion School of Medicine since this would violate the Virginia Conflict of Interests Act.

2.3.1 Faculty Buyout Agreements with Virginia Tech Carilion School of Medicine

A buyout of a college faculty member’s time is appropriate when the professional services requested are of longer duration and/or exceed 20% of the faculty member’s time (more than one day per week, for example). A buyout may also be used in the context of shorter duration commitments if determined to be in the best interest of Virginia Tech Carilion School of Medicine, the Virginia Tech department, and the faculty member. Buyouts work as any other sponsored project buyout, releasing salary savings to the department and/or college to hire behind as needed, and requiring approval by the department head, chair, school director, or supervisor, and dean.

2.3.2 Faculty Overload Payment Agreements with Virginia Tech Carilion School of Medicine

Overload or wage payments that are made directly to the faculty member are appropriate for short duration and/or occasional professional services rendered to Virginia Tech Carilion School of Medicine (usually up to 20% time or one day per week). The rate of payment is established by the Virginia Tech Carilion School of Medicine as a general rate of compensation or in individual negotiation with the faculty member.

Faculty members may earn up to 33⅓% of their current salary through all overload wage payments, including the Virginia Tech Carilion School of Medicine, Continuing and Professional Education, or other authorized special wage payments during the period of their Virginia Tech contract. Faculty on 10-, 11-, or 12-month research extended appointments may also earn up to this limit as overload compensation during their contract period.

Summer pay from all Virginia Tech sources (e.g., summer school, funded research paid as wages, Virginia Tech Carilion School of Medicine, etc.) for nine-month faculty members may not exceed 33⅓% of the prior academic year salary.

Contracts for professional service to the Virginia Tech Carilion School of Medicine paid as overload compensation may not exceed the current time limitations defined in the consulting policy, which is one day per week or five days in a five-week period. Time limitations also include the accumulation of other types of authorized special or external activity, including Continuing and Professional Education and consulting. University policies on conflict of commitment set the expectation that a faculty member’s primary professional responsibility is to the university.

Overload agreements and payments require approval of the department head, chair, school director, or supervisor, and dean. In lieu of salary compensation, a faculty member may choose to receive an equivalent contribution to an operating allocation in support of professional activities.
2.4 Faculty Search Processes

Faculty recruitment and search processes are available on the Human Resources Faculty Recruiting Guidelines page. These processes apply to all types of full-time, regular, faculty positions. Search exemptions may be approved under specified circumstances.

Upon approval of the position by the dean, vice president, or designee, search processes include:

- The establishment of a representative search committee.
- The development of a tailored, aggressive search strategy that usually includes national advertising in appropriate journals in the discipline.
- Personal contacts with colleagues.
- Follow up with women and underrepresented colleagues and doctoral students listed in relevant directories.
- Targeted efforts to identify a strong and diversified pool of candidates.

Prior to selecting candidates for interview, the chair of the search committee reviews the diversity and strength of the candidate pool with the dean, vice president, or designee, who makes a judgment as to whether additional recruitment efforts should be made. Documentation of the approval of the candidate pool should be noted in the university’s recruitment and onboarding system. The committee reviews applications once a representative pool is established or recruitment strategies are exhausted. A limited number of candidates are usually invited for on-campus interviews. Prior to making an offer, the department head, chair, school director, or supervisor reviews the search and interview process with the dean, vice president, or designee.

For appointments with tenure or continued appointment, review and recommendation by the applicable departmental promotion and tenure committee or continued appointment committee is sought before a decision is made to extend to a candidate a firm offer that includes the granting of tenure or continued appointment, or the award of a rank higher than assistant professor. An offer of faculty appointment with tenure may be made with the review and approval of the department head, chair, school director, or supervisor and the department promotion and tenure committee, the dean, a university promotion and tenure subcommittee, the provost, and the president.

2.4.1 Equitable Searches

It is the policy of Virginia Tech to provide equal opportunity for all qualified individuals while rejecting all forms of prejudice and discrimination. Virginia Tech does not discriminate against employees, students, or applicants on the basis of age, color, disability, sex (including pregnancy), gender, gender identity, gender expression, genetic information, national origin, political affiliation, race, religion, sexual orientation, or military status; or otherwise discriminate against employees or applicants who inquire about, discuss, or disclose their compensation or the compensation of other employees or applicants; or any other basis protected by law. For inquiries regarding non-discrimination policies, contact the Office for Equity and Accessibility at 540-231-2010.
Virginia Tech is committed to ensuring that all qualified individuals with disabilities can take part in educational and employment programs and services on an equal basis. The aim is to provide this opportunity in an integrated setting that fosters independence and meets the guidelines of the Americans with Disabilities Act (ADA) and the Rehabilitation Act of 1973. Reasonable accommodations are made on an individual and flexible basis.

Virginia Tech is committed to increasing the number of women and underrepresented faculty and administrators. This commitment is stated and elaborated in the affirmative action program, Executive Order 11246, and other documents filed with federal and state officials. All recruitment and search processes and procedures are designed to ensure that searches are conducted affirmatively resulting in greater faculty diversity.

2.4.2 Terms of Faculty Offer (TOFO)

New appointments and reappointments are documented in the terms of faculty offer (often referred to as a “TOFO”) prepared by the department head, chair, school director, or supervisor and approved according to procedures established by the dean or senior manager, signed by the candidate, and forwarded to Human Resources within the university’s recruitment and onboarding system. Templates for the different types of terms of faculty offer are accessed by authorized users of the university’s recruitment and onboarding system.

The TOFO documents the category to which the faculty member is appointed (see “chapter two General Faculty and Faculty Categories”) such as tenure-track or tenured, instructional faculty not on the tenure-track, University Libraries faculty (continued appointment-track or continued appointment), Extension faculty (continued appointment-track or continuing appointment), administrative and professional (A/P) faculty, or research faculty. The TOFO also documents the faculty rank, appointment status (effective date, regular or restricted and, if restricted, an end date), the appointment period (academic year (AY) or calendar year (CY), length of the appointment, and other conditions relevant to the employment offer. If the appointment is tenure-track or continued appointment- track, reference to prior service credit should be addressed, if relevant (as described in chapter three). The TOFO documents terms and conditions of employment contained in this handbook.

The terms of faculty offer for a restricted appointment must state the length of the appointment. In cases where there is no expected opportunity for continuation, the terms of faculty offer document also serves as a notice of termination. Continuation of a restricted appointment, even during the specified appointment period, is subject to the availability of funds, the need for services, and satisfactory performance. This information is included in the terms of faculty offer. Related letters of offer or reappointment should not contain promises that the hiring unit is unable to keep; the university looks to the department to make good on defaults. The department head, chair, school director, or supervisor’s approval is required before an offer is extended.
See chapter six (Research Faculty) for new appointments and reappointments for research faculty including postdoctoral associates. Appointments to postdoctoral associate positions require approval from the Office for Research and Innovation.

2.5 Search and Appointment of Administrative and Academic Leaders

2.5.1 Search and Appointment of the President

The Board of Visitors establishes the procedures for the selection of a president when the vacancy is announced. Per the Code of Virginia, the Board of Visitors must solicit the input of the institution's faculty senate or its equivalent regarding the search for candidates for the position of chief executive officer of the institution at a public or private venue.

2.5.2 Search and Appointment of Executive Vice President and Provost, Executive Vice President and Chief Operating Officer, and Administrative Vice Presidents

When a vacancy occurs, the president determines the procedures that will be used for identifying qualified candidates, including the decision to engage a search firm and/or to appoint a university search or screening committee.

Where the position involves considerable interaction with college faculty, significant engagement of faculty members in the search and/or interview process is desirable and expected.

2.5.3 Search and Appointment of Academic Deans and Academic Vice Presidents

When a vacancy occurs, the provost determines the procedures that will be used for identifying qualified candidates. The provost requests nominations for membership on a search committee from the appropriate faculty members and/or faculty association. The provost appoints a search committee from the list of nominees and may appoint additional members who shall constitute a minority of the committee. When a vacancy occurs in an academic deanship that has university responsibility spanning colleges and other academic units, the search committee shall include faculty representatives from all appropriate colleges.

The provost or designee serves as chairperson of the search committee. Ordinarily a national search is conducted.

After the qualifications of candidates are reviewed, references and colleagues of the best qualified candidates are consulted. A limited number of candidates are invited to visit the university. The search committee, representative of department heads, chairs, or school directors, academic deans, the vice presidents, and the president interview the candidates. Candidates also meet with selected students and faculty members. The committee must provide internal candidates with fair opportunities to make their qualifications equally well known.
The provost seeks advice from those who meet with the candidates and seeks agreement with the search committee on the candidate(s) to be recommended. The provost's recommendation is made to the president, who authorizes the extension of an offer.

2.5.4 Search and Appointment of Academic Associate and Assistant Deans

When a vacancy occurs in the position of associate dean, assistant dean, or assistant to the dean, and the position does not involve responsibility for assignment of faculty activities or recommendations on salaries and promotions, it is filled on recommendation by the dean to the provost and the president. Department heads, chairs, school directors, and representative faculty should be consulted; a formal search committee is formed if the appointment is not limited to an internal promotional opportunity. If the position involves responsibility for assignment of faculty activities or recommendations on salaries and promotions, the search and selection procedures are like those used for deans, and the dean serves as chairperson of the search committee.

2.5.5 Search and Appointment of Department Heads, Chairs, and School Directors

When a vacancy occurs, the college dean requests that the department or school nominate members of its faculty for a search committee. The dean appoints the committee from among those nominated and may appoint additional members who shall constitute a minority of the committee.

The committee elects its chair and meets with the college dean to determine appropriate conditions of the position, such as rank and available resources. The dean should share with the search committee a realistic assessment of the college and university's commitment to the department and its programs.

The position is nationally advertised unless the dean and the committee agree that the position should be considered a promotional opportunity restricted to candidates from within the department without national advertisement. Such a decision should be reached only for a department that has the capacity to afford several well-qualified candidates from within its ranks. The decision may be influenced by the lack of a vacant faculty position in the department.

After the qualifications of candidates are reviewed, references and colleagues of the best qualified candidates are consulted. A limited number of candidates (ordinarily three) are invited, on approval of the college dean, to visit the university. The search committee, the college dean, and university officials, as available and appropriate, interview the candidates. Candidates also meet with selected students and faculty members. The committee must provide internal candidates with fair opportunities to make their qualifications equally well known.

The search committee seeks advice from those who meet with the candidates and makes its recommendations on the preferred candidate(s) to the college dean. After extensive consultation
with the department or school faculty, the dean recommends the appointment of the department head, chair, or school director to the provost.

2.6 Appointment Types
2.6.1 Regular Appointments
Regular appointments are renewable term appointments with a presumption or consideration of reappointment. Regular appointments include “probationary,” “tenure-track, tenured” or “continued appointment-track/continued appointment” appointments. Year-by-year appointments of administrative and professional (A/P) faculty are also regular appointments.

2.6.2 Restricted Appointments
Appointments to the faculty may be made for which there is no presumption or consideration of renewal. Such appointments are called “restricted” and should be so designated, with a specified term/fixed period (start and end dates) in the terms of faculty offer (TOFO). Restricted appointments are commonly made in the cases of research faculty employed to work on projects with external funding, visiting or adjunct professorships, and other temporarily available faculty positions.

When a person on a restricted appointment is to be continued, a formal reappointment TOFO is required and should be issued prior to the end of the existing contract. The reappointment contract restates the conditions of the appointment. Any changes should be made explicit. If a salary increase is approved, it should be part of the reappointment contract. The reappointment contract requires the prior approval of the department head, chair, school director, or supervisor, dean, and the office of the provost. Appointments to postdoctoral associate positions require approval from the Office for Research and Innovation.

Faculty members on restricted appointments earn sick leave at the rate of five hours per pay period under the policy that was standard for all faculty members before September 1, 1981. Sick leave does not extend beyond the date of termination of appointment. Faculty members on calendar year restricted appointments earn annual leave at the same rate as faculty on regular appointments but earned annual leave must be taken during the term of appointment; accrued annual leave will not be paid on termination of appointment. Restricted faculty who are eligible to earn annual and sick leave may carry over their unused balances to the next leave year; however, the unused leave is not paid out upon separation.

2.6.3 Academic Year Appointments (AY)
The department head, chair, school director, supervisor, or dean extends, in writing, new faculty appointments and renewals of term (fixed period) appointments using the terms of faculty offer (TOFO) document. Most faculty appointments in the academic units of the university are for the nine-month academic year; these are called academic year (AY) appointments. While the payroll dates for the academic year are August 10 through May 9, faculty are expected to be available two weeks prior to the first day of classes and two weeks following commencement. No annual leave is awarded within the academic year, but the discretion of the department head, chair,
school director, or supervisor is recognized in assigning duties during periods when the university is not in session. Faculty members are expected to be available for work during such periods.

Although the annual salary assigned for an academic year appointment covers only the academic year, the salary is paid in 24 semi-monthly installments over the calendar year, with payment occurring on the first and sixteenth day of each month. (If that day of the month falls on a Saturday, the payment is made on the preceding Friday; if Sunday, the payment is made on the following Monday.) Payment is deposited directly to the faculty member’s bank or financial establishment.

Faculty members whose appointments are for only part of the academic year receive a pro rata portion of the annual salary. Details of the faculty compensation plan are available from Human Resources.

Faculty members on academic year appointments whose employment with the university ceases at the end of the academic year, or any academic term, may request (with proper notice) that all remaining installments of their earned salary be paid on the next available payroll after Human Resources has been notified and employment has ceased.

### 2.6.4 Research Extended Appointments for Faculty on Academic Year Appointments

Under certain conditions, faculty members on academic year appointments may extend their base nine-month appointment to a 10-, 11-, or 12-month appointment reflecting the faculty member’s sponsored research responsibilities.

Academic year faculty with approved research extended appointments may earn and accrue annual leave proportional to their appointments. Faculty members with one, two, or three months of sponsored funding are strongly urged to convert their nine-month appointment to a 10-, 11-, or 12-month research extended appointment, which entitles them to earn and use annual leave and to have the summer pay included as creditable compensation for retirement purposes in accordance with university policies. Unused annual leave will not be compensated at the time of reconversion or separation.

Faculty members requesting a research extended appointment complete the [request form available on the provost’s Research Extended Appointments page](#). The requesting faculty member must provide documentation for the additional months of funding. Requests for research extended appointments require approval of the department head, chair, school director, supervisor, dean (or appropriate administrator), and the executive vice president and provost or the executive vice president and chief operating officer (or their designee).

Research extended appointments are renewed annually with verification of sponsored funding by the department head, chair, school director, or supervisor to support the continuation. The [continuation request form is also available on the provost’s Research Extended Appointments page](#).
Information regarding employment policies and practices for research faculty is available in chapter six of this handbook.

### 2.6.5 Calendar Year Appointments (CY)

Some faculty members have been assigned responsibilities that extend throughout the calendar year, largely independent of the academic calendar. Such faculty members are on a calendar year (CY) appointment with work assignments covering the full 12 months except for periods of annual leave. The kinds of positions that may call for calendar year appointments include department heads, chairs, school directors, administrative and professional faculty, and research faculty.

Faculty members who assume calendar year appointments while serving as a department head, chair, school director, or other administrative role retain the calendar year appointment only for the duration of the assignment. Upon returning to an instructional faculty position in a department or school characterized by academic year appointments, the faculty member resumes an academic year appointment with a corresponding adjustment in salary. (Instructional faculty who were on calendar year appointments prior to assuming the administrative assignment usually resume their prior calendar year appointment and salary upon completion of the administrative assignment.)

Conversions of appointment from academic year to calendar year or the reverse (or to any other appointment period acceptable under university policy) are done in accordance with standard formulas approved by the executive vice president and provost or executive vice president and chief operating officer. Any exception requires approval by the executive vice president and provost or the executive vice president and chief operating officer, depending upon the reporting structure.

### 2.6.6 Summer and Winter Session Appointments

The total of additional compensation earned through all university sources by any faculty member shall not exceed 33⅓% percent of the annual salary for the preceding academic year.

No summer or winter appointments, outside of the usual job responsibilities, are made without the consent of the faculty member involved.

Academic Year (AY) Appointment. Faculty members on academic year (AY) appointments may receive additional compensation for engaging in approved sponsored research, Extension activities, summer, and winter session teaching and, as allowable, non-credit, or eligible for-credit instruction conducted by Continuing and Professional Education or teaching an eligible for-credit continuing education course on overload (refer to 2.15.2 and 2.15.3 for additional information on Continuing and Professional Education). The total additional compensation earned through all university programs by any faculty member on an academic year appointment shall not exceed 331/3% percent of the annual salary for the preceding academic year.

Calendar Year (CY) Appointment. Faculty members on calendar year (CY) appointments may receive additional compensation for Extension activities, and/or summer and winter session
teaching that is not considered part of their usual job responsibilities and, as allowable, non-credit, or eligible for-credit instruction conducted by Continuing and Professional Education (refer to 2.15.2 and 2.15.3).

### 2.6.6.1 Summer Session Appointments
Faculty members on *academic year* (AY) appointment may be invited by the department head, chair, school director, or supervisor to teach one or more courses in summer session.

Faculty on *calendar year* (CY) appointments may be invited by the department head, chair, school director, or supervisor to teach one or more courses in summer session for additional compensation provided that the course(s) are not considered part of their usual job responsibilities.

For purposes of sponsored grant and contract activity and for limitations on compensation May 10 to August 9 designates the summer work period. Faculty members who receive summer salary from sponsored projects must certify the effort expended on those projects during the summer period. Work on a sponsored project during the academic year for which compensation is then provided during the summer is specifically prohibited by federal regulations. Summer pay for sponsored projects is only justified by appropriate effort expended on the project during the summer period.

Only academic year faculty members who have approved research extended appointments earn and accrue annual leave proportional to their appointments. Faculty members with one, two, or three months of sponsored funding are strongly urged to convert their nine-month appointment to a 10-, 11-, or 12-month research extended appointment, which entitles them to earn and use annual leave and to have the summer pay included as creditable compensation for retirement purposes in accordance with university policies. Alternatively, the faculty member can charge less than one, two, or three months of full-time salary to the sponsored project (or other sources as appropriate) and take uncompensated leave for the remainder of the summer in order to have vacation.

### 2.6.6.2 Winter Session Appointments
Winter Session is not considered part of the instructional year. Faculty members on academic (AY) or calendar year (CY) appointments may be invited by the department head, chair, school director, or supervisor to teach courses in Winter Session.

The faculty member receives overload payment for teaching a Winter Session for-credit course. Compensation for teaching in the session is negotiated by the faculty member and the department head, chair, or school director. Maximum compensation is set at 3.75% of the faculty member's annual salary for each one-credit semester course taught. An additional incentive grant may be negotiated up to a maximum of one month's salary. Additional compensation, including overload and any incentive grant is considered in the total allowable aggregate compensation of no more than 33⅓% of annual salary from the preceding academic year.
2.6.6.3 Winter and Summer Session Appointments for A/P Faculty

Appropriately credentialed administrative and professional (A/P) faculty who are qualified for instruction may teach during the summer and winter session with approval of their department head, chair, school director or supervisor. Guidelines set forth in Policy 4071, “Policy for Staff Employed to Teach For-Credit Courses,” and Policy 4072, “Teaching Credit Classes and Overload Compensation for Administrative and Professional Faculty Members,” apply.

2.6.7 Emeritus or Emerita Designation

The title of emeritus or emerita is conferred on retired Virginia Tech faculty members as defined in Faculty Handbook, chapter two who have made exemplary contributions to the university and are recommended to the Board of Visitors for approval by the provost and president.

All nominations for emeritus or emerita designation should, through a draft resolution for the Board of Visitors, describe the faculty member’s exemplary contributions and academic citizenship across any of Virginia Tech’s mission areas of teaching, research or creative activity, and engagement. These contributions may, for example, be demonstrated through teaching awards, leadership or extensive service in transformative university initiatives, especially impactful community engagement, or evidence of national or international distinction. The expectation and desire is that emeritus/emerita faculty will have ongoing engagement with Virginia Tech, however, in some instances the emeritus/emerita designation may be conferred as a recognition of past contributions to Virginia Tech, without an expectation of continued engagement.

For college faculty, emeritus or emerita nominations may be initiated by the faculty member’s department head, chair, school director, or senior academic administrator in consultation with the faculty member. Consistent with processes for faculty honorifics, each college should have formal procedures for the nomination and appointment of faculty to emeritus or emerita status that include review by a college honorifics committee or promotion and tenure committee. After review by the appropriate college committee the college dean makes recommendations for approval by the provost, who then reviews and makes a recommendation to the president and the Board of Visitors.

For A/P faculty, nominations may be initiated by the faculty member’s supervisor or other senior administrator, in consultation with the faculty member. After review by the A/P Faculty Senate Elections and Nominations Committee, the A/P Faculty Senate President makes recommendations to either the provost or to the executive vice president and chief operating officer (EVPCOO) for A/P faculty who do not work in academic affairs. The provost or EVPCOO, as appropriate, reviews the nomination and makes a recommendation to the president. All recommendations for emeritus or emerita status are forwarded by the president to the Board of Visitors for their consideration and approval.

Note: Procedures for emeritus or emerita nominations will be outlined on the provost's website, and will include such things as a nomination form, sample resolution(s), sample letter(s) that confirm review and support of the nomination by the college honorifics committee and dean; or,
for A/P faculty, a letter confirming the review and support for the nomination by the A/P Faculty Senate Elections and Nominations Committee.

2.7 Documentation of U.S. Citizenship or Lawful Authorization to Work in the United States

In accordance with federal law, on or before the first day of their employment, new employees must provide documentation confirming identity of U.S. citizenship or lawful authorization to work in the United States.

2.8 Conviction and Driving Record Investigation Check for Employment

The university conducts a conviction and/or driving record investigation check once a contingent offer is made to and accepted by the selected candidate, according to the provisions in Policy 4060, “Conviction and Driving Record Investigation for Employment.” Human Resources coordinates the conviction and driving record investigation process.

A preliminary offer may be made to the selected candidate, contingent upon the results of the investigation. However, at no time should the selected candidate be allowed to begin work before the investigation process is complete.

2.9 University-Sponsored Applications for Permanent Residency

Virginia Tech welcomes the contributions of scholars from all over the world in carrying out its learning, discovery, and engagement missions. Employer-sponsored applications for permanent residency assure the international scholar’s ongoing involvement in the life of the university and the work for which the employee was hired. To receive Virginia Tech sponsorship, all of the following conditions must be met:

- The position must have the potential to be ongoing with successive renewals over a period of several years. For positions funded from sponsored grants or contracts, the supporting unit must demonstrate a record of sustained external funding.
- The individual's appointment must be full-time and salaried, and in compliance with federal regulations, such as prevailing wage rate. The appointment may be restricted or regular, either academic or calendar year, as long as it is salaried, full-time, and there is an expectation of successive renewals over a period of several years. Wage employment does not meet this test.
- The position is significant and meets institutional needs as documented by the department and validated by the approval of the relevant senior manager. Significance may be signaled, in part, by rank and title, as well as documented in the job description and supported by the individual's credentials. These include instructional faculty (ranks of instructor and assistant professor or above, including clinical faculty and collegiate professor ranks, but excluding adjunct, wage, or visiting faculty members); research faculty (all ranks except postdoctoral associates, whose appointments are limited, by definition, to five years); administrative/professional faculty with significant expertise...
critical to the university; and staff members with significant expertise critical to the university.

The department verifies that they wish to retain the employee in the position indefinitely subject to availability of funding, need for services, and satisfactory performance.

2.10 Dual Career Program

Prospective candidates for faculty positions at Virginia Tech may have spouses or partners who are also seeking employment. The ability of a spouse or partner to find suitable employment is a crucial element in the recruiting process and may be a determining factor in the couple’s decision.

The spouse or partner of a faculty candidate or administrator who is being recruited to Virginia Tech is eligible for participation in the dual career program. The spouse or partner of a current faculty member who has been recently hired or is negotiating a retention package is also eligible for participation in the dual career program.

The dual career program offers job search assistance for up to one year; advice regarding a résumé, curriculum vitae, and cover letter; assistance with interview preparation; and networking assistance. These services do not mean entitlement to employment or a guarantee of job placement. Guidelines that describe procedures for Virginia Tech’s hiring of dual career partners are available on the Human Resources and provost’s websites.

2.11 Qualification and Teaching Credentials for Instructors of Record

Virginia Tech uses the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) teaching credential guidelines to qualify instructors of record.

For regional accreditation purposes, Virginia Tech must justify and document the teaching qualifications of all instructors of record as outlined by the SACSCOC. The SACSCOC does allow for special qualifications that fall outside these guidelines.

Faculty, Instructors, Adjunct Faculty

To teach baccalaureate/undergraduate courses: a doctorate, terminal degree, or master’s degree in the teaching discipline, or a master’s degree with at least 18 graduate hours in the teaching discipline.

To teach graduate/post-baccalaureate courses: an earned doctorate/terminal degree in the teaching discipline or a related discipline.

Graduate Teaching Assistants

To teach baccalaureate/undergraduate courses: a master’s degree in the teaching discipline, or a minimum of 18 graduate hours in the teaching discipline and direct supervision by a faculty
member experienced in the teaching discipline, regular in-service training, and planned periodic evaluations.

**Department Responsibility**

The department within which a course is listed or originates is responsible for qualifying instructors of record to teach by documenting credentials for any instructional site including the Blacksburg campus, any distributed university location, and any on-line/distance education. The qualifying department may be different than the employing department in some cases. Departments are responsible for maintaining up-to-date documentation of teaching credentials for instructors of record. Changes in teaching credentials may occur after initial qualification (usually at employment as a faculty member).

**Documentation of Teaching Credentials**

Documentation of credentials includes a transcript cover sheet (now called Statement of Faculty Credentials for Teaching) accompanied by an official electronic or other form of official transcript. The cover sheet and transcript are submitted to Human Resources for entering into the university’s Faculty Online Credentialing System (FOCS).

**2.12 Advanced Study at Virginia Tech**

The university encourages and supports the education of its employees. Educational leave to pursue a degree elsewhere is one option available to faculty. In addition, faculty may enroll in for-credit courses or degree programs at Virginia Tech. The program is administered under the provisions of Virginia’s general appropriations act and operates under certain constraints imposed by the state policy on educational aid to state employees.

The following provisions apply to full-time salaried faculty (including administrative and professional faculty and research faculty) who wish to take courses at Virginia Tech. Part-time salaried faculty are eligible for a partial tuition benefit. Only courses of degree programs approved in advance by the faculty member’s department head, chair, school director, or supervisor are eligible for tuition waiver or reimbursement. Enrollment should not impede the usual work schedule of the department or school. Time spent attending class during usual work hours must be made up under a plan approved by the department head, chair, school director, or supervisor unless the course is a work-related course required by the university.

Faculty who take courses must meet all admissions requirements, registration, and payment deadlines, just as any other student. Application for admission must be made and approval granted by the graduate school prior to the waiver of tuition for classes. If approved by the department head, chair, school director, or supervisor a faculty member may register for credit or audit a total of 12 credit hours per calendar year, with no more than six credit hours taken in any enrollment period—fall, winter, spring, summer I, or summer II. (The year begins with fall term and ends with summer II.) Additional hours may be taken outside the normal work schedule with
the employee paying all applicable fees in excess of those allowable for tuition waiver or reimbursement.

Instructional faculty members of the rank of assistant professor or above are not eligible to become candidates for a degree or to earn an additional degree at this institution. The policy is designed to avoid the awkwardness of faculty members evaluating their colleagues in the fulfillment of degree requirements. This policy may be waived on a case-by-case basis through appeal to the Commission on Faculty Affairs (CFA). CFA may find and recommend to the provost that in a specific case the purpose of the policy is not contradicted. This policy does not apply to degree-seeking administrative and professional faculty, or non-instructional research faculty.

2.13 Types of Leave and Leave Reporting
Consult Human Resources for information about types of leave. Several types of approved leave, with or without salary compensation, are available to faculty members. Unapproved absence from assigned duties, which is not covered by an approved or earned leave, is subject to a subsequent adjustment in pay.

2.14 Change of Duty Station or Special Leave
2.14.1 Change of Duty Station
A change of duty station may be approved in instances where a faculty member would be hosted by another institution or organization and undertake activities of benefit to the individual faculty member and the university. Approval of the executive vice president and provost or executive vice president and chief operating officer, depending upon the reporting structure, on recommendation of the department head or chair or school director, and dean (or appropriate administrator) is required. Such authorization is usually not granted for longer than one semester. In certain circumstances, the executive vice president and provost or the executive vice president and chief operating officer determines whether a change of duty station involving institutional salary support is appropriate.

2.14.2 Special Leave
A special leave may be approved in instances such as grant responsibilities, opportunity for a prestigious fellowship in residence at another institution, or similar activities of benefit to the individual faculty member and the university. Approval of the executive vice president and provost or executive vice president and chief operating officer, depending upon the reporting structure, on recommendation of the department head or chair or school director, and dean (or appropriate administrator) is required when such absences involve salary payment by university general funds, either in full or in part. Such authorization is usually not granted for longer than one year. The host institution, agency, or sponsored project is expected to make a significant contribution toward the cost of the faculty member’s salary and/or benefits. In addition to Special Leave, Study Research Leave and Research Assignment Leave are available to tenured and continued-appointment faculty, and are described in detail in chapters three, four, and fourteen of this handbook.
2.14.3 Geographical Transfer Policy
Reassignment of a faculty member at the initiative of the university to a primary workstation located more than 50 miles from the current workstation is considered a geographical transfer. A department head, chair, or school director, or supervisor may request the geographical transfer of a faculty member to implement a programmatic mission of the university. The affected faculty member shall be involved in planning for the transfer prior to the submission of a formal request for transfer. The request for geographical transfer shall be transmitted in writing to a second-level administrator for approval with accompanying documentation justifying the need for the transfer of the selected individual. The justification shall describe the university program and the position to which the faculty member is being transferred. This description shall list the unique skills and knowledge required to fulfill the program’s mission. The alternatives for meeting the requirements shall be outlined, along with the reasons for selecting the alternative of geographical transfer of the particular faculty member. A faculty member must be notified in writing at least six months in advance of the geographical transfer. The transferred faculty member shall be reimbursed for all allowable expenses as defined in the university Controller’s Office Procedure 20345: Moving and Relocation Expenses. A cost-of-living adjustment will be added to the faculty member’s base salary during the period of employment in a high-cost area.

2.15 Continuing and Professional Education Activities
2.15.1 Required Use of and Participation in Continuing and Professional Education Program Services and Facilities
Contact Continuing and Professional Education for information. Policy 6362, “Policy on Continuing and Professional Education,” requires that academic colleges, centers, and administrative units designing and delivering continuing and professional education activities, both on- and off-campus, under the auspices of the Virginia Tech brand must work through Continuing and Professional Education. This includes work conducted by faculty in Blacksburg, as well as faculty delivering continuing education programs at university locations outside of Blacksburg. Alternate arrangements may be made in the case of lack of availability of appropriate space or mutual agreement between the sponsoring university entity and Continuing and Professional Education.

2.15.2 Overload Payment and Compensation for Non-Credit Continuing and Professional Education Activities
Contact Continuing and Professional Education for information. Faculty members may be eligible for direct payment for non-credit instructional activity in Continuing and Professional Education programs.

All faculty members not supported by educational and general funds of the Virginia Cooperative Extension Service, Continuing and Professional Education, or outreach programs are eligible for such payments. Faculty members supported by such funding whose job descriptions do not include activity in non-credit instruction may request approval of their dean or director (or appropriate administrator) and the executive vice president and provost or executive vice
president and chief operating officer, depending upon the reporting structure, for participation for payment.

Non-credit teaching for direct pay is subject to the provisions of the university’s consulting policy, i.e., the total of non-credit teaching and other approved consulting does not ordinarily involve more than one day per week and does not exceed five days in any five-week period. For purposes of limitation of consulting, each day in which non-credit instruction is undertaken is counted as one day, unless the participation does not exceed one-half day (as defined below), in which case it is counted as one-half day. Because of the scheduling requirements of certain Continuing and Professional Education programs, exceptions to the limitation of five days of consultation in any five-week period may be approved as long as the maximum of 39 days in the academic year is not exceeded.

For direct payment purposes, a day is defined as six contact hours of non-credit instruction; pro rata payments are made for portions of days, usually in units of 1.5 hours. For teleconferences involving televised delivery a day is defined as three contact hours.

To encourage faculty to develop academically innovative programs with significant market potential, faculty may request preparation time as part of the program and budget development process. This additional faculty compensation for research and development may not exceed three days for each day of instruction.

Research and development time is associated with two types of programs. The first type is research and project development undertaken for a specific organization. As such, the payment of the research and project development is assured with the other program services under contract. The second type of program involves those programs offered on a solicitation basis to members of a specific audience. The generation of revenues for faculty research and development are included in participant fees. The actual amount and timing of the faculty payment depends on program success. The agreement is subject to approval by the department head, chair, school director, or supervisor and director of program development.

If research and development initiatives are perceived by a contracting agency or department to be more extensive, the college has the option of providing additional compensation to faculty through college surplus funds or of buying their time in the summer. Such additional compensation beyond three days for each day of delivery requires the approval of the vice president for outreach and international affairs and the director of Continuing and Professional Education. Approval for such payment is required through the P14 payment process initiated by Continuing and Professional Education.

For a particular program, a daily payment rate is determined by agreement of program faculty in Continuing and Professional Education, the participating faculty member, and the faculty member’s department head, chair, school director, or supervisor and is subject to the approval of the director of Continuing and Professional Education. Such a negotiated rate may depend on the anticipated enrollment and the budgetary constraints of the program.
The provost may set a maximum applicable daily payment rate. The provost advises the Commission on Faculty Affairs of any changes in the maximum applicable daily payment rate if set.

Continuing and Professional Education is responsible for seeking approval for direct pay (P14) through the university and authorizing final payment. Such payments are made after teaching services are provided.

In addition to the constraints imposed by the consulting policy, there is a limitation on the aggregate amount of such direct payments that may be earned in a faculty member’s appointment year. Faculty members on calendar year appointments may earn no more than 33⅓% percent of their annual salary during the July 1 - June 30 appointment year. Faculty members on academic year appointments may earn no more than 33⅓% percent of their annual salary during the academic year. Payments made to academic year faculty members in the summer period will be included in the 33⅓% percent limitation of the previous academic year’s salary that is currently imposed on summer payment from all university sources combined.

Costs of producing materials for Continuing and Professional Education programs are borne by the program budget, not by the operating budgets of any unit except where provided for that specific purpose.

2.15.3 Overload Payment and Compensation for For-Credit Continuing and Professional Education Activities

The university’s mission and goals include increasing outreach, continuing and professional education, and distance learning activities to serve the workforce and professional development needs of business and industry, government, organizations, and individuals. Some professional audiences seek credit course work to meet their educational needs—not just a short term, non-credit experience such as workshops or seminars. In some cases, these audiences look to some of the university's most visible and distinguished faculty members to deliver this programming. Often such programming involves a contract with businesses or organizations, which covers the cost of course delivery, including faculty compensation. The programs are generally delivered off-campus, perhaps at the organization/business site or elsewhere, or via distance learning.

The following policy guidelines provide information regarding compensation for faculty members involved in delivering for-credit continuing and professional education. For-credit programming designed for executive/professional audiences is included among programs eligible for additional faculty compensation; even if such programs are offered for individual enrollment rather than for employees of a specific corporation or agency; and even if course work is delivered at the faculty member’s home base.

Overload responsibilities undertaken for supplemental compensation may be assumed only when the intended task is clearly outside usual responsibilities of the individual, as determined by the appropriate department head, chair, school director, or supervisor and academic dean; and the conduct of the task is clearly in the best interest of the university; the individual is eminently
qualified to undertake the task; and such an overload is included within the overall time limitations of the consulting policy.

Continuing projects, or projects occupying an identifiable amount of time longer than a semester or more, are arranged on a released-time basis. Prior approval by the department head, chair, or school director and dean are required for all overload commitments undertaken for supplemental compensation.

Overload compensation may be approved in cases involving for-credit continuing and professional education where: the faculty member is required to travel to an off-campus location; or, the faculty member is delivering a program to students at one or more distributed campus locations through distance learning technology, whether the instruction is delivered in a synchronous or asynchronous mode; or, the faculty member is delivering for-credit course work as part of an executive/professional program approved for overload compensation, even if the course is being delivered at the faculty member’s home base.

There should be no expectation that course work currently taught on-load, which requires a faculty member to travel to another location to teach, or for which the faculty member is delivering the program via distance learning technology, would automatically be considered for overload compensation. Determination of the faculty member’s assignment is the responsibility of the department head, chair, school director, or supervisor and dean. Distance learning instruction and teaching at off-campus sites are appropriate on-load assignments which faculty members are expected to fulfill without additional compensation.

Faculty members are not required to accept for-credit overload assignments for continuing and professional education instructional activities.

Faculty compensation is determined as part of the budget development and contract negotiation process and may vary based on discipline, level of expertise, effort required, group size, number of credits, and other factors usually considered in setting compensation for continuing education instruction. P14 payments for credit continuing and professional education course work also require the approval of the vice provost for faculty affairs. Contracts with businesses, organizations, or other approved revenue sources are expected to cover the full cost of such faculty compensation.

The department head, chair, school director, or supervisor is responsible for the fair and appropriate assignment of overload for-credit course work to faculty members in the department. To assure equity and appropriateness, the department head, chair, school director, or supervisor, and dean monitor the responsibilities and assignments of faculty earning additional compensation.

Faculty members on calendar year (CY) appointments may earn up to an additional 33 1/3% during the fiscal year, by teaching non-credit programs administered through the
university; teaching an eligible for-credit continuing and professional education course on overload; and/or participation in a technical assistance agreement.

Similarly, faculty members on academic year (AY) appointments may earn up to an additional 33½% percent of their academic year salaries during the academic year through these approved activities. Earnings during the summer from all university sources, including those cited above, summer or winter session teaching, and sponsored research are capped at 33½% percent of the prior academic year salary.

The consulting policy sets the institutional maximum on the number of days that a faculty member can spend in approved, paid professional activity while on salary. All approved activity—consulting, technical assistance agreements, for-credit continuing and professional education course work, and non-credit continuing and professional education must stay within the consulting policy guidelines of one day per week or no more than five days in a five-week period. Six contact hours constitute the equivalent of one consulting day.

Exceptions require the approval of the department head, chair, school director, or supervisor, dean (or appropriate administrator), and executive vice president and provost or executive vice president and chief operating officer, depending upon the reporting structure.

2.16 Retirement, Resignation, and Non-Reappointment

2.16.1 Retirement

State law prohibits mandatory retirement based on age alone. There is no mandatory retirement age for university faculty and staff.

2.16.1.1 Voluntary Transitional Retirement Program for Faculty with Tenure or Continued Appointment

Faculty members with tenure or continued appointment who are at least 60 years of age and have at least 10-20 years of full-time service at Virginia Tech may be eligible for the university’s voluntary transitional retirement program. The program allows long-term faculty to remain actively involved in the life of the institution while reducing their professorial responsibilities as they transition towards full retirement. Further details of the program and eligibility requirements are provided in Policy 4410, “Voluntary Transitional Retirement Program for Tenured Faculty.”

2.16.2 Resignation

Faculty members who wish to resign should give notice as far in advance as possible. Faculty members with instructional responsibilities are expected to provide notice of at least one semester. The minimum acceptable notice for tenured, tenure-track, or non-tenure-track instructional faculty members is three months.
2.16.3 Non-Reappointment of Faculty Members on Temporary or Restricted Appointment

For faculty members on temporary or restricted appointment for which there is no indicated opportunity for reappointment, the letter of appointment also serves as notice of the termination of employment. The appointment is discontinued unless notified otherwise.

Research faculty members are ordinarily on restricted appointments for a fixed period because of limitations of external funding. Reappointments may be possible if such funding is renewed but should not be assumed.

2.16.3.1 Non-Reappointment of Faculty Members on Regular Appointment

The decision to non-reappoint a faculty member on a regular appointment may stem from many factors beyond unsatisfactory service, such as modification of programmatic emphasis, enrollment trends, a change in the nature of the position, or simply the intention to seek an appointee with superior qualifications or stronger potential for professional development. Non-reappointment does not require establishment or documentation of just cause.

2.16.3.2 Notice of Non-Reappointment for Faculty on Probationary, Term Tenure-Track or Continued-Appointment-Track

<table>
<thead>
<tr>
<th>Years</th>
<th>Notice</th>
</tr>
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<tbody>
<tr>
<td>First year of employment</td>
<td>February 9 of academic year or three months before end of employment year.</td>
</tr>
<tr>
<td>(One-year term appointment)</td>
<td></td>
</tr>
<tr>
<td>Second year of employment</td>
<td>November 9 of the academic year or six months before end of employment year;</td>
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<tr>
<td>Subsequent years</td>
<td>12 months before end of employment year (May 9 for academic year appointments).</td>
</tr>
<tr>
<td>Years</td>
<td>Notice</td>
</tr>
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</tr>
<tr>
<td>Less than two years</td>
<td>At least three months for those in regular appointments for less than two years.</td>
</tr>
<tr>
<td>Two years or more</td>
<td>At least six months for those in regular appointments for two years or more.</td>
</tr>
<tr>
<td>Prior to March 2001</td>
<td>For those research faculty appointed to regular positions before March 2001, the notice of reappointment is 12 months.</td>
</tr>
</tbody>
</table>

**2.16.3.5 Notice of Non-Reappointment for Administrative and Professional Faculty on Regular Appointment**

<table>
<thead>
<tr>
<th>Years</th>
<th>Notice</th>
</tr>
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<tbody>
<tr>
<td>Prior to one year</td>
<td>At least three months before the expiration of an initial one-year appointment (for example, if the effective date of an initial one-year appointment was July 1, then written notice of non-reappointment must be made by March 31 for termination effective June 30).</td>
</tr>
<tr>
<td>More than one, but less than two years</td>
<td>At least six months for administrative and professional faculty members employed by the university for more than one year, but less than two years.</td>
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<td>-------------------------------------</td>
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</tr>
<tr>
<td>Two years or more</td>
<td>At least 12 months for administrative and professional faculty members employed by the university two years or more.</td>
</tr>
</tbody>
</table>

### 2.16.3.6 Unclaimed Personal Property

All personal property - tangible, intangible, electronic, or other personal property - is removed by close of business on the faculty member's final day of employment at Virginia Tech unless prior approval is granted. The university is not responsible for keeping or maintaining personal property left by the faculty member. The university accepts no liability for lost, damaged, or destroyed personal property.

A departing faculty member may request permission to store personal property beyond the last day of employment. The following stipulations apply: the request to store personal property must be submitted prior to the last day of employment; such a request must be submitted to the department head, chair, school director, or authorized supervisor, and the department head, chair, or school director, or authorized supervisor has absolute discretion in approving or denying the request.

### 2.17 Reduction in Force (RIF)

Termination refers to the involuntary cessation of employment of a tenured or continued appointment faculty member or of a faculty member on a fixed-term appointment before the end of the term. Termination takes place only as dismissal for adequate cause or in the case of a reduction in force (RIF).

Furlough refers to the involuntary interruption of employment of a tenured or continued appointment faculty member or of a faculty member on a fixed-term appointment before the end of the term. This differs from termination in that it conveys an intention of the university to reappoint affected faculty members within some reasonable period if circumstances permit.

A reduction in force is the termination or interruption of employment of a member of the general faculty under conditions of financial exigency or program reduction. Reduction in personnel by attrition, freezes on new hiring, across-the-board reductions of salaries and/or teaching schedules, and the offering of incentives for early retirement, whether at the program level or institution-wide, are not considered reductions in force. Rather, they are lesser remedies that may be implemented before any reduction in force.

Denial of tenure to an untenured faculty member or non-renewal of appointment of an untenured faculty member on probationary appointment, or non-renewal of appointment of an untenured
member of the administrative and professional faculty, where usual procedures have been affected in each instance, is not considered a termination within the meaning of this policy.

For the procedures outlined below, seniority refers to the number of years served at the university by a member of the general faculty in tenured, tenure-track, or functionally equivalent positions. Service need not be continuous to contribute to an individual’s seniority. Years of service include those during which a faculty member is employed at least half-time. Years during which a faculty member is employed less than half-time will not count toward years of service for purposes of this section.

2.17.1 Reduction in Force (RIF) Under Conditions of Financial Exigency

Reductions in force (RIF) may occur when financial conditions disallow the usual operation of programs. While the university has a right to initiate reductions in force, including those affecting tenured faculty, it is the policy of the university (to the extent consistent with the degree of financial exigency) to ensure that the rights of tenure or continued appointment are preserved; to ensure that the integrity of the university and its programs is preserved; to protect the contractual expectations of untenured faculty; to provide that the burden of corrective action is shared by the various categories of personnel of the university, including all members of the general faculty; and to ensure that any reductions that do occur follow an orderly and predictable process.

A financial exigency is an imminent financial crisis that threatens the survival of the university and that cannot be alleviated by ordinary budgeting practices. Reductions in force in response to conditions of financial exigency are determined and implemented as follows:

**Declaration of a state of financial exigency:** Should the president determine that so extraordinary a circumstance has arisen or is anticipated that it might be necessary to terminate or interrupt the appointments of faculty members, the president may declare a state of exigency. Upon such declaration, the president forms an ad hoc committee to review the budgetary situation and the president’s plan for addressing it.

**Committee review:** The ad hoc committee is comprised of no fewer than nine members, a majority of whom are faculty members nominated by the Faculty Senate. This includes at least one representative from each college. Where a RIF may affect the University Libraries or Extension faculty, at least one representative from that faculty should also be selected to serve on the committee. Any person who resigns from or otherwise discontinues service on the committee is replaced by a new member chosen in the same manner as was the individual being replaced, and such replacement members are so selected that each college and, where appropriate, the University Libraries or Extension faculty retain at least one representative. Within the constraints of time and circumstance, the committee reviews the proposal submitted by the president and any alternative remedies that are available and recommends to the president a plan of action that may incorporate reductions in force of the administrative and support staff as well as the general faculty. The committee is charged with protecting both academic freedom and,
insofar as circumstances permit, the presumption of continuous employment that tenure or continued appointment bestows and considers the curricular needs and goals of the university as well and the effects of any anticipated actions on the future financial well-being of the institution.

**Determination of policy:** After receiving the recommendations of the ad hoc committee, the president determines the response of the university to the declared state of exigency. If the president’s decision is substantially at variance with the recommendations of the committee with specific regard to the implementation of RIFs, the committee may, by majority vote, appeal the president’s actions to the Board of Visitors. In all other matters, and in cases where the president’s decision to carry out a reduction in force accords with the recommendations of the ad hoc committee, no such appeal is available. The ad hoc committee consults with the president and receives periodic reports until the state of exigency ends and the committee determines that the obligations of the university to furloughed or terminated faculty are met.

**Implementation:** Reductions in force are implemented either within specified programs or across the institution. Whenever a RIF is undertaken, it is guided by the following considerations. Insofar as circumstances permit, all temporary or part-time faculty members and those not holding tenured or tenure-track appointments or their functional equivalent are retained through the then-existing term of appointment. Insofar as circumstances permit, untenured faculty holding tenure-track appointments and University Libraries and other faculty holding probationary appointments are retained through the then-existing term of appointment. No tenure-track or functionally equivalent appointment is terminated or interrupted unless and until all appropriate temporary appointments are terminated. Where reductions in force of these personnel are required, they are implemented in ascending order of rank and of seniority within rank. Whenever possible, the university provides notice of furlough or termination equivalent to that for non-reappointment schedule as set forth in chapter two, “non-Reappointment.” Except in the most extraordinary circumstances, all tenured faculty and those on continued appointment retain their positions. Where reductions in force of tenured or continued appointment personnel are required, they are implemented in ascending order of rank and of seniority within rank. Whenever possible, the university provides at least one year’s notice of furlough or termination.

**Notification:** The university provides written notification to all faculty affected by a RIF including: (a) a statement of the basis for its action, (b) a description of the manner in which the decision in question was reached, (c) a disclosure of the information and data on which the decision makers relied, (d) information regarding reappointment rights and process, and (e) information regarding procedures available for appealing the decision.

**Appeals:** The decision to furlough or terminate a member of the general faculty because of a reduction in force may be appealed in two ways. The affected individual may appeal through the grievance procedure specified in the relevant section of the Faculty Handbook. After consulting with the appropriate dean and an elected committee of faculty members from the affected program, the principal administrative officer of a program may appeal individual RIF decisions to the provost on programmatic grounds. Reductions in force of no more than one-quarter of the affected faculty in any program may be appealed in this manner.
Replacement and Reappointment: The university recognizes its obligation to reappoint personnel furloughed or terminated through a RIF insofar as circumstances permit within a reasonable period following such action. Accordingly, temporary personnel cannot replace a probationary term faculty member who has been furloughed or terminated through a reduction in force for a period of three years following that action. Similarly, temporary or probationary term personnel cannot replace a tenured or continued appointment faculty member who has been furloughed or terminated through a reduction in force for a period of five years following that action.

Rather, affected members of the general faculty are granted first refusal of re-established positions for which they are qualified, with positions offered in descending order of rank and seniority within rank whenever the number of qualified personnel exceeds the number of available positions. The university attempts to identify funds to extend to affected faculty during these periods of three and five years, respectively, all health insurance benefits for which they would otherwise have qualified. On reaching age 70, or on declining at least one offer of employment in a position equivalent in tenure status, salary, and teaching load (as adjusted to reflect post-RIF department changes) to that which was terminated, each faculty member affected by a reduction in force forfeits all protections afforded by this paragraph.

For the purpose of providing insurance benefits and implementing these reappointment procedures, the provost keeps the curriculum vitae and current address of each terminated or furloughed faculty member. Terminated or furloughed faculty have an obligation to maintain the accuracy and timeliness of these records; the failure to do so results in forfeiture of the protections afforded by this paragraph.

2.17.2 Reduction in Force (RIF) for Academic Program Restructuring or Discontinuance

Ordinarily, changes to academic programs within the university are planned so that the appointments of faculty members are not compromised. Such changes are considered part of the ongoing evolution of academic programs and are subject to the usual procedures established by the colleges, relevant commissions, and the State Council of Higher Education for Virginia.

However, when extraordinary circumstances require more rapid change, it may be necessary to restructure or discontinue programs or departments in a way that leads to involuntary terminations or other alterations of appointments of faculty members with tenure or continued appointment. In such circumstances, the policy in this section applies.

Any decision to restructure or discontinue academic programs in a way that alters faculty appointments is a university-wide responsibility and should be made to support the educational mission of the university. In all such circumstances, early and meaningful faculty participation is essential and fundamental to the process outlined in this policy.

The restructuring or discontinuing of one or more academic programs with the potential to invoke this policy may be initiated by the provost or president, by the college deans, by the college
faculties, or by an appropriately charged commission. If the provost determines that such restructuring or discontinuing of academic programs should be considered, a Steering Committee for Academic Restructuring, hereinafter referred to as the steering committee, is appointed as described below. The purpose of the steering committee is to evaluate and coordinate the proposed restructuring effort, and to ensure that the procedures in this section are followed.

The steering committee is composed of nine members determined jointly by the provost and the president of the Faculty Senate: two faculty members selected from the membership of the Commission on Faculty Affairs; two faculty members selected from the membership of the Commission on Undergraduate Studies and Policies; two faculty members selected from the membership of the Commission on Graduate Studies and Policies; one faculty member selected from the University Advisory Council on Strategic Budgeting and Planning; one member selected from nominations by the Faculty Senate; and the provost, or an administrative designee.

The steering committee elects a chair by a vote of all members of the committee. The steering committee composition is intended to ensure that the expertise and perspectives of the relevant commissions are incorporated in the deliberations.

The provost initiates discussion of a proposed program restructuring or discontinuance with the steering committee, describing the need for the change, the proposed type and scope of restructuring effort, the educational rationale for the change, and an explanation of how it is consistent with the long-term goals of the university. If after these preliminary discussions and upon considering the advice of the steering committee, the provost decides to proceed, the provost prepares a more detailed proposal including identification of programs to be restructured or discontinued (or how they will be identified); timelines for development of specific plans by the affected programs and for the restructuring effort as a whole; and the estimated impact on the affected faculty, staff, and students, and on the university as a whole. If a budget reduction is involved, then reduction targets for any affected unit(s) must be included in the draft proposal.

The steering committee reviews the draft proposal and makes recommendations to the provost either to proceed with the proposal as written or with modifications, or to return it as insufficiently justified. The steering committee shares its recommendations with the university community.

The provost considers the steering committee's recommendations and makes every effort to develop a plan acceptable to the steering committee. If the provost decides to proceed, direction is given to the relevant dean(s) to prepare specific plans for the affected programs, based on guidelines in the following section. These plans identify which specific programs are to be reduced or eliminated; how the faculty, staff, and students will be affected; and how the rights, interests, and privileges of the faculty and staff members will be protected. If a budget reduction is involved, the specific plan must describe how the reduction targets will be met.

Under specific circumstances approved in advance by the provost and president, the Alternative Severance Option may be available to deans for meeting reduction targets.
The deans submit specific plans to the provost, who reconvenes the steering committee to oversee the review and comment process. All specific plans are made available to the university community for comment for a period of not less than three weeks. The relevant commissions (including the commissions on Staff Policies and Affairs and Administrative and Professional Faculty Affairs if such employees are affected) are also asked to review and comment on the plans. The steering committee receives all comments and makes recommendations to the provost; these recommendations are also shared with the university community at large. The president and Board of Visitors have final authority to approve and implement all plans. Notification to affected faculty does not proceed until final approval is given.

Guidelines for development of college plans: The relevant deans should develop specific plans by involving the faculty at all levels of decision-making. Staff members should be involved as appropriate.

College-level planning for programmatic reductions follows the guidance and intent of the plan reviewed by the steering committee and approved by the provost. For developing specific plans, an academic program should meet one or more of the following criteria: (a) “program” as part of its title, (b) grants a degree or a credential, (c) has a sequence of courses with a common prefix, or, (d) is identified as an academic program in official university documents. A program is generally smaller than a department and must be larger than the activities of a single faculty member.

If restructuring requires the termination of faculty members, then the following guidelines must be followed. When programs are identified for restructuring or discontinuance, all faculty assigned to the program, both tenured and untenured, are potentially subject to reassignment or termination. Within programs identified for restructuring or discontinuance, tenured faculty must not ordinarily be terminated before untenured faculty. Termination decisions within the tenured faculty as a group or within the untenured faculty as a group should be based on rank and merit. Faculty members on restricted or temporary appointments should be terminated before faculty members on regular appointments. The number of involuntary terminations of tenured faculty members should be minimized by providing incentives for resignation, retirement, or reassignment.

Minimum responsibilities to individual faculty members: The university recognizes its responsibility to faculty members if this policy is implemented. All plans to restructure academic programs guarantee the following to individual faculty members:

Notice of termination: Faculty members with tenure or continued appointment whose positions are eliminated as part of restructuring are given notice of not less than three years. Administrative and professional faculty members on regular appointments shall be given at least 90 days’ notice. All other faculty members shall complete their current contracts or be given a one-year notice whichever is less. Notice of termination longer than the minimum specified above may be given to selected faculty members whose expertise is essential to closing out an academic program in which students are enrolled.
**Written notification:** After final approval has been given for specific plans, written notification is provided to all faculty members whose appointments will be terminated or altered. The notification shall include a statement of the basis for its action, a description of the way the decision was reached, a disclosure of the information and data on which the decision was based, and information regarding procedures available for appealing the decision.

**Transition assistance:** Every effort is made to place affected faculty members with tenure or continued appointment in available openings in the university or to reassign them to continuing programs. Transition assistance may include training to qualify for placement in a related field if desired and appropriate. Where placement in another position is not possible, the university provides appropriate and reasonable career transition assistance such as clerical support, communications, office space, and outplacement services.

**Reappointment:** In all cases of termination of appointment because of program reduction or discontinuance, the position of a faculty member with tenure or continued appointment cannot be filled by a replacement within a period of three years following separation unless the released faculty member was first offered reinstatement and a reasonable time in which to accept or decline.

**Appeals:** A faculty member whose appointment is terminated or altered due to program reduction or discontinuance may file a grievance as outlined in the relevant section of the Faculty Handbook. Grounds for appeal may be substantial failure to follow the procedures and standards set forth in this section. Because faculty members, through the steering committee, are involved in the review and development of recommendations guiding the restructuring or discontinuance, the determination of which programs or departments are affected cannot be a basis for appeal.

### 2.18 Severance Benefits

The university provides severance benefits for eligible faculty who are involuntarily separated due to budget reduction, agency reorganizations, or workforce downsizings for reasons unrelated to performance or conduct. Faculty hired on restricted appointments funded from sponsored contracts or grants, or term (fixed-period) appointments with a specified ending date, regardless of funding source, are not eligible to receive severance benefits. In cases where employees are non-reappointed or voluntarily resign, these actions are not deemed “involuntary separation” for purposes of the severance policy.

#### 2.18.1 Alternative Severance Option (ASO)

Under specific circumstances approved in advance by the provost and president, an alternative severance option (ASO) may be available to eligible faculty. Severance of faculty members with tenure or continued appointment must be voluntary; no tenured faculty member can be required to participate. Tenure-track and continued appointment-track faculty members are not eligible, nor are restricted employees.
The premise for any severance payment rests on the rationale of business necessity to reduce personnel expenses. When such a situation occurs, deans and senior managers will be asked to define the business operations, academic programs, departments, or units where personnel reductions will occur. An approved business plan for each participating college or vice-presidential area will describe the specific units and eligibility criteria for participation in the ASO or layoff substitution process. These plans will necessarily differ. Some colleges and senior management areas do not offer the ASO as a means to reach their budget reduction targets. The identification of employees who receive this offer will be based on business need, and, therefore, it is possible not all employees who are eligible will be selected to participate. For example, if more employees may apply than are needed to address the reductions and positions or if an individual critical to business operations would be excluded, employee serves a critical function. Eligible employees in units with approved business plans are notified if the option is available to them.

2.19 Professional Responsibilities and Conduct

2.19.1 Virginia Tech Principles of Community

The Virginia Tech Principles of Community state: Virginia Tech is a public land-grant university, committed to teaching and learning, research, and outreach to the Commonwealth of Virginia, the nation, and the world community. Learning from the experiences that shape Virginia Tech as an institution, we acknowledge those aspects of our legacy that reflected bias and exclusion. Therefore, we adopt and practice the following principles as fundamental to our ongoing efforts to increase access and inclusion and to create a community that nurtures learning and growth for all its members:

- We affirm the inherent dignity and value of every person and strive to maintain a climate for work and learning based on mutual respect and understanding.
- We affirm the right of each person to express thoughts and opinions freely. We encourage open expression within a climate of civility, sensitivity, and mutual respect.
- We affirm the value of human diversity because it enriches our lives and the university. We acknowledge and respect our differences while affirming our common humanity.
- We reject all forms of prejudice and discrimination, including those based on age, color, disability, gender, gender identity, gender expression, national origin, political affiliation, race, religion, sexual orientation, and military status.
- We take individual and collective responsibility for helping to eliminate bias and discrimination and for increasing our own understanding of these issues through education, training, and interaction with others.
- We pledge our collective commitment to these principles in the spirit of the Virginia Tech motto of *Ut Prosim* (That I May Serve).

2.19.2 Statement of Business Conduct Standards

Each employee contributes to the success of Virginia Tech by performing job responsibilities in accordance with university policies and procedures. The university's business standards provide
a foundation of business practices to support the core missions of learning, discovery, and engagement. The statement of business standards is on the Financial Management Team website.

All employees are expected to ensure that business activities are conducted properly and in compliance with federal and state laws. Procedures are on websites of the Controller's Office, Procurement Department, Human Resources, and in university policies.

2.19.3 Non-Discrimination, Sexual Assault, and Harassment Prevention

Contact the Office of Equity and Accessibility for information. The university provides a workplace where all employees, students, visitors, and volunteers are treated with dignity and respect. Policy 1025, “Policy on Harassment, Discrimination, and Sexual Assault” affirms the university’s commitment to prohibit discrimination and harassment at all levels and areas of university operations and programs. Policy 1026, “Policy on Title IX Sexual Harassment and Responsible Employee Reporting” outlines processes for sexual assault and harassment.

As an academic community, Virginia Tech values the rights guaranteed by the First Amendment of the United States Constitution and does not restrict the exercise of these rights. All members of the university community are responsible for respecting conditions that preserve the freedom to learn. Protected activities do not violate university policy unless they interfere with university functions, violate the rights of others, or otherwise break the law. The appropriate supervisor or administrator is responsible for addressing offensive behavior that does not violate the non-discrimination and harassment prevention policy.

It is also a violation of policy to retaliate against any party for participating in a discrimination and/or harassment investigation (“protected activity”). Retaliation includes any adverse treatment that is reasonably likely to deter the complainant or others from filing a charge of discrimination and/or harassment or participating in a discrimination and/or harassment investigation. Retaliation can be verbal, written, graphic, electronic, or physical.

Consensual Relationships. It should be understood by all members of the university community that consensual amorous or sexual relationships (hereinafter referred to as consensual relationships) that occur in the context of educational or employment supervision and evaluation present serious ethical concerns. Consensual relationships between faculty and students enrolled in their classes or students for whom they have professional responsibility as advisor or supervisor violate the policy on professional ethics and responsibilities and may be a violation of non-discrimination and/or harassment prevention policies. Similarly, consensual relationships between supervisors and employees they directly supervise violate university policy. Faculty members or others performing instructional or academic advising duties and supervisors involved in consensual relationships must remove themselves from any activity or evaluation that may reward or penalize the affected student or employee.
Consensual relationships between faculty and students are particularly susceptible to exploitation. The respect and trust accorded a professor by a student, as well as the power exercised by the professor in giving praise or blame, grades, recommendations for further study and future employment, make voluntary consent by the student suspect, given the fundamentally asymmetric nature of the relationship.

Faculty and supervisors should be aware that engaging in consensual relationships with students or employees they supervise could make them liable for formal action. Even when both parties have consented to the development of such a relationship, it is the faculty member or supervisor who, by virtue of one’s special responsibility, may be held accountable for unprofessional behavior. Complaints alleging discrimination and/or harassment, as defined above, may be filed by either party to the consensual relationship or by an aggrieved party outside the relationship.

**Responsible Employee Reporting.** University administrators, supervisors, and those performing instructional or academic advising duties have an added responsibility to create and maintain a work and learning environment free of discrimination and/or harassment.

If an administrator, supervisor, or individual with instructional responsibility becomes aware of an incident that might reasonably be construed as constituting discrimination and/or harassment, they must take immediate steps to address the matter. In such cases, the administrator, supervisor, or individual with instructional responsibility should promptly contact the Office for Equity and Accessibility to coordinate any further action that may be necessary.

Administrators, supervisors, and those with instructional responsibility should act whenever they learn, directly or indirectly, about discrimination and/or harassment. This obligation exists even if the complainant requests that no action be taken. It is not the responsibility of the complainant to correct the situation.

Administrators, supervisors, and those with instructional responsibility (for their respective teaching obligation) have the legal responsibility to protect a complainant from continued discrimination, harassment, or retaliation. They must also protect persons accused of discrimination and/or harassment from potential damage by false allegations.

Administrators and supervisors will be held accountable for dealing with and taking necessary steps to prevent discrimination and/or harassment.

Administrators and supervisors are responsible for informing employees and students under their supervision of this policy and providing the name and contact information of the person responsible for addressing harassment and/or discrimination complaints covered under [Policy 1025](https://www.vt.edu/policy/1025) and [Policy 1026](https://www.vt.edu/policy/1026).

For additional information and to file a discrimination or harassment complaint, including Title IX, contact the Associate Vice President for Equity and Accessibility, Virginia Tech, North End Center, 300 Turner St., Blacksburg, VA 24061, Phone: 540-231-2010.
Virginia Tech Police Department. We encourage victims of sexual violence, including rape, sexual assault, sexual battery, stalking, and dating and domestic violence, to exercise their right to file a complaint with the Virginia Tech Police Department if the crime occurs on Virginia Tech’s property, regardless of the status of the complainant. For crimes occurring away from Virginia Tech’s property, victims may contact the local law enforcement in the appropriate jurisdiction.

2.19.4 Campus and Workplace Violence Prevention

The university’s commitment to preventing campus and workplace violence is specified in Policy 5616, “Campus and Workplace Violence Prevention Policy.” The policy lists prohibited conduct and sanctions for any policy violations, and prohibits carrying, maintaining, or storing a firearm, ammunition, or weapon on any university facility and for all events on campus where people congregate in any public or outdoor areas, even if the owner has a valid permit, when it is not required by the individual’s job or in accordance with the relevant university policies for student life.

The policy also describes prevention, risk assessment, and response practices implemented, such as establishment of a Campus and Workplace Violence Prevention Committee, and a Threat Assessment Team, and appropriate procedures for incident reporting.

2.19.5 Health and Safety

Policy 1005, “Health and Safety Policy,” describes the university’s commitment to a healthy and safe campus and documents roles and responsibilities to help prevent accidents, illnesses and injuries; increase safety awareness; meet requirements of environmental, occupational health, and safety laws and regulations; reduce institutional liability; and establish safety responsibilities for members of the university community and visitors to university-owned or occupied property.

2.19.6 Safe Academic and Work Environment

The university is committed to ensuring the safety and security of employees, students, visitors, and volunteers. Employees are responsible for compliance with environmental, health and safety laws and regulations and should make every effort to maintain a safe and healthy working environment. In the interest of promoting a safe and secure working, learning, and living environment for employees, students, and visitors, the university developed Policy 5615, “University Safety and Security.” As part of this policy, the university established offices specifically charged with security and safety responsibilities, created a committee structure, the University Safety and Security Policy Committee designates the Incident Leadership Team, to provide general oversight and leadership for the university’s security, safety, and violence prevention efforts, designates the University Safety and Security Committee as an advisory group on safety and security practices and concerns, and lists responsibilities for department head, chair, or school director, and individuals in supervisory roles.
2.19.7 Policy on Misconduct in Research
The university endorses high ethical standards in conducting research to ensure public trust in the integrity of research results. The university recognizes that deception in research erodes the credibility of an institution and the confidence of those who might benefit from the research. The university takes all reasonable and practical steps to foster a research environment that promotes the responsible conduct of research and research training (and activities related to that research or research training), discourages research misconduct, and deals promptly with allegations or evidence of possible research misconduct. The Research Integrity Office offers additional information. Chapter 10 of this handbook includes additional information and procedures regarding misconduct in research.

2.19.8 Statement of Principles of Ethical Behavior
The faculty of Virginia Tech believe that academic freedom is essential to attain our missions as scholars and teachers. We also recognize and accept the responsibilities attendant to academic freedom as fundamental to a scholarly community. We believe we must exercise our rights with due regard to the rights of others and we must meet our obligations fully as faculty members. We hold ourselves accountable to ensure that the faculty of Virginia Tech is recognized for its commitment and leadership to pursue knowledge, to promote the free expression of ideas, to teach our students, and to serve the citizens of Virginia.

Scholarship: Guided by a deep conviction of the worth and dignity of the advancement of knowledge, we recognize our primary responsibility to our disciplines is to seek and to state the truth. To this end, we devote our energies to developing and improving our scholarly competence. We accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. We practice intellectual honesty and do not compromise our freedom of inquiry. At Virginia Tech, self-plagiarism is considered unethical behavior. Self-plagiarism occurs when authors reuse substantial parts of their own published work as new without providing appropriate references to the previous work if this reuse deviates materially from standard practice in the field.

Students: We encourage the free pursuit of learning in our students and exemplify the best scholarly and ethical standards of our disciplines. We value and promote differences among students and respect students as individuals and serve as their intellectual guides and counselors. We make every reasonable effort to foster honest academic conduct and to assure that our evaluations of students reflect each student’s true merit. We respect the confidential nature of the relationship between professors and students. We avoid any exploitation, harassment, or discriminatory treatment of students and acknowledge significant academic or scholarly assistance from students. We do not engage in any romantic or sexual relationships with students whom we are in a position to evaluate by virtue of our teaching, research, or administrative responsibilities.
**Instruction:** We strive to be fair, compassionate, and effective teachers. We prepare classes adequately, present materials fairly, and make ourselves available to students for consultation and advice. We avoid bias and we respect diverse points of view.

**Colleagues:** We accept our obligations that derive from common membership in the faculty of Virginia Tech. We relate to colleagues and other university personnel in a responsible, professional, and civil manner, avoiding behaviors and actions that purposefully, consistently, and unnecessarily tend to disrupt, impede, harass, or abuse them in the performance of their assigned tasks and professional duties. We do not discriminate against colleagues, nor do we engage in romantic or sexual relationships with employees whom we are in a position to supervise or evaluate. We respect and defend free inquiry by all. In the exchange of criticisms and ideas, we show respect for the opinions of others, acknowledge significant academic or scholarly assistance, and strive to be open-minded and fair in our professional judgments. We accept our share of faculty responsibilities for the governance of Virginia Tech and take due care in the discharge of those responsibilities.

**University:** We seek above all to be effective in our assigned responsibilities. We give paramount importance to these responsibilities in determining the amount and character of work done outside of Virginia Tech. Although we observe the Faculty Handbook, we maintain our right to criticize and seek revision of university policy.

**Community:** As members of the larger community, we have the same rights and obligations as other citizens. We measure the importance of these rights and obligations in light of our responsibilities to our disciplines, to our professions, to our students, and to Virginia Tech. When we speak or act as private persons, we avoid creating the impression of speaking or acting for Virginia Tech. As citizens engaged in a profession that depends upon freedom for its welfare and integrity, we have a particular obligation to promote conditions of free inquiry and of further public understanding of academic freedom.

### 2.20 Allegations of Unprofessional or Unethical Conduct
The Faculty Senate Committee on Ethics receives, investigates, and considers allegations of unprofessional or unethical conduct for all types of faculty members, except administrative and professional faculty members. If the committee finds a serious breach of ethical conduct that leads to a recommendation for a severe sanction or dismissal for cause, the procedures for “Imposition of a Severe Sanction or Dismissal for Cause,” are followed in implementing such sanctions as described in chapter three of this handbook.

When the allegation is against an administrative or professional (A/P) faculty member without tenure or continued appointment, a special panel of five administrative and/or professional faculty members is selected to review the charges and hear the case, if appropriate. The chair of the Commission on Administrative and Professional Faculty Affairs (CAPFA) chooses panel members from among the A/P faculty at large. The CAPFA chair may invite an experienced member of the
Faculty Senate Committee on Ethics to serve as a non-voting member of the panel. All potential members must disclose possible conflicts of interest concerning their participation in the case.

2.21 Faculty Senate Standing Committees on Ethics, Reconciliation, and Review
External Faculty Senate Standing Committees serve the needs of the faculty as a whole, report to the vice president of the senate and are summarized in the Faculty Senate Constitution. See Faculty Senate website for information.

2.21.1 Faculty Senate Committee on Ethics
The Committee on Faculty Ethics receives and considers charges of violations of faculty ethics that involve the abuse of professional responsibilities as outlined in the principles of ethical behavior as prescribed in the Faculty Handbook. It is the venue for the examination of possible violations of the standards for research, teaching, and appropriate behavior with colleagues and students that do not cross legal thresholds, such as behavior that is offensive but does not meet the standard for discrimination/harassment. The committee has an investigatory and reporting role.

2.21.2 Faculty Senate Committee on Reconciliation
The Committee on Reconciliation offers advice and counsel to faculty members who seek it, particularly in relation to disputes with immediate supervisors or university administrators. The committee has a designated role within the grievance process to assist in resolving disputes that are eligible for consideration as a grievance if so requested by the faculty member, and can help facilitate conversations between faculty members and their supervisors with the goal of reaching mutually agreeable solutions. Faculty members may also consult the committee regarding serious disagreements with immediate supervisors or other university administrators over issues that are not eligible for consideration within the grievance process. In contrast to the Faculty Review Committee, the Committee on Reconciliation operates informally as a facilitator, similar to the University Ombuds Office. It meets with the respective parties to determine if there is common ground for resolution of the matter, facilitating a solution that is agreeable to the principal parties and consistent with university policy and practice.

2.21.3 Faculty Senate Review Committee
The Faculty Review Committee oversees the movement of grievances through the grievance process as prescribed in the Faculty Handbook’s grievance process, provides faculty review of faculty grievances that are not resolved at the college level, and considers appeals in the promotion and tenure or continued appointment process when the provost does not concur with a positive recommendation from the University Committee on Promotion and Tenure or the University Committee on Promotion and Continued Appointment. The committee has an investigatory and reporting role.
2.22 Consulting Activities
Consult the Conflicts of Interest and Commitment website for information. The university recognizes that consulting work for external entities enhances the professional development of faculty members and provides channels for communication and outreach not otherwise available.

This policy differentiates between external consulting and professional service activities as follows:

**External consulting** is a professional activity related to an individual’s area of expertise, where that individual generally receives compensation from a third party and is not acting as an agent of the university. Consulting may take many forms, but the guiding principle is that, in consulting, a person agrees to use their professional capabilities to further the agenda of a third party in return for an immediate or prospective gain. Even in cases without compensation, advance approval is required to document the proposed external activities and to ensure they do not constitute a conflict of commitment, or a conflict of interest where gifts of equipment or donations to the faculty member’s laboratory may substitute for direct compensation. Provisions of the consulting policy also apply to external activities where the faculty member has a direct relationship to the external entity, such as personal or family ownership of the company. Consulting does not involve becoming an employee of the external entity.

**Professional service** includes service on national commissions, on boards of governmental agencies, on granting agency peer review panels, on visiting committees or advisory groups to other universities, on professional associations, and on analogous bodies. Professional service activities may involve a token honorarium and/or expense reimbursement. These activities are considered part of the faculty member’s institutional responsibilities for participation in the larger scholarly academic community. Participation in external professional service activities may require supervisor approval depending on departmental practice and expectations of the position. Annual leave is not required.

Consulting arrangements may be entered into by faculty members during periods of university employment provided that such advice is not part of their usual responsibility to the university and is not usually provided through Virginia Cooperative Extension, outreach programs, or other component of the university; the work undertaken contributes to their professional development; the work can be accomplished without interference with their assigned duties and does not ordinarily involve more than one day per week and does not exceed five days in any five-week period; university resources and facilities are not involved (except as described in Policy 5000, “University Facilities Usage and Events,” and in chapter two, “Use of University Facilities”).

All consulting activities, including those that do not exceed five days in any five-week period, must be documented and approved in writing in advance of the consulting activities. Approval is granted by the department head, chair, school director, or supervisor, and the dean, vice president, or senior management area as appropriate.
Faculty members must disclose and receive approval for all consulting activities including activities that occur within the one-day per week through five-days per five-week period. Department head, chair, school director, or supervisor approval is documented using the Disclosure and Management System on the website of the Office of the Vice President for Research and Innovation.

Faculty members whose appointments are funded in whole or in part by sponsored projects may participate in consulting when consistent with their responsibilities and in compliance with federal contract compliance and state regulations. University time available for consulting is in proportion to base salary funding from non-sponsored sources. With supervisor approval, additional consulting days may be charged to annual leave.

Consulting work should involve advisory services based on a faculty member's store of knowledge and experience in contrast to programs of research, development, or testing, which may interfere with the performance of the faculty member's duties or conflict with university interests.

In any faculty consulting arrangement, the name of the university must not be used in connection with any product or service developed as a result of such consulting nor in any connection arising out of the arrangement.

Paid consulting by faculty members is not permitted for work done for a group within the university. For example, if a faculty member advises or assists the principal investigator on a grant, there shall be no pay for the services. Such consulting is considered part of the usual duties of faculty members. Faculty members may be paid for participation in non-credit instruction or professional development offered through appropriate university units, in accordance with overload payment policies in the Faculty Handbook.

When a faculty member testifies as an expert witness, the following conditions apply: a disclaimer is given in court indicating that the faculty member is speaking as a professional and not as a representative of the university; when a faculty member is under subpoena, the university civil leave policies apply; and a faculty member may not testify in civil suits involving the Commonwealth of Virginia, except under subpoena.

Consult Policy 5000, “University Facilities Usage and Event Approval” for information. Except under the provisions specified in that policy, faculty members are not allowed to use university resources in conjunction with consulting or otherwise for private gain. This includes the parallel use of university facilities associated with consulting activities, i.e., when a faculty member is engaged in authorized consulting activities, the consulting employer may not enter into an agreement to use university resources for any purpose related to the consulting activity. Instead, when significant resources of the university are required, the employer may request that an agreement, grant, or contract be drawn up with the university that provides the necessary services, including Human Resources. The faculty member carries out the duties of the agreement as part of their assigned university duties. Because University Libraries facilities are
made available to the public, their use in consulting is not regarded as being in contravention of this policy.

Because of the university’s land-grant mission, it may be in the best interest of the university to impose some additional restrictions on the consulting activity of the faculty of one or more of the colleges. Therefore, an academic dean, after consulting with their faculty, may recommend to the provost that the faculty of that college need to satisfy additional requirements for consulting approval. The provost, after consulting with the Commission on Faculty Affairs, and with the approval of the president and the Board of Visitors, may require that the faculty of the affected college satisfy such additional requirements.

Oversight of faculty consulting is a responsibility of the department head, chair, school director, or supervisor and other relevant administrative officers of the university so that a reasonable and appropriate level of external activities is maintained, by the faculty member and usual duties are not neglected.

A consulting request must be approved by the department head, chair, school director, or supervisor and dean and submitted through the Disclosure and Management System available on the website maintained by the Office of Research and Innovation.

Approval of consulting or other external activities for faculty members holding nine-month appointments is not necessary during the summer unless there is concern about conflict of interest, or the university employs the faculty member during the consulting period. When the university employs the faculty member in the summer months, university and college consulting policies apply.

Setting the consulting fee is the prerogative of the faculty member. The actual or estimated consulting income is reported on the request form to allow reviewers a full assessment of potential financial conflict of interest. Income received for consulting work is not considered when faculty members are evaluated for annual merit salary increases.

2.22.1 Consulting Activities for Virginia Cooperative Extension Faculty

Consistent with the university’s policy and procedures on consulting activities, additional restrictions may be imposed on the consulting activity of Virginia Cooperative Extension faculty members. These restrictions are imposed to give further assurance that consulting approval is not granted for assistance, that is the usual responsibility of faculty members within Extension. Information on consulting activities for Extension faculty is in chapter 14 of this handbook.

2.23 Virginia Tech Continuing and Professional Education Technical Assistance Program (TAP)

Contact Continuing and Professional Education, Technical Assistance Program (TAP) for information. Consulting agreements may be negotiated by the individual faculty member and the sponsoring organization, not involving university participation in any way, or they may be negotiated as part of a technical assistance agreement through the university. The technical
assistance program was created as part of the university’s outreach mission to respond to requests from business and industry for the application of knowledge to a specific process-related or technical situation.

Proposals for technical assistance are small scale (generally less than $25,000), short-term, require a rapid response, and do not involve the generation of new knowledge or the development of intellectual property. (Projects involving the generation of knowledge and/or faculty buyouts must be handled as sponsored projects.) Continuing and Professional Education negotiates and administers contracts for technical assistance.

Technical assistance contracts typically identify the faculty member who will provide the needed expertise, the amount of time to be devoted to the project, the scope and estimated cost of the work, timelines for the consulting or project, and any required deliverables.

Payment to the faculty member for such consulting is negotiable and provided through university payroll. Faculty earnings for technical assistance agreements must be within the overall limitation of 33\(\frac{1}{3}\)\% of annual income during the academic year for nine-month faculty members; summer earnings from all university sources are also capped at an additional 33\(\frac{1}{3}\)\% for academic year faculty members. Faculty members on calendar year appointments may earn 33\(\frac{1}{3}\)\% of annual income during the fiscal year. The earnings limitation is for payments from all university sources, including approved non-credit Continuing and Professional Education activities. Similarly, total time involved in technical assistance, other approved consulting, and non-credit teaching must be within the constraints of this policy.

For further information on technical assistance agreements, contact Continuing and Professional Education. A technical assistance agreement, completed and approved by the department head, chair, or school director, or supervisor and dean, substitutes for approval of a Request to Engage in External Activity Form 13010 usually required for approval of consulting.

### 2.24 Outside Employment and External Activities Other Than Consulting

Prior approval of the supervisor and relevant university official is required for outside employment that does not meet the definition or intent of the consulting policy. Approval is contingent on assurance that the primary commitment to Virginia Tech will be fulfilled and that the proposed employment does not constitute a conflict of interest. Release time from university work is not usually available for paid activities that are primarily personal in nature, do not enhance the faculty member’s professional skills, or that are not a potential benefit to the university. The faculty member must use pre-approved leave, or leave without pay, in cases where outside personal work creates a potential conflict with university responsibilities.

### 2.25 Political Activities

Candidacy for political office, political service on county and state commissions, and active participation in political campaigns are recognized as individual freedoms of each faculty member.
The only restriction placed upon such activities is that they do not interfere with the faculty member’s academic responsibilities. Faculty members must take care to ensure that their positions in the university are kept separate from their political activities; it must be clear that they act as citizens in such activities, not as representatives of the university. The university encourages interest in civic affairs. However, neither political nor community activities are considered in the annual merit evaluation of a faculty member. If income is obtained for such activities, approval must be first obtained under consulting policies.

2.26 Conflicts of Commitment

A conflict of commitment arises when the external activities of a faculty member are so demanding of time, attention, or focus that they interfere with the individual’s responsibilities to the university.

Nothing in this policy statement shall be interpreted as interfering with the academic freedom of faculty members, nor with their primary responsibility to direct their own research.

Faculty members have traditionally been allowed wide latitude in defining their professional agendas and their degree of involvement in external activities when those activities advance the mission or prestige of the university. The university encourages active participation by faculty members in external activities that are integral to and/or enhance their professional skills and standing or that constitute substantive outreach and public service activities.

Such activities are usually expected of faculty members to promote academic development, and to enrich their contributions to the institution, their profession, the state, and national and world societies. Additionally, Virginia Tech encourages entrepreneurial activities by faculty, recognizing that such activities are critical to promoting economic development and meeting society’s needs, if participation in those activities complies with federal and state laws and policies, the Virginia Tech conflicts of interest policy, and these guidelines.

Faculty members should make the fulfillment of their responsibilities to the university the focal point of their professional effort. They are expected to arrange their external activities so that they do not impede or compromise their university duties and responsibilities. Responsibility for ensuring commitment to the university and for reporting activities that might be perceived as compromising that commitment rests with each faculty member in consultation with the department head, chair school director, or supervisor and dean, or relevant senior manager.

The university recognizes that the balance of external activities varies among individuals, from discipline to discipline, and from one type of proposed activity to another. That balance is affected by unit goals and changing needs for teaching, research, creative and artistic activities, Extension, service, and outreach. Primary duties and responsibilities may vary from year to year for individual faculty members. Undergraduate and graduate enrollment demands, faculty-staffing levels, and changes in the nature and scope of outreach, teaching, and research within the unit may affect the primary duties and responsibilities of individual faculty. The primary judgment as to whether a faculty member is meeting professional responsibilities to the unit rests with the department head, chair, school director, or supervisor and dean, or relevant senior manager.
If a faculty member is committed to engaging in an external activity that compromises their ability to meet university responsibilities, a leave of absence or a reduction in their percentage of employment may be appropriate or necessary. Approval of a leave request or change in appointment depends on the needs of the unit and college and protection of university interests.

If a department head, chair, school director and/or dean, observes that a faculty member appears to not be fulfilling their primary responsibilities to the university, the administrator shall immediately address these concerns with the faculty member to ensure that these responsibilities are adequately met. Failure to meet primary departmental and university obligations is handled through established university procedures appropriate to the situation (for example, formal reprimand, non-reappointment, post-tenure review, or dismissal for cause).

2.27 Conflicts of Interest
Consult Policy 13010, “Conflict of Interest” for information. A conflict of interest describes a situation in which an individual’s professional judgment is at risk of being biased by a secondary interest, resulting in possible harm or the implication of personal gain. Having a COI does not mean the person is biased or has done something wrong – the term refers to the risk of bias, whether or not bias or harm have actually occurred. A COI assessment is a factual evaluation based on the existence of certain parameters that could lead to biased judgement or inappropriate personal gain in university operations such as research, contracting, or purchasing. State law and federal research regulations allow for certain conflicts of interest when specified conditions are met, as outlined in this policy.

Virginia Tech recognizes the value and necessity of engaging with external entities to translate research into beneficial products. Transparency and appropriate oversight of relationships with external entities promotes and safeguards the interests and reputation of Virginia Tech and its employees. Transparency and appropriate oversight also assure research sponsors, participants, and the broader public that possible personal gain has not influenced or biased research or decision-making around other university activities.

Policy 13010 “Conflict of Interest” summarizes professional conduct standards that relate to objectivity and provides the basic framework for disclosing financial interests to ensure university-wide compliance with COI directives. It also establishes standards that provide a reasonable expectation that the design, conduct, and reporting of research will be free from bias resulting from an Investigator’s financial conflict of interest (FCOI).

Because financial interests might stem from an additional commitment other than one’s Virginia Tech employment, this policy must be read in conjunction with section 2.22 Consulting Activities, and section 2.24 Outside Employment and External Activities Other than Consulting, and Policy 4070, Additional/Outside Employment Policy for Salaried Classified and University Staff.”

Policy 13010 Conflicts of Interest primarily focuses on the disclosure of financial interests, conflicts of interest can be present in many aspects of university business; therefore, this policy should be read in conjunction with other relevant policies related to professional conduct.
standards and objectivity, including the university's Statement of Business Conduct Standards. All employees must acknowledge receipt and agree to adhere to the standards in accordance with established university policies and procedures. See the Conflicts of Interest and Commitment website maintained by the Research Conflict of Interest Program for a list of other Virginia Tech policies that touch on conflicts of interest more broadly.

**2.27.1 Conflicts of Interest Involving Spouses, Immediate Family Members**

As a matter of state law, employees must avoid being in a position of authority over a spouse or a member of the immediate family who is also employed by the university where the spouse or family member earns $5,000 or more during a fiscal year. An employee and their spouse or another member of the immediate family may both be employed by the university so long as the employee does not exercise any control over the employment conditions and activities (such as initial appointment, retention, promotion, tenure, salary, travel approval, leave of absence, or grievance review) of the spouse or immediate family member and is not in a position to influence those activities. Proposed exceptions and alternate reporting relationships are reviewed and approved by the executive vice president and provost (or relevant vice president for a non-academic appointment) prior to submission to the Board of Visitors for approval.

**2.27.2 Participation of and Payment to Students**

Policy 13010 outlines Financial Conflict of Interest Management to Promote Objectivity in Research. The management plan is designed to mitigate the conflict, promote research objectivity, and provide academic and professional protection for graduate and professional students, and postdoctoral scholars respectively (see section 3.2.2.2 of Policy 13010).

The participation of students in projects involving faculty-owners should be given particularly careful consideration. Work for faculty-owned companies or in faculty consulting provides valuable experience for undergraduate and graduate students. Nevertheless, such opportunities come with some risk that the student may be diverted from their educational goals or the perception that students are being used primarily for the benefit of those companies. For example, a faculty member who pressures a student to complete work related to the faculty member’s company could easily affect the student’s completion of graduate studies in a timely and appropriate way, thereby putting the faculty member’s interest in obtaining proprietary results ahead of the student’s academic or scholarly research activities. The concern is similar for the involvement of students in faculty consulting or other external activities. The risks and benefits of such involvement must be carefully weighed by departmental administrators responsible for evaluating the disclosure and approving the request, particularly where the involvement may be longer term and/or more time-consuming.

Where approved, students may be paid for involvement in faculty-owner activities in either of two ways. Remuneration may be in the form of an assistantship and tuition, or wages funded by a sponsored project contracted to the university from the business or organization with which the faculty-owner is associated. The assistantship or wages are remuneration for work only within the
agreed scope of that funded project and for no other tasks undertaken for the benefit of the external organization. This is no different from any other sponsored project that involves graduate research assistants or wage-earning students. In these circumstances, assistantships are constrained to payments within the scales published by the university. Alternatively, the company or agency might engage students directly as employees. This is the situation experienced by most off-campus and part-time graduate students. However, it is envisaged that in the case of faculty-owned businesses, students will spend time in university facilities when not engaged in direct work for the company at the company site or in an off-campus location. (Students may not do work on behalf of the company in university facilities.) Remuneration is not limited to university scales when students are employed directly by the company and may include the cost of tuition.

Students who will be employed by either of the two methods of payment and have their research supervised by the faculty-owner must sign an agreement acknowledging that they have been informed by their graduate program director or department head, chair, or school director, or supervisor, and associate dean about the source of their funding, the potential concerns associated with conflict of interest, and their channels for redress if needed.

Any work done on behalf of the faculty-owner’s company in university facilities must be done in accordance with sponsored program guidelines and/or Policy 5000 “University Facilities Usage and Events Approval.”

2.27.3 Disclosure Requirements for All Employees

As outlined in Policy 13010 employees must disclose to Virginia Tech when they or an immediate family member have a financial interest in a contract, a transaction, such as a purchase, or sponsored project to which Virginia Tech is a party prior to the time at which the contract is entered into. This is an employee-initiated disclosure.

Disclosure to the Commonwealth of Virginia is required by Virginia Tech for certain employees or when they have an approved exception for a financial interest in a business that is a party to a contract/transaction with Virginia Tech. See section 2.27.3.3.

2.27.3.1 Disclosure Requirements for Research Investigators

Investigators on sponsored research projects must disclose financial interests at the time of proposal submission and throughout the life of the award, as outlined in Policy 13010 for the university, through its designated institutional official, to identify and manage financial conflicts of interest to promote objectivity in research. The director of the Research Conflict of Interest Program (or designee) is the designated institutional official responsible for making financial conflicts of interest determinations.

Section 3.2.2.2 of Policy 13010 outlines Financial Conflict of Interest (FCOI) Management to Promote Objectivity in Research. If the designated institutional official determines that an FCOI exists, they will develop a plan for managing the FCOI that must be adopted prior to the start of the research. If an FCOI is determined to exist when the research is ongoing, sponsored project
funding might be frozen until a management plan is accepted by the Investigator. The designated institutional official will develop the management plan based on state and federal requirements and input from the MPAC, the Investigator with an FCOI, and other relevant stakeholders, as needed. The management plan is designed to mitigate the conflict, promote research objectivity, and provide academic and professional protection of graduate students and postdoctoral scholars, respectively. Mitigations will be based on a risk assessment of the COI scenario.

2.27.3.2 Training on Disclosures for Research Investigators
Investigators must complete research COI training before engaging in sponsored research, at least every four years. Although the four-year training requirement is Public Health Service (PHS)-specific, Virginia Tech applies the same disclosure and management principles to all Investigators engaged in sponsored research, regardless of sponsor; therefore, the training requirement applies to all Investigators on sponsored research projects. Investigators will be notified when their training requirement is due.

2.27.3.3 Disclosure Requirements to the Commonwealth of Virginia
Chapter 31 of Title 2.2 of the Code of Virginia outlines the Commonwealth’s State and Local Government Conflict of Interests Act (the Act). Disclosure to the Commonwealth is required by Virginia Tech employees when they 1) are designated by Human Resources as being in a position of trust, or 2) have an approved exception for a financial interest in a business that is party to a contract/transaction with Virginia Tech. Disclosure is required annually on the form prescribed by the Virginia Conflict of Interest and Ethics Advisory Council. See Policy 13010 and the Act for additional information.

2.27.3.4 Training on Disclosures to the Commonwealth for Certain Employees
Chapter 31 of Title 2.2 of the Code of Virginia outlines the Commonwealth’s State and Local Government Conflict of Interests Act (the Act) requires that certain Virginia Tech employees must take training and disclose financial interests to the Commonwealth of Virginia that they or an immediate family member hold. Training for Statement of Economic Interests (SOEI) filers is provided by the Virginia Conflict of Interest and Ethics Advisory Council and is required initially and every two years. Note that this requirement is in addition to the Virginia Tech-specific COI training required for Investigators on sponsored research projects. SOEI filers must continue to disclose financial interests to Virginia Tech and take research COI training, as needed.

2.28 Workplace Policies
The following are summaries of selected, frequently referenced university policies and procedures pertaining to faculty. These summaries are intended to notify the reader of the existence of a formal policy and where to locate more information. The university policy library is the official repository of university policies.
2.28.1 Indemnity
All university employees, while acting within the course and scope of their employment, are covered by the commonwealth’s insurance plan, and will be defended by the Office of the Attorney General in actions brought against them. Questions concerning any specific situation should be addressed to the Office of the University Legal Counsel.

2.28.2 Standards for Acceptable Use of Information Systems and Digital Media Communications Tools
Consult Policy 7000, “Acceptable Use and Administration of Computer and Communication Systems” governs acceptable use of information systems at Virginia Tech. University employees may not use university systems for partisan political purposes including the use of electronic mail to circulate advertising for political candidates.

Access to computer systems and networks owned or operated by Virginia Tech imposes certain responsibilities and obligations and is granted subject to university policies, and local, state, and federal laws. Acceptable use is always ethical, reflects academic honesty, and shows restraint in the consumption of shared resources. It demonstrates respect for intellectual property, ownership of data, system security mechanisms, and individuals’ rights to privacy and to freedom from intimidation, harassment, and unwarranted annoyance.

Policy 7000 applies to the use of any computing or communications device, regardless of ownership, while connected to the university network, and the use of any information technology services provided by or through the university. Every user of these systems and services is expected to know and follow this policy. Refer to Acceptable Use of Information Systems at Virginia Tech that details what are acceptable and not acceptable use of university resources. In making acceptable use of resources, you must NOT, if you are an employee, use University systems for partisan political purposes, such as using electronic mail to circulate advertising for political candidates.

University entities or individuals may, as needed, use digital communication tools to communicate with groups of university constituents on matters of official university business that require immediate notification or that are of a sufficient level of importance to warrant special attention. Any such group communications to employees, students, or others must be compliant with all regulations and university policies and should be limited to those matters that affect the majority of the defined group. Text messaging may be used but must not be the sole means of communicating an essential message or announcement. The text message must be supplemented by some other means of communication, e.g. an email or paper notice to ensure that all intended recipients, including those without a mobile phone, receive the message.

2.28.3 Privacy of Electronic Communications
Department of Human Resource Management Policy 1.75 of the Commonwealth of Virginia states, “no user shall have any expectation of privacy in any message, file, image or data created, sent, retrieved, received, or posted in the use of the commonwealth’s equipment and/or access.”
Policy 7035, “Privacy Policy for Employees’ Electronic Communications,” defines the balance between the university’s business needs and respect for employees’ freedom of inquiry. The policy guides the actions of managers in certain situations and clarifies expectations for all employees about when and how the university may access employees’ communications.

Virginia Tech requires all employees to obey applicable policies and laws in the use of any computing device, regardless of ownership, while connected to the university network. (See Policy 7010, "Policy for Securing Technology Resources and Services.")

The university does not routinely monitor or access the content of electronic communications, computer files, or voicemail of its employees, whether stored on university equipment or in transit on the university network. Content of employees’ electronic communications or files are not accessed during the execution of routine systems support, network performance, and related security functions.

However, monitoring or access may be necessary under certain circumstances. Legal or administrative circumstances where monitoring and/or access may occur without further authorization are communications or files required to be released by law, by orders of a court, or requested in accordance with the Virginia Freedom of Information Act; approved internal audit reviews; resolution of technical problems, emergency situations involving an imminent threat of irreparable harm to persons or property; and resources assigned to a group or publicly available to any user.

2.28.4 Social Media
Virginia Tech recognizes the value of social media platforms for a range of goals and must balance its support of social media with the preservation of Virginia Tech’s brand identity, integrity, and reputation. The university authorizes the creation and use of university social media accounts, provided their use is professional, protects the reputation and brand of the university, aligns with university priorities, and complies with other Virginia Tech policies and applicable state and federal laws and regulations, and is guided by the Virginia Tech Principles of Community. Policy 1030, “Social Media Policy”, outlines the obligations, processes, and procedures for the use of social media.

2.28.5 Crowdfunding
Generally, crowdfunding is the practice of funding a project or campaign by soliciting relatively small donations of money from a large number of people, typically via the Internet. The university’s crowdfunding website provides crowdfunding guidelines, including the application process, best practices, and team roles and responsibilities. Policy 12100, “Policy on Coordination of Private Fundraising” provides guidance on using crowdfunding.

2.28.6 Stewardship of Resources and Internal Controls
It is the university’s policy to maintain a robust system of internal controls in order to safeguard assets, identify and correct errors and irregularities in the financial records on a timely basis, and
to enhance compliance with university policies and procedures and applicable laws and regulations. The establishment, maintenance, and evaluation of an organization's system of internal controls is the responsibility of management and creates the foundation for sound business practices within an ethical environment. It is also university policy to assess the effectiveness of the system of internal controls through periodic reviews by management and the services of external and internal auditors.

Policy 3010, “Internal Controls” applies to all university faculty, staff, and wage employees, hereafter referred to as “employees.” All university employees play a key role in ensuring that the high standards of business and ethical practices and the good stewardship of university resources are adopted in the performance of their duties at Virginia Tech. The establishment of strong internal controls echoes the principles of professional and personal integrity found in the university’s Statement of Business Conduct Standards which requires all employees to be fair, ethical, and honest in all internal and external business dealings and to comply with university policies and procedures and applicable laws and regulations.

2.28.7 Use of University Facilities
Consult Policy 5000 “University Facilities Usage and Events Approval” and Policy 6362 “Policy on Continuing and Professional Education.”

The facilities of the university are intended for the use of its faculty, staff, students, and invited guests participating in university-approved programs and activities, sponsored by or under the direction of the university or one of its related agencies or approved organizations, or by other organizations outside the university. Refer to Policy 5000, “University Facilities Usage and Events Approval”, for further guidance regarding approved uses of university facilities. Policy 6362, “Policy on Continuing and Professional Education”, requires that academic colleges, centers, and administrative units designing and delivering continuing and professional educational activities, both on- and off-campus, under the auspices of the Virginia Tech brand must work through Continuing and Professional Education. This includes work conducted by faculty in Blacksburg, as well as faculty delivering continuing education programs at university locations outside Blacksburg. Alternate arrangements may be made in the case of lack of availability of appropriate space or mutual agreement between the sponsoring university entity and Continuing and Professional Education.

University facilities are to be used in a manner consistent with their intended purpose. Priority of use is given to those activities related to the mission of the university. The facilities must be used in a safe, professional manner so as not to endanger the university community or the general public. The university may restrict access to land and buildings to protect individuals, property, and equipment.

The vice president for campus planning, infrastructure, and facilities is responsible for implementing policies and procedures about university facilities, including academic buildings.
Requests for use of rooms in The Inn at Virginia Tech and Skelton Conference Center are submitted to The Inn’s space reservationist. Requests for use of the residence halls follow procedures outlined in Policy 5010 “Residential Camps, Conferences, and Workshops.”

Faculty and staff are not allowed to use university resources for private gain. However, under the following conditions, the compensated use of specialized facilities or equipment is allowed in support of approved consulting activities:

The facility or equipment must have a charge rate, established by the Controller’s Office, which reflects all direct and indirect costs associated with the use of the facility or equipment and applies to use by parties outside the university. The charge rate is applied to the actual use.

A Request to Engage in Outside Activities must be filed with the Online Disclosure and Management System specifying the facility or equipment to be used and estimating, in time or charges, the extent of the proposed use. The director, department head, chair, school director, or supervisor of the department responsible for the facility or equipment verifies, on the Request to Engage in External Activity Form 13010A, that the proposed use does not interfere with, or have priority over, anticipated university use of the facility or equipment.

In approving the Request to Engage in Outside Activities, the faculty member’s department head, chair, school director, or supervisor and dean or vice president (and provost, when appropriate) determine that the consultation is of substantial professional merit and presents no conflict of interest in the use of the facilities or equipment. Particular care is given to the relationship of the consultation with current or potential grants or contracts and to the possibility of unfair competition with local firms and businesses.

If an employee uses equipment of a specialized service center, the employee is charged the “commercial” or “consulting” rate, as determined by the Controller’s Office. The employee is billed based on actual use. The deposit is credited to the appropriate service center account established by the Controller’s Office.

If the faculty member uses facilities such as those of the Virginia Tech athletic department, Moss Arts Center, or Student Engagement and Campus Life venues, the employee is charged at a rate established by the Controller’s Office for such use. The deposit is made to the appropriate venue account.

For facilities other than specialized service centers, or other facilities for which a charge rate has been determined, the use of the facilities must be authorized and reimbursed at a rate determined by the collaboration of the employee’s department head, chair, school director, or supervisor and the Controller’s Office.

The use of University Libraries facilities in connection with consulting is exempt from the above regulations since those facilities are available to the public.
2.28.7.1 University Space Management
Policy 5400, “University Space Management”, which describes the formal decision-making and allocation approach to university space management, including all space and land owned or leased by the university. Through this formalized process, the university has the authority and responsibility to allocate space to specific users through organizational hierarchies for certain periods of time, to review those allocations periodically, to assess their utilization, and to reallocate as needed to support the university’s strategic goals. The policy provides principles that govern the distribution of classroom and lab space scheduling and applicable roles and responsibilities.

2.28.8 Operation of Autonomous Aircraft
Proper operation of unmanned aircraft systems (UAS) on campus and procedures for reporting any incidents is regulated in Policy 5820, “Operation of Unmanned Aircraft Systems (UAS)”. The Policy governs (i) the operation of UAS on or over University Facilities, which include the university campus and property owned, rented, leased, and controlled by the university, (ii) the operation of university-owned UAS, and (iii) the operation of UAS by university personnel for university.

2.28.9 Domestic and International Travel
Consult the website of the Office of the Controller’s Office for information. The university encourages faculty to pursue endeavors that will enhance their professional development and benefit university programs. For details on travel-related business expenses and travel reporting procedures, refer to Controller’s Office Procedures 20335A: Travel Overview. Consult Policy 1070 “Global Travel Policy”. The university strongly encourages all members of the university community who are contemplating travel abroad for education, research, or other purposes to plan well in advance and to take precautions to ensure a safe trip.

2.28.10 Use of University Letterhead
As a primary identifier of the university, letterhead should only be used for appropriate university business. As such, university letterhead is not to be used for personal business or where personal gain results. Avoid endorsements of political personages, businesses, or products when using university letterhead. Discretion is advised if correspondence on university letterhead could be construed as a university endorsement.
3.0 Employment Policies for Tenure-Track and Tenured Faculty

3.1 Faculty Ranks

3.1.1 Assistant Professor
An assistant professor is assigned teaching undergraduate courses and may be assigned responsibility for teaching graduate courses, supervising master’s theses, and dissertations, and may serve on graduate student committees. The terminal degree appropriate to the field is expected for appointment to this rank.

3.1.2 Associate Professor
In addition to the requirements for assistant professor, a person appointed as an associate professor must have demonstrated substantial professional achievements evidenced by an appropriate combination of outstanding teaching, creative scholarship, and recognized performance in Extension, outreach, University Libraries, or related academic and professional service.

3.1.3 Professor
In addition to the requirements for associate professor, appointment to the rank of professor is contingent upon national or international recognition as an outstanding scholar and educator.

3.2 Honored Faculty Appointments

3.2.1 Endowed Chairs, Professorships, and Fellowships
Each college has formal procedures for the nomination and appointment of faculty members to endowed chairs, professorships, and fellowships that include review by a college honorifics committee or promotion and tenure committee.

After review by the appropriate college committee, the dean makes recommendations to the provost for approval by the Board of Visitors. Such an appointment may continue through the active career of the professor at the university, unless it is relinquished in favor of some other honored or administrative appointment, or unless the appointment has specific term limitations regrading renewal.

The university Faculty Honorifics Committee reviews nominations of Extension and Libraries faculty to endowed chairs, professorships, and fellowships.

A donor may establish an endowed chair, professorship, or fellowship, by providing an endowment to support the salary and/or operating funds of the professor. Funding levels determine whether
the endowed position is a chair, professorship, or fellowship. Contact the Virginia Tech Foundation for further information regarding the establishment of an endowment.

3.2.2 Alumni Distinguished Professor

General conditions and definitions: The Alumni Distinguished Professorship (ADP) is a preeminent faculty appointment, reserved by the Board of Visitors for recognition of faculty members who demonstrate extraordinary accomplishments and academic citizenship through substantive scholarly contributions across all three of Virginia Tech’s mission areas of teaching, research, creative activity, and engagement. The provost, in consultation with the president and the Alumni Association, determines the number of Alumni Distinguished Professorships. There is no quota by college, department, or school.

Eligibility and criteria for selection: While no minimum number of years of service is required for eligibility, the selection committee places strong emphasis on the magnitude, character, and quality of each nominee’s scholarly accomplishments as they contribute to the global land-grant mission of the university. Nominees must have well-established outstanding records of substantive scholarly accomplishment in teaching, research or creative activities, and engagement at Virginia Tech.

Responsibilities and perquisites: Each Alumni Distinguished Professor shall continue making scholarly contributions in teaching, research, creative activities, and engagement at the same high level evident at the time of appointment. This includes continued contributions to the department or school and college, and may include contributions to other departments, schools, colleges, and units, subject to the professor’s interests and the ability of the department head, chair or school director and college dean to accommodate such latitude.

Alumni Distinguished Professors may also elect, in a given term, to divert energies from their usual activities or responsibilities to other valued scholarly pursuits appropriate to this university-level appointment. Alumni Distinguished Professors embody the university’s land-grant mission in their scholarly work and are crucial faculty ambassadors within and beyond the university community. As such, they may be called upon from time to time, individually, or as a group, to share their scholarship with university alumni or other interested groups, as well as to render special service or to offer advice to the university at large.

Each Alumni Distinguished Professor receives a base salary supplement from the endowment established by the Alumni Association and operating funds for scholarly support.

Given the high level of performance expected of this select group of faculty members, university and college administrators are cognizant of the needs of each individual Alumni Distinguished Professor for appropriate support personnel and sufficient space, within acknowledged fiscal and physical constraints.

Nomination and selection: Each academic year the provost, in consultation with the president and the Alumni Association, determines the process for if there will be one or more appointments
to the Alumni Distinguished Professor rank and, if so, issues a call to the academic deans for nominations. The deans, in turn, invite nominations from academic departments or schools. In addition, in special circumstances and in consultation with the appropriate dean, the president or the provost may nominate an eligible faculty member for consideration by the Alumni Distinguished Professor selection committee.

Screening procedures at department and college levels involve appropriate personnel or executive committees. Nomination dossiers include a current curriculum vitae, letters of nomination, from both the departmental/school and college screening committees, letters of support, and other evidence attesting to the quality of the nominee’s scholarly contributions.

The provost appoints an Alumni Distinguished Professor selection committee that includes two current Alumni Distinguished Professors, one current University Distinguished Professor, and one faculty member recommended by the Commission on Faculty Affairs. The committee reviews the nominations and makes a recommendation to the provost. The provost’s subsequent recommendation is sent through the president to the executive committee of the Virginia Tech Alumni Association’s Board of Directors for review and recommendation. The president makes the final recommendation to the Board of Visitors for approval.

The Board of Visitors confers upon an individual the rank of Alumni Distinguished Professor for a period of 10 years; the appointment may be renewed.

Renewal of appointments: An Alumni Distinguished Professor may request an appointment renewal at the end of the initial, or any subsequent, 10-year appointment period. A current curriculum vitae and five-page personal statement of accomplishments during the appointment term is requested by the Office of the Executive Vice President and Provost and is reviewed by two current ADPs. The reviewing ADPs each make a recommendation regarding reappointment to the provost, who then forwards a recommendation to the president and Alumni Association for consideration. Final reappointment recommendations are made to the Board of Visitors for its approval. Renewed appointments are also for a period of 10 years.

The president and/or provost establish the guidelines and procedures for the annual review of Alumni Distinguished Professors. They are responsible for the ADP annual evaluations.

3.2.3 University Distinguished Professor

General conditions and definitions: The University Distinguished Professorship (UDP) is a pre-eminent faculty rank bestowed by the university’s Board of Visitors upon members of the university faculty whose scholarly attainments have attracted national and/or international recognition. There is no quota by college or department.

Nomination and selection: Each academic year, the president and provost determine the process for if there will be one or more appointments to the rank of University Distinguished Professor and, if appropriate, issue a call to the academic deans for nominations. The deans, in turn, invite nominations from academic departments or schools. In addition, in special
circumstances and in consultation with the appropriate dean, the president or provost may nominate an eligible faculty member for consideration by the University Distinguished Professor selection committee.

Screening procedures at departmental, school, and college levels involve personnel or executive committees in place. Nominations are accompanied by a full dossier of relevant materials including a current curriculum vitae, letters of nomination from both the department or school and college screening committees, and letters of support and other evidence attesting to the scholarly reputation of the nominee(s).

The provost appoints a University Distinguished Professor selection committee that includes one current Alumni Distinguished Professor, two current University Distinguished Professors, and one faculty member recommended by the Commission on Faculty Affairs. The committee reviews the nominations and makes a recommendation to the president. The president makes the final judgment at the university level and, if that judgment so determines, takes the recommendation to the Board of Visitors for approval.

**Responsibilities:** The rank of University Distinguished Professor is conferred by the university and is considered a university appointment (as distinct from a department, school, or college appointment). While the professor is nominated by department, school, and college colleagues, and continues to serve the discipline and department or school of origin, the perquisites and responsibilities of each University Distinguished Professor are fixed by the university.

The president annually adjusts the salary of University Distinguished Professors after consultation with the provost and dean of the relevant college.

The sole responsibility of the University Distinguished Professors is to continue their professional engagement and development at the same high level evident at the time of appointment. They are free to define the exact nature of their work after consultation with the dean of the college and the professor’s head, chair, or school director. They are expected to engage fully with their colleagues in the governance of their departments.

At the same time, they are encouraged to teach, when invited, in other departments or schools of the university or in college or university courses (e.g., honors). They may also elect, in a given term, to devote all of their energies to research, scholarship, or Extension activities. In shaping their plans of work, the University Distinguished Professors take full cognizance of department or school, and college needs and expectations. Their principal responsibility is to serve the university by giving their talents and sharing of their competencies where, in their judgments, they are most effectively employed.

It is the university’s responsibility to provide such support as seems necessary to sustain the high level of performance expected of University Distinguished Professors.
Term: Incumbents carry the rank of University Distinguished Professor until resignation or retirement from the university, subject to the usual standard of continuous high performance. The rank is conferred only by the university Board of Visitors and is altered by that body alone, on the recommendation of the president.

3.3 Appointments with Tenure

A new faculty appointment with tenure may be made with the review and approval of the department head or chair, school director, the department promotion and tenure committee, a subcommittee of the college promotion and tenure committee appointed by the dean, the dean, a subcommittee of the university promotion and tenure committee, the provost, and the president. Ultimately, final approval rests with the Board of Visitors.

The dean forwards to the provost and president for their consideration and decision: the candidate’s application package, including cover letter, curriculum vitae, and at least two letters of reference which address the appointment of rank and tenure; documentation of the department promotion and tenure committee’s approval of rank and tenure, documentation of the college promotion and tenure subcommittee’s approval or rank and tenure, and concurrence of the department head, chair, or school director and dean with as much supporting evidence as deemed appropriate; and a brief overview of the search itself, for example, how many candidates applied, were interviewed, and the compelling case for the candidate.

With approvals by the department committee and the department head, chair, or school director, and approvals by the college subcommittee and/or dean, the provost will forward the candidate’s package to the university promotion and tenure subcommittee, which will include three faculty members who previously served on the university committee. The provost will invite faculty members who are rotating off the university committee to serve on the subcommittee and will appoint others with prior experience as necessary. The provost will receive the recommendation of the university promotion and tenure subcommittee and will make a recommendation to the president. The president makes the decision to approve and takes the final approval to the Board of Visitors.

In general, faculty recruited from a comparable university should be recommended for a position at Virginia Tech at a similar level with tenure. If the recommended appointment involves a promotion or the initial awarding of tenure, the case must be strongly justified. If an individual comes from a university with a less extensive research mission, the case must also be strongly justified.

3.3.1 Part-time Tenure-Track and Tenured Appointments

While tenure-track and tenured appointments are usually full-time, Virginia Tech recognizes the importance of allowing flexibility in the percent of employment so that faculty members can better manage the balance between their professional work and family or personal obligations over a defined period, or perhaps permanently. This policy is intended to encourage departments and schools to accommodate reasonable requests for part-time appointments; however, part-time
appointments are not an entitlement, and requests may be turned down when the faculty member and the department or school cannot agree upon a workable plan.

When conducting a search for a tenure-track appointment, departments or schools continue to advertise for full-time tenure-track or tenured positions and must have funding for a full-time hire. Advertisements include information about university policies for flexible appointments. If desired, the faculty member requests and negotiates a part-time appointment at or after the point of hire if acceptable to the department or school.

Tenure-track faculty members may request a part-time appointment only for reasons of balancing work and family such as the arrival or care of a child, the care of a family member, or for personal circumstances related to the health of the faculty member. In addition, they may request a term part-time appointment only (with specific starting and ending dates), allowing the issue to be revisited on a defined cycle. While such term appointments can be renewed throughout the probationary period, a permanent part-time appointment may not be granted until tenure is awarded.

If approved by the department head, chair, or school director and dean, and provost, tenured faculty members may request either term or permanent part-time appointments for reasons stated above, or to balance work at Virginia Tech with professional practice or significant community or public service. For example, a professor who wishes to serve as a consultant in addition to an appointment at Virginia Tech; a professor who wishes to engage in entrepreneurial activity outside of university responsibilities; or a professor who runs for public office for a limited term and wishes to reduce the workload at Virginia Tech for that period.

Part-time tenure-track and tenured appointments are either term or permanent. Term part-time appointments are in increments from one semester up to two years. During the duration of a part-time term appointment, terms of the appointment are only changed via the agreement of all parties. A term agreement must specify the date on which the faculty member is expected to return to full-time status. Renewal of a term appointment should be negotiated no less than three months before the end of the current term so that the department or school can plan accordingly. For term part-time appointments, departments and schools can use the salary savings to replace the work of the faculty member on part-time appointment.

Only the faculty member may initiate a request for conversion from full-time to part-time appointment. The reasons for the request for a change in the percentage of the appointment should be clearly stated. The department head, chair, or school director should make a careful assessment of the needs of the department or school and works with the faculty member requesting the part-time appointment to facilitate the request whenever possible. The period for which this part-time appointment is granted shall be clearly stated (renewable terms from one semester up to two years, or permanent).

The written agreement should include a careful and thorough statement of work expectations for the part-time appointment. Generally, faculty members continue to contribute to all areas of
responsibility, but with reduced expectations for accomplishment proportional to the fractional appointment. Service responsibilities for faculty members on part-time appointments are generally proportional to their appointments. Faculty members on part-time appointments are not excused from regular department, school, college, or university service because of the part-time appointments.

The written agreement for either an initial appointment or a conversion of a full-time appointment to part-time status and any subsequent renewal requires the approval of the faculty member, department head, chair, or school director, and dean, and provost.

An initial term part-time appointment, either tenured or tenure-track, may be approved to accommodate a dual career hire if funding is not immediately available to support a full-time position, or if the faculty member seeks a part-time appointment consistent with the intent of this policy. The expectation is that the subsequent reappointment, if recommended, is for a full-time position, unless the faculty member requests a renewal of the term part-time appointment in accordance with these guidelines. A part-time appointment created for a dual career hire is approved through the usual approval processes for dual career hires. (See chapter two, “Dual Career Program.”)

Faculty members on part-time appointments, whether term or permanent, retain all rights and responsibilities attendant to their appointment as a tenure-track or tenured faculty member.

3.3.1.1 Permanent Part-Time Tenured Appointments

For permanent part-time tenured appointments with no end date, a return to a full-time appointment is not guaranteed. If tenured, the faculty member remains entitled to the tenured appointment on a part-time basis only. However, an increase in the percentage of the appointment up to full-time may be renegotiated between the faculty member and department head, chair, or school director if mutually agreeable and funds are available. The department or school and the college determine the best way to cover the costs of the academic work in the case of conversion to a permanent part-time appointment.

Faculty members on part-time appointments, whether term or permanent, retain all rights and responsibilities attendant to their appointment as a tenure-track or tenured faculty member.

Part-time appointments are made for any fraction 50% or greater of a full appointment; faculty members receive proportional salary. Faculty members considering such appointments are strongly encouraged to meet with the benefits office in Human Resources to gain a clear understanding of the consequences of the change to their benefits. Office and laboratory space may be adjusted for longer term or permanent part-time appointments.

3.4 Promotion and Tenure

Eligibility for tenure consideration is limited to faculty members with regular, faculty appointments of 50 to 100% percent in an academic department in a college. Tenure is not granted to faculty members with temporary appointments or to administrative and professional faculty. Individuals with tenure who are appointed to administrative positions continue to hold tenure in those departments. Full-time administrators with appointments in academic departments and engage in teaching and research may be recommended for tenure in such departments.

Promotion in rank and the granting of tenure are based on contributions made by a faculty member to the university in the areas of teaching, research/creative activities, and service/engagement. Colleges, departments, or schools are responsible for the administration of appropriate policies and procedures for the review and recommendation for promotion and/or tenure within their units.

Faculty members being considered for promotion and/or the awarding of tenure have their dossiers reviewed at as many as three levels: (1) departmental/school committee and the head, chair, or school director; (2) college committee and the dean; and (3) the university committee and the provost.

Occasionally faculty members are evaluated for a tenured appointment during the probationary period and before the final probationary (mandatory) year. If such a case is the first attempt, there is no recourse to appeal or review of a negative decision, at whatever level it is reached, because of the certainty that the evaluation will be undertaken again within a limited time.

**Promotion and/or tenure review processes**

Once a promotion and/or tenure case has been submitted, it must proceed through the processes outlined in this chapter unless the candidate chooses to withdraw their case.

To ensure the honest discussion of promotion and/or tenure cases, all parties involved must keep the deliberations strictly confidential to the extent permitted by law. The content of conversations and the results of any votes may be discussed only with individuals with a current role in the promotion and tenure process, such as committee members or administrators. Faculty members serving on promotion and tenure committees who believe that Faculty Handbook procedures are not being followed may bring their concerns to the Faculty Senate Review Committee for a confidential review.

Although some participants in the review process may serve at more than one level - for example a departmental/school committee member may also serve on the college committee - participants may only vote once on a case. A faculty member may not serve on any promotion and tenure committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Each department/school and college will maintain and make available on-line promotion and/or tenure guidelines that follow the university template and includes departmental procedures and
expectations for reappointment, progress toward promotion and/or tenure, and the evaluation of promotion and/or tenure cases. Nothing in these guidelines, procedures, and expectations shall supersede or contradict the provisions of the Faculty Handbook. If a college adopts guidelines that establish a collegewide standard for promotion and/or tenure, with the dean’s approval, departments may maintain a set of guidelines that interpret the college-wide standard within the context of the department’s disciplines and traditions. All guidelines will be approved by the faculty (through department- and/or college-level governance), the college-level committee and the dean, and the provost’s office. Revisions to these guidelines must be approved by the faculty, the college, and the provost’s office.

3.4.1 Pre-Tenure Probationary Period

The pre-tenure probationary period is a succession of regular, full- or part-time term (fixed period) appointments. Decision about tenure, if not made earlier, is made in the final year of the probationary period. The final year of the probationary period is also called a mandatory year.

Evaluations for reappointment and an eventual tenured appointment occur during the probation period. The probationary period is typically six years unless approved extensions are granted (see chapter three “Extending the Tenure Clock). The beginning of the probationary period is July 1 (calendar year CY) or August 10 (academic year AY) of the calendar year in which the faculty member’s initial full-time appointment starts, regardless of the month in which employment begins. The probationary period for faculty members who start work in the spring semester begins the following fall even though the spring contract period officially begins December 25.

Up to three years of appropriate service at other accredited four-year colleges and universities may be credited toward the six-year probationary period, as specified in chapter three, “Guidelines for the Calculation of Prior Service.”

The initial appointment for assistant professors, associate professors, and professors employed without tenure is ordinarily a period of no less than two years. Multiple-year reappointment may be subsequently recommended.

A faculty member who wishes to request a leave of absence during their probationary period should consult with their department head, chair, or school director about the effect of the leave on the probationary period, taking into account the professional development that the leave promises. The request for leave should address this matter. The provost’s approval of the request specifies whether the leave is to be included in the probationary period.

If the tenure decision made in the final year is negative, a one-year terminal appointment is offered.

Probationary Period for Part time tenure-track faculty

Pre-tenure faculty members may request a term part-time appointment as described in chapter three, “Part-Time Tenure-Track and Tenured Appointments,” for reasons of balancing work and
family or personal health issues. In such cases, the probationary period is extended proportionately. For example, two years of service at 50% percent count as one year of full-time service. The term appointment may be renewed. A permanent part-time appointment may be requested and granted following the award of tenure.

In determining the final tenure review year for those with part-time appointments, general equivalency to full-time appointments is expected, so that approximately five years of full-time equivalent service is expected prior to the final tenure review year if no tenure clock extensions are granted, six years if one year of extension is granted, and seven years if two extensions are granted. (In summing partial years of service, a total resulting in a fraction equal to or less than 0.5 is rounded down, and a fraction greater than 0.5 is rounded up.) However, review for tenure must occur no later than the tenth year of service, resulting in somewhat less full-time equivalent service (4.5 years) for a faculty member with 50% percent appointment throughout all nine probationary years prior to review. If a faculty member is denied tenure following a final year review, a one-year terminal appointment is offered.

Faculty members on part-time appointments may request a tenure clock extension in accordance with chapter three, “Probationary Period Extensions (Extending the Tenure Clock).” (Extensions are granted in one-year increments, not prorated by the part-time appointment percentage.) However, the extension is not approved if it results in a final review date beyond the tenth year.

3.4.2 Reviews of Progress Toward Promotion and/or Tenure

Under usual circumstances, departmental promotion and tenure committees review the professional progress and performance of pre-tenure faculty members two times during the probationary period, usually in their second and fourth or third and fifth years. The timing of the reviews depends upon the nature of the faculty member’s discipline and must be clearly indicated in written department policies. The terms of faculty offer (TOFO) identifies the initial appointment period. Pre-tenure reviews may be delayed if there is an approved extension as described above. Changes or variations in the standard review cycle must be documented in writing.

Reviews are substantive and thorough. At minimum, departmental promotion and tenure committees must review the faculty member’s relevant annual activities, peer evaluations of teaching, authored materials, or other artifacts of research, scholarship and/or creative activity. Promotion and tenure committees and pre-tenure faculty members should use the university’s promotion and tenure dossier format (available on the provost’s website) to organize and present information for review.

The pre-tenure reviews should analyze the faculty member’s progress toward promotion and/or tenure and offer guidance regarding future activities and plans. All reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for their departmental file. In addition, the promotion and tenure committee chair and the department head, chair, or school director meet with the faculty member to discuss the review and recommendations. Faculty members are encouraged to seek guidance and mentoring from senior colleagues and the
department head, chair, or school director. Pre-tenure faculty members bear responsibility for understanding and meeting departmental or school expectations for promotion and/or tenure.

In the fall semester prior to applying for tenure in a non-mandatory year, a candidate must inform the head or chair of their intention to apply, thereby giving the department time to conduct an additional review of the candidate’s progress, if such a review is deemed necessary. Each department or school determines the extent of this review.

**Reviews for Part time TT**

The initial review for a part-time faculty member in the probationary period should occur no later than the third year of service (regardless of percentage of employment) to give early feedback on their progress. At least two reviews should be conducted for part-time faculty members during their probationary period; more are recommended. The anticipated schedule for such reviews for reappointment and for the final year (mandatory) review for tenure should be documented in writing as part of the agreement for the part-time appointment. Changes should be agreed upon and documented by the faculty member and department.

**Review of progress toward promotion to professor:** At least one review of progress toward promotion to professor should be conducted three to five years after promotion and tenure is awarded (or after tenure is awarded at the current rank of associate professor). The review—required for faculty promoted and tenured during 2012–13 and thereafter—is to be substantive and thorough. At minimum, an appropriate departmental committee (e.g., promotion and tenure committee, personnel committee, annual review committee) must review the faculty member’s relevant annual activities, peer evaluations of teaching, and authored materials since promotion.

The faculty member may wish to complete a draft promotion dossier (using the format available on the provost’s website) to organize and present information for review.

The review should be developmental and recommend future activities and plans that will position the faculty member for promotion to professor. All reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for their departmental file. In addition, the faculty member may request a meeting with the promotion and tenure committee chair and the department head or chair or school director to discuss the review and recommendations. Faculty members are encouraged to seek guidance and mentoring from senior colleagues and the department head, chair, or school director.

There is no specification for minimum or maximum time of service in the rank of associate professor with tenure. Consideration for promotion to professor may be requested of the department head or chair by a faculty member at any time. In the fall semester prior to applying for promotion to professor, a candidate must inform the head or chair of their intention to apply, thereby giving the department time to conduct a review of the candidate’s progress, if such a review is deemed necessary. Each department or school determines the extent of this review.
3.4.2.1 Extension of Pre-Tenure Probationary Period (Extending the Tenure Clock)

A one-year probationary period extension is automatically granted to either parent (or both if both parents are tenure-track faculty members) in recognition of the demands of caring for a newborn child or a child under five newly placed by adoption or foster care. The request should be made within a year of the child’s arrival in the family.

An extension of the probationary period may also be approved on a discretionary basis for other extenuating non-professional circumstances that have a significant impact on the faculty member’s productivity, such as a serious personal illness or major illness of a member of the immediate family. In rare cases, extraordinary professional circumstances not of the faculty member’s own making may be acceptable justification for a probationary period extension, for example exceptional delays in providing critical equipment, laboratory renovations, or other elements of the committed start-up package essential to establishing a viable research program.

Faculty members who benefit from this policy are expected to fulfill their usual responsibilities during the probationary period extension unless they are also granted a period of modified duties or unless other arrangements are made. (See chapter three, “Modified Duties.”)

A probationary period extension is granted in one-year increments. A cumulative total of two years is usually the maximum probationary period extension for any combination of reasons. Requests should be made within a year of the qualifying event (such as the arrival of a child in the family) or extenuating circumstance (such as an illness). The provost may approve exceptions to these limitations.

Faculty members may only be evaluated two times for promotion and tenure or continued appointment. The two evaluations may each be in a non-mandatory year, but in the case of a second non-mandatory negative decision, the faculty member will not be allowed a third evaluation. If the second evaluation results in a negative decision, a one-year terminal appointment is offered.

Requests for a probationary period extension are submitted in writing to the department head, chair, or school director. (A form is available on the provost’s website.) Approval is automatic for new parents. Documentation of medical reasons (other than childbirth or adoption) is required prior to approval; documentation of other extenuating circumstances may also be required. Approvals by the department head, chair, or school director, and dean, and provost are required for probationary period extensions. The faculty member may appeal denial of the request to the next higher level in their organizational reporting structure.

It is very important that all individuals and committees participating in tenure reviews understand that any individual who receives a probationary period extension must be held to the same standard—not a higher or more stringent one—to which other candidates without such an extension are held. This is also true in the case where the candidate’s dossier is considered on the original schedule for review. However, in this instance where an approved extension was
granted but not utilized, the tenure review is not considered mandatory and can be conducted again in the subsequent year without penalty. A probationary extension usually extends the timeframe for each subsequent review and reappointment during the probationary period. For example, an extension granted prior to the fourth-year review and reappointment typically delays that review by one year.

3.4.3 Guidelines for the Calculation of Prior Service
At the time of a faculty member’s initial appointment, the department head, chair, or school director notifies the new faculty member of their standing regarding the tenure system, including when the appointment will be considered for renewal and length of the probationary period until mandatory consideration for tenure.

Credit for prior service toward the probationary period may be granted for appropriate service in another accredited four-year college or university but only if the faculty member requests such credit. In such a request, the faculty member presents all prior service undertaken after the completion of the terminal degree appropriate to the field. A maximum of three years may be credited toward probationary service at Virginia Tech. The request must be made in writing within one year of the initial appointment. The specification of credit for prior service toward the probationary period is subject to the approval of the provost on the recommendation of the department head or chair and the dean.

3.4.4 General Expectations for Promotion and Tenure
In accordance with their assignments and as outlined in the “Virginia Tech Guidelines for Promotion and Tenure Dossier” document available from the provost’s office, candidates for promotion and/or tenure will be evaluated in the following categories: teaching, scholarship, and service. While candidates are not expected to have equal levels of commitment or equal responsibilities in all these areas, scholarship is expected of all tenure-track faculty members to a degree and in a discipline appropriate for their assignment.

Teaching (Includes advising/mentoring): Teaching is a multifaceted activity that includes formal and informal advising/mentoring. In any assessment of a candidate for promotion and/or tenure, both the quality and the quantity of the individual’s achievements in teaching and advising/mentoring should be considered. Those evaluating candidates for promotion and/or tenure should give special consideration to teaching effectiveness: faculty members must demonstrate the ability to evaluate scholarship applicable to their field and effectively teach their discipline to students. **If applicable to the candidate’s appointment, teaching may include didactic lecture classes and laboratory settings as well as integrated component of clinical practice.**

Scholarship (Includes research, creative activities, and Extension activities): Scholarship is broadly defined at Virginia Tech as the discovery, transmission, and/or application of knowledge. Scholarship takes many forms, including but not limited to research, creative activity, and Extension activities. While both the quality and quantity of a candidate’s achievements should be examined, quality should be the primary consideration. Quality should be defined largely in terms
of the work’s importance in the progress or redefinition of a field or discipline, the establishment of relationships among disciplines, the improvement of practitioner performance, or the creativity of the thought and methods behind it. To be awarded tenure, in addition to demonstrating productivity as a scholar, a candidate must provide evidence that their scholarship has enhanced their discipline, which is typically demonstrated by a growing impact nationally or internationally and the potential for greater impact in the future. Promotion to the rank of professor requires evidence of ongoing or renewed productivity and the realization of a candidate’s potential for greater impact nationally or internationally, including a description of how their scholarship has influenced their field.

Service (Includes engagement, university service, professional service, medical service, inclusion and diversity, and additional outreach and Extension activities): In the spirit of Ut Prosim (That I may serve) and the land-grant mission, faculty members are expected to use their knowledge, creativity, and expertise to improve the human condition and engage the communities of which they are a part. Candidates must demonstrate their contributions to the governance, development, and vitality of the university, their academic professions, and other relevant communities at the local, state, national, and/or international levels. The quality and effectiveness of healthcare delivery, including activities in the presence of learners and outreach and Extension activities that are not considered scholarship should also be documented and considered as service.

The unique features of every candidate’s department or school, discipline, and assignment must be considered in any evaluation for promotion and/or tenure. Each department or school (or college, when college-wide guidelines are applied) is required to have “Expectations Guidelines for Promotion and/or Tenure.” Expectations guidelines account for disciplinary and programmatic differences unique to and within the department(s) and school(s) and specify what is required of their faculty members to fulfill the general expectations outlined above. Departments or schools, or colleges should carefully assess and state the overall standards of professional performance and contribution they consider minimally acceptable for the awarding of promotion and/or tenure. Expectations must be adhered to at every stage of the promotion and/or tenure process. Colleges that adopt a college-wide set of promotion and/or tenure guidelines will ensure that the “Expectations Guidelines for Promotion and/or Tenure” account for differences within and across departments and schools.

Besides consideration of specific professional criteria, evaluation for promotion and/or tenure should include consideration of the candidate’s integrity, professional conduct, and ethics. To the extent that such considerations are factors in reaching a negative recommendation, they must be documented as part of the formal review process and included in the candidate’s notification.

Every faculty member should maintain a current curriculum vitae, with copies filed in the department and college (or equivalent academic units, as appropriate). The candidate prepares a dossier that includes an executive summary; the candidate’s statement; documentation of performance in the areas of teaching, scholarship, service, and other activities relevant to the candidate’s assignment; and a list of work under review or in progress. The dossier is completed by the inclusion of recommendation statements, both internal and external, which are added as
the dossier is reviewed at the department and college levels. For faculty who present significant interdisciplinary or multidisciplinary teaching, research, outreach, or Extension activities as part of their record, the dossier should include one evaluation letter from the director, coordinator, or leader of the interdisciplinary or multidisciplinary program.

The promotion and tenure guidelines and a standard dossier cover page are available on the provost’s website. All candidate dossiers must be submitted to the University Promotion and Tenure Committee according to the guidelines on the provost’s website. The department head or chair, or the department committee, are responsible for ensuring that the dossier conforms to these guidelines.

The criteria by which faculty with part-time appointments are evaluated for tenure are the same as the criteria by which full-time faculty are evaluated. Promotion and tenure committees consider years of full-time equivalent service when reaching decisions, excluding any approved probationary period extensions granted under the extending the tenure clock policy.

### 3.4.4.1 Departmental Evaluation for Promotion and Tenure

**Determination of Candidates:** In their promotion and/or tenure guidelines, each department will have a process for determining which candidates are to be considered for promotion and/or tenure, including those faculty members in the final year of probationary service. Candidates should be identified in the fall semester one year prior to applying for promotion and/or tenure.

**Department Committee Composition:** Each department must have one or more committees with appropriate faculty representation to evaluate candidates for promotion and tenure, tenure at the currently held rank, and promotion to professor, and make recommendations to the department head or chair. While the process of selecting committees may vary between departments, significant elements of faculty choice, as determined through departmental governance, must be part of the selection process. Some possible methods for committee selection include a combination of elected and appointed representatives; an elected slate significantly larger than the committee size, allowing the department head or chair to appoint the committee from the slate; or a committee elected by the faculty. A minimum committee size of five members is most appropriate to achieve adequate representation and effectiveness of committee operations.

**Department Committee Evaluation of Candidate:** The committee chair or department head or chair furnishes the committee with a dossier for each candidate. After evaluating each candidate’s dossier based on criteria established in the department’s promotion and/or tenure “Expectations Guidelines” the committee votes and writes a recommendation letter for each candidate, including the division of the vote. The committee’s letter contains the evaluation of the candidate’s performance in each relevant area and provides a recommendation for promotion and tenure, tenure at the currently held rank, or promotion to professor. In the absence of a unanimous recommendation by the committee, the division of the vote must be explained. A minority letter may be attached to the committee’s recommendation letter. All letters must be sent to the head or chair and become part of the dossier.
Given their responsibility to make a separate and independent recommendation on each case, department heads or chairs may not serve as members of department committees: program directors or area chairs may. A department head or chair may convene the committee, charge the committee with its responsibilities, and discuss the cases. However, after the discussions with the department head or chair, the committee must discuss the merits of the candidates, frame its recommendations, and take the final vote without the head or chair in attendance and without influence by the head or chair.

**Department Head, Chair, or School Director Evaluation of Candidate:** The head or chair evaluates each candidate’s dossier, including the committee’s letter, based on criteria established in the department’s promotion and/or tenure “Expectations Guidelines” and writes a recommendation letter for each candidate. The head or chair’s letter, which may draw from the committee’s letter or letters, contains the evaluation of the candidate’s performance in each relevant area and provides a recommendation for promotion and tenure, tenure at the currently held rank, or promotion to professor. The letter from the head or chair becomes part of the dossier and should follow the guidelines established by the provost, which are available on the provost’s website. If the recommendation for promotion and/or tenure varies from the recommendation of the department committee, the reasons for that variance must be specified, including references to the department’s “Expectations Guidelines.” The department head or chair will share their letter with the department promotion and tenure committee as soon as it is available.

In all cases of a tenure decision in the final year of probationary service, the head, chair, or school director sends the dossier of every candidate to the dean, even when both the head, chair, school director and the committee have made negative recommendations.

In all other cases, the head, chair, or school director sends the dossier of every candidate to the dean, except if the committee’s recommendation is negative and the head or chair concurs. Under those circumstances, the head, chair, or school director declares a final decision and no further review is carried out.

The dossiers that the head or chair sends to the dean are accompanied by a statement describing the formation and procedures of the department committee and a summary of the number of candidates considered by the committee in each category: mandatory, non-mandatory-year tenure, and promotion at each rank). The division of the department committee’s vote must be added to the dossier, but otherwise remains confidential.

### 3.4.4.2 College Evaluation for Promotion and Tenure

**College Committee Composition:** Each college must have a committee with appropriate faculty representation to review the recommendations on promotion and tenure sent by the department head, chair, or school director. While the process of selecting committees may vary between colleges, rules governing eligibility and selection of college committee members and the committee chair, as well as operating guidelines for the committee’s deliberations, must be documented and formally approved by the faculty. Significant elements of faculty choice must be
part of the selection process. Some possible methods for committee selection include election by the college faculty; appointment by an elected college executive committee; a combination of elected and appointed (by the dean or college executive committee) representatives; or an elected slate significantly larger than the required committee size, thus allowing the dean or college executive committee to appoint the committee from the elected slate approved by the faculty. However, given their responsibility to make a separate and independent recommendation on each case, the dean may not serve as chair of the committee.

As far as possible, each department within the college should be represented on the committee. The dean may appoint up to three tenured faculty members to serve on the college committee to assure appropriate representation of disciplines or very large departments, participation by members of underrepresented groups, or other critical considerations to help assure fairness of the process in both fact and perception. Appointments by the dean may not constitute more than a third of the committee’s total membership.

The committee may include department heads, chairs, or department-level promotion and tenure committee members. If department heads or chairs serve on college committees, their total number must be less than that of other faculty members.

The appointments of faculty members on the committee should be staggered to assure continuity from one year’s deliberation to the next. If possible, members should not serve more than two successive terms (three-year terms are typical).

The college faculty representatives to the University Promotion and Tenure Committee must attend college promotion and tenure deliberations as non-voting observers but should not participate or attempt to influence college-level recommendations.

**College Committee Evaluation of Candidate:** The committee reviews the cases of all candidates recommended by the department committee and/or head or chair as well as cases in their final year that receive negative recommendations by both a department committee and a head or chair.

The purpose of the review is to verify that the department recommendations for promotion and/or tenure are consistent with the evidence, reflect college-wide standards, and conform to the college’s expectations of the candidate’s future success.

After the review, the committee votes and writes a recommendation letter for each candidate that summarizes its evaluation, including the division of the vote. If the recommendation for promotion and/or tenure varies from that received from the department committee or the department head or chair, reasons for that variance must be specified, including references to the relevant departmental “Expectations Guidelines for promotion and/or tenure. In the absence of a unanimous recommendation by the committee, the division of the vote must be explained. A minority letter may be attached to the committee’s recommendation letter. All letters must be sent to the dean and become part of the dossier.
If the committee includes department heads, chairs, school directors, or department-level promotion and tenure committee members, none of these members may vote on cases from their departments, since each has already had an opportunity to vote or make a recommendation on those candidates. The dean does not vote on committee recommendations.

The college committee may ask the department head or chair, the candidate, and/or a representative(s) of the department committee to appear before the college committee to present additional information or clarify recommendations.

The dean may participate in committee discussions and serve in an advisory capacity to the committee to ensure compliance with college and university procedures. However, after the discussions with the dean, the committee must discuss the merits of the candidates, frame its recommendations, and take the final vote without the dean or other college-level personnel in attendance and without influence by the dean.

**Dean’s Evaluation of Candidate**: The dean reviews the cases of all candidates considered by the college committee. The purpose of the dean’s review is to verify that the department and college committee recommendations for promotion and/or tenure are consistent with the evidence, reflect college-wide standards, and conform to the college’s expectations of the candidate’s future success.

The dean writes a separate recommendation letter for every case sent to the provost. If the dean’s recommendation for promotion and/or tenure varies from the recommendation made by the college committee, the reasons for that variance must be specified, including references to the relevant departmental “Expectations Guidelines” for promotion and/or tenure. Whenever the dean does not concur with the committee’s recommendation, the committee is so notified. In instances of concurrence, the dean’s letter may include additional points not raised in earlier evaluations. The dean may share their letter with the committee and will add it to the dossier.

For every promotion and/or tenure case whether in the final year of probation (mandatory), non-mandatory-year tenure, and/or promotion, if either the college committee’s or the dean’s recommendation is positive, the dossier is sent to the provost. If the college committee’s recommendation is negative and the dean concurs, the dean declares a final decision and no further review is conducted.

The dossiers that the dean sends to the provost must be accompanied by a statement describing the formation and procedures of the college committee and a summary of the number of candidates considered by the committee in each category (mandatory tenure, non-mandatory-year tenure, and promotion at each rank). The division of the college committee’s vote must be added to the dossier, but otherwise remains confidential.

**3.4.4.3 University Evaluation for Promotion and Tenure**
Details of the procedures followed by the University Promotion and Tenure Committee are maintained on the provost’s website (see “Promotion and/or Tenure Procedures for University
Committee Deliberations and Notifications”), those procedures are derived from the policies and standards presented below and must conform to the Faculty Handbook.

University Promotion and Tenure Committee Composition: The University Promotion and Tenure Committee is appointed and chaired by the provost. The committee is composed of the college deans, a tenured faculty representative from each college, a tenured faculty member at-large, and the provost. The faculty subcommittee of the University Promotion and Tenure Committee includes the college faculty representatives plus the faculty member-at-large. The provost, who is a non-voting member, chairs both the full committee and faculty subcommittee. The vice provost for faculty affairs serves as resource and scribe for committee deliberations.

Significant elements of faculty choice must be part of the selection of the faculty subcommittee; therefore, each college faculty, through means deemed suitable by them, nominates two faculty members for each vacancy, from which the provost selects one. The Faculty Senate nominates two faculty members for the at-large appointment, from which the provost selects one. The selection of the faculty members should be based on demonstrated professional excellence. The faculty members of the committee hold rotating terms of three years. Regardless of the size of the committee, the faculty must always have a majority of the potential votes.

Guidelines for submission of candidates’ dossiers are available on the provost’s website.

University Promotion and Tenure Committee Evaluation of Candidate: The committee reviews the qualifications of each candidate recommended for promotion and/or tenure by the college committee and/or the dean.

The purpose of the review is to verify that the recommendations for promotion and/or tenure are consistent with the evidence, reflect university-wide standards, and conform to the university’s expectations of the candidate’s future success.

The faculty subcommittee initially discusses all the cases with the provost in attendance. Committee members provide a brief summary of the cases from their college to begin the committee discussion, though they are not expected to champion or defend cases. After the discussions with the provost, the faculty subcommittee must be given a period of time to discuss the cases in the absence of the provost and all other university-level personnel. The provost then rejoins the subcommittee and asks the faculty to rate the cases to identify those they would like to discuss further with the deans. Deans are informed of which cases the faculty subcommittee would like to discuss further and the specific concerns the subcommittee has in each case.

The full committee then convenes. The deans present information based on faculty subcommittee concerns. The committee then rates the cases to clarify which cases require further discussion. Deans abstain from rating the candidates in their colleges, as the dean’s statement, which is included in the dossier, serves as their estimation of the case’s strength. The provost shares the result of the rating, after which the full committee discusses the cases. The committee adjourns and reflects upon the group discussion.
Upon reconvening, the provost invites committee members to comment on any case. The full committee then votes, with deans abstaining from voting on any candidates from their colleges. Similarly, faculty members serving on the committee do not vote on any case on which they previously voted.

The vote must occur using a secret ballot. Though the provost shares the result of the vote with the committee, committee members must keep the results confidential. The majority vote of the committee reflects either a positive or negative recommendation to the provost. A tie vote is considered a negative recommendation.

Following the committee’s recommendation on each candidate to the provost, the provost makes recommendations to the president, informing the committee of those recommendations, including the basis for any non-concurrence with committee recommendations. The provost informs the president of any variation between the provost’s recommendations and those of the committee.

The president makes recommendations to the Board of Visitors from among those candidates reported by the provost, with the Board of Visitors being responsible for the final decision.

The provost notifies the appropriate dean of any negative decision reached by the provost, the president, or the Board of Visitors. The dean, when notifying the faculty member in writing, notes appeal options.

### 3.4.4.4 Candidate Notification

At each level of review in the process, the candidate must be notified of the result of the review, whether positive or negative. The department head, chair, or school director notifies the candidate of the result of the departmental review, and the dean notifies the candidate of the result of the college level review. Notifications will only indicate whether the candidate’s case moved on to the next level of review or not; they will not include the results of votes, the names of external evaluators, statements from evaluations, or excerpts from committee or administrative letters.

Notification of a negative recommendation for promotion and/or tenure must include all substantive reasons for that recommendation, including references to the relevant department and/or college promotion and/or tenure expectations guidelines. Notification of a negative recommendation will occur within ten university business days after the completion of committee and administrator deliberations. Notification must include options for appeal. Exceptions to the time frame must be agreed upon by all parties. In cases with a negative recommendation from the provost, the provost does not forward the case to the president until the candidate has been notified and has had time to appeal. In cases with a final positive recommendation by the president, the provost notifies the appropriate dean who informs the candidate in writing of the reasons for the decision.
3.4.5 Appeals of Decisions on Non-Reappointment, Tenure, or Promotion (for grievances see below: Faculty Grievance Policy and Procedures)

**Appeal.** A faculty member who is notified of a negative decision following an evaluation for a term reappointment during the probationary period, for a tenured appointment, or for promotion may appeal for review of the decision under conditions and procedures specified in this section. The appellant has a right to an explanation of the reasons for the denial.

An appeal must be filed, in writing, within 10 university business days of formal notification of the decision, which shall explain the appeal procedures.

An appeal must be based on the following claims only: department criteria established in the relevant department’s promotion and/or tenure guidelines were not appropriately applied; material from a dossier was unavailable to, or disregarded by, reviewers through no fault of the candidate; or information in the dossier was not considered, or that the decision was influenced by improper consideration.

Administrators and committees hearing an appeal must limit the scope of their recommendations to the claims presented above: in particular, they must not substitute their own judgment on the merits of the case for that of the body or individual responsible for the decision under appeal. The recommendations should address the allegations in the appeal with specificity and cite appropriate evidence.

A faculty member can appeal the decision at more than one level. There is no appeal of the president’s recommendation to the Board of Visitors or the board’s final decision.

Appeals should be resolved as quickly as possible without compromising thoroughness of review. Whenever possible, the appeal should be resolved in time to be reviewed at the first meeting of the Board of Visitors in the fall semester.

A faculty member with questions or concerns about the appeal process or who believes that the procedures described in this section have been improperly followed may, at any point, seek advice from the Faculty Senate Committee on Reconciliation.

**Grievance.** Additionally, faculty have the option to grieve procedural violations of the promotion and tenure process—including violations of the appeal process presented in this section—after a negative decision on an appeal or instead of filing an appeal in the first place. Since the grievance procedures allow the grievant to state the grievance they believe they have experienced and the relief they seek, it has a wider range of possible outcomes than the appeal process. However, because it is a slower process that may not be completed until the promotion and/or tenure cases in a given year have been decided, and because faculty cannot grieve “items falling within the jurisdiction of other university policies and procedures,” a grievance should be thought of as a means for faculty to seek an outcome they cannot seek through the appeal process. The
grievance process is described in chapter three below, “Faculty Grievance Policy and Procedures.”

3.4.5.1 Appeal of Probationary Non-Reappointment Decision
Faculty members on probationary term appointments should make no presumption of reappointment. The department head, chair, or school director with the advice of the department/school personnel committee or the faculty development committee determines non-reappointment. Notice of non-reappointment is furnished according to the schedule in chapter two, “Retirement, Resignation, and Non-Reappointment.”

If the negative decision is based on evaluation of the faculty member’s performance, including perceived lack of potential for further professional development, the faculty member may appeal the decision to the dean of the college. If the dean sustains the departmental decision, the faculty member may request, through the dean, a further and independent review of the decision by the properly constituted college committee on promotion and tenure.

The faculty member presents the appeal in writing as specified in chapter three, “Appeals of Decisions on Reappointment, Tenure, or Promotion.” The faculty member has the right to appear before the committee to present arguments. The college committee makes a recommendation to the dean, who informs the faculty member of the committee’s recommendation and the dean’s subsequent decision. The dean’s decision closes the appeal process, unless it varies from the college committee’s recommendation, in which case the faculty member may appeal to the provost for a final decision. The provost’s decision cannot be appealed.

3.4.5.2 Appeal of Promotion and/or Tenure Decision (and summary table)
Appeal of negative department or college decisions: Because all tenure cases evaluated in the final year of probation (mandatory year), even those given a negative recommendation by the department committee and the head or chair or school director, receive a full college level review, there is no appeal of a negative tenure decision at the department level. Cases evaluated in the final year of probation that receive a negative recommendation by the college committee and dean may appeal to the University Promotion and Tenure Committee via the provost.

Cases reviewed a second time within the probationary period whether promotion and/or tenure, if the committee and the relevant administrator both make negative recommendations, the candidate may appeal that negative decision to the next level in the process. The faculty member has the right to appear before the committee considering the appeal and present arguments.

If either the college committee or the dean grants the appeal of a negative department decision, the case resumes normal consideration, beginning with the college committee and dean. If either the University Promotion and Tenure Committee or the provost grants the appeal of a negative college decision, the case resumes normal consideration, beginning with the University Promotion and Tenure Committee and the provost. At either the college or university level, if the committee
and the relevant administrator both make negative recommendations, the appeal is denied and no further appeal is provided.

Appeal of negative university decisions: Because all recommendations from the University Promotion and Tenure Committee and the provost are forwarded to the president, candidates may appeal negative recommendations of either or both to the Faculty Senate Review Committee. The faculty member has the right to appear before the committee to present arguments. The Faculty Review Committee investigates the case and makes a recommendation to the president. The Faculty Senate Review Committee makes a recommendation to the president. The president makes a recommendation to the Board of Visitors whose decision is final and cannot be appealed.

Table of appeal options for promotion and tenure cases: the following table summarizes the progression of cases (whether promotion and tenure, tenure only, or promotion only) that receive negative recommendations from either a committee, an administrator, or both, including appeal options. The table is for reference only.

### Probationary Period

<table>
<thead>
<tr>
<th>Decision</th>
<th>Next Step</th>
</tr>
</thead>
<tbody>
<tr>
<td>Negative decision after <em>first</em> review during probationary period</td>
<td>No appeal</td>
</tr>
<tr>
<td>Negative decision on <em>second</em> review during probationary period</td>
<td>May appeal to next higher level</td>
</tr>
<tr>
<td>Appeal granted by next higher level</td>
<td>Moves to next level in process for normal consideration</td>
</tr>
</tbody>
</table>

### Final/mandatory year

<table>
<thead>
<tr>
<th>Decision</th>
<th>Next Step</th>
</tr>
</thead>
<tbody>
<tr>
<td>Negative recommendation by department committee and by department head or chair</td>
<td>Moves to college committee and dean</td>
</tr>
<tr>
<td>Negative recommendation by department committee; positive recommendation by department head or chair</td>
<td>Moves to college committee and dean</td>
</tr>
<tr>
<td>Positive recommendation by department committee; negative recommendation by department head or chair</td>
<td>Moves to college committee and dean</td>
</tr>
<tr>
<td>---------------------------------------------------</td>
<td>-------------------------------------</td>
</tr>
<tr>
<td>Negative recommendation by college committee and dean</td>
<td>May appeal to University Promotion and Tenure Committee (through the provost)</td>
</tr>
<tr>
<td>Appeal granted by the University Promotion and Tenure</td>
<td>Moves to University Promotion and Tenure Committee (through the provost)</td>
</tr>
<tr>
<td>Negative recommendation by college committee; positive recommendation by dean</td>
<td>Moves to University Promotion and Tenure Committee and provost</td>
</tr>
<tr>
<td>Positive recommendation by college committee; negative recommendation by dean</td>
<td>Moves to University Promotion and Tenure Committee and provost</td>
</tr>
<tr>
<td>Negative recommendation by the provost</td>
<td>May appeal to Faculty Review Committee, recommendation is advisory to the president.</td>
</tr>
<tr>
<td>Negative recommendation by president</td>
<td>No appeal</td>
</tr>
<tr>
<td>Negative decision by the Board of Visitors</td>
<td>No appeal</td>
</tr>
</tbody>
</table>

**3.5 Annual Evaluation, Post-Tenure Review, and Periodic Review of College and Departmental/School Administrators**

**3.5.1 Annual Evaluation and Salary Adjustments**

All departments are required to have written guidelines outlining the process and criteria used in faculty evaluations. The adoption of such guidelines promotes consistency and transparency in this important aspect of faculty life.

President annually adjusts the salary of University Distinguished Professors after consultation with the provost and dean of the relevant college.

The guidelines and procedures for the annual review of Alumni Distinguished Professors are established by the president and/or provost who are responsible for their annual evaluations.

Every faculty member’s professional performance is evaluated annually, and written feedback is provided separately from confirmation of any merit adjustments. The process begins with submission of a faculty activity report (FAR). All non-temporary faculty members must submit a FAR annually. These reports form part of the basis for performance evaluations, awarding merit adjustments, and promotion, tenure, and post-tenure reviews.
Department heads, chairs, and school directors are responsible for conducting annual faculty evaluations, either independently or in consultation with an appropriately charged committee in accordance with departmental/school procedures. All evaluations must be in writing and include a discussion of contributions and accomplishments in all areas of the faculty member’s responsibilities (e.g., teaching, research and scholarship, service, outreach, diversity and advising, as appropriate), comments on the faculty member’s plans and goals, and any recommendations for improvement or change. Faculty members should receive their written evaluations within 90 days of submission of required materials, and they acknowledge receipt by signing and returning a copy for their departmental/school file, or the electronic equivalent. Acknowledging receipt of the evaluation does not imply agreement. If a faculty member substantially disagrees with the evaluation, a written response may be submitted to the department head, chair, or school director for inclusion in the personnel file.

In addition to their annual evaluation letters, all pre-tenure faculty members receive at least two thorough reviews during their probationary period and written feedback on their progress toward tenure by their departmental/school promotion and tenure committee prior to reappointment in accordance with guidance included in chapter three, “Probationary Period.”

Faculty members with part-time appointments are reviewed on the annual review cycle used for all faculty members in the department. For the purposes of annual review, the fraction of the appointment must be taken into account when considering the appropriate level of achievement in that year.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the department head, chair, or school director and are reviewed by the dean, the provost, and the president. Because salary adjustments are determined administratively on an annual basis and based significantly on the quality of the faculty member's response to assigned responsibility, they do not necessarily reflect an accurate measure of the full scope of the faculty member’s professional development as evaluated by relevant committees in the tenure and promotion process.

The salary adjustments of continuing faculty members are approved by the Board of Visitors, and each faculty member is informed in writing of the board’s action as soon as possible.

3.5.2 Unsatisfactory Performance
For tenured and pre-tenure faculty members, failure to meet the minimum expectations and standards the department has stipulated for its faculty results in an "unsatisfactory" rating. Written notification of an unsatisfactory rating and the considerations upon which it was based is given to the faculty member, with copies to the dean and provost. A single unsatisfactory evaluation indicates a serious problem, which should prompt remedial action. Faculty members may respond in writing with a letter to the head, chair, or school director for inclusion in their personnel file, or they may seek redress through either the reconciliation or grievance procedures. Two successive
annual ratings of unsatisfactory performance for a tenured faculty member result in a post-tenure review.

3.5.3 Post-Tenure Review

Nothing in this section should be interpreted as abridging the university's right to proceed directly to dismissal for cause as defined in chapter three, "Dismissal for Cause," or the right of individual faculty members to pursue existing mechanisms of reconciliation and redress.

A post-tenure review is mandatory whenever a faculty member with tenure receives two consecutive annual evaluations of unsatisfactory performance. Annual reviews for years spent on leave without pay are disregarded for the purpose of this calculation. The departmental/school promotion and tenure committee conducts the review unless the same committee participated in the original unsatisfactory annual evaluations. In this case, the department elects a committee to conduct the review.

Upon recommendation of the head, chair, or school director and with the approval of the dean, a post-tenure review may be waived or postponed if there are extenuating circumstances (such as health problems).

The purpose of a post-tenure review is to focus the perspective of faculty peers on the full scope of a faculty member's professional competence, performance, and contributions to the department, college, and university missions and priorities.

The faculty member has both the right and the obligation to provide a dossier with all documents, materials, and statements deemed relevant and necessary for the review. Ordinarily, such a dossier includes at least the following: an updated curriculum vitae, the past two or more faculty activity reports, teaching assessments, and a description of activities and accomplishments since the last faculty activity report. The faculty member is given a period of no less than four weeks to assemble the dossier for the committee. The head, chair, or school director supplies the review committee with the last two annual evaluations, all materials that were considered in those evaluations, any further materials deemed relevant, and other materials the committee requests. Copies of all materials supplied to the committee are given to the faculty member. The faculty member has the right to provide a written rebuttal of evidence provided by the head, chair, or school director.

The committee weighs the faculty member's contributions to the discipline, the department, and the university through learning, discovery, and engagement. The burden of proving unsatisfactory performance is on the university. The committee prepares a summary of its findings and makes a recommendation to the head, chair, or school director, with copies to the dean and provost. Final action and notification of the faculty member is the responsibility of the head, chair, or school director and dean, with the concurrence of the provost.

The review may result in one of the following outcomes:
Certification of satisfactory performance: The committee may conclude that the faculty member's competence and professional contributions are satisfactory to meet the department's minimum expectations, thus failing to sustain the assessment of the head, chair, or school director. The review is then complete. An unsatisfactory rating in any subsequent year is counted as the first in any future sequence.

Certification of deficiencies: The committee may concur that the faculty member's competence and/or professional contributions are unsatisfactory to meet the department's minimum expectations. The committee may recommend dismissal for cause, a sanction other than dismissal for cause, or a single period of remediation not to exceed two years.

Remediation: If a period of remediation is recommended, the committee specifies in detail the deficiencies it noted, defines specific goals and measurable outcomes the faculty member should achieve, and establishes a timeline for meeting the goals. The head, chair, or school director meets with the faculty member at least twice annually to review the individual's progress. The head, chair, or school director prepares a summary report for the committee following each meeting and at the end of the specified remediation period, at which time the committee either certifies satisfactory performance or recommends dismissal for cause or a sanction other than dismissal for cause following the procedures described below.

Sanction other than dismissal for cause: A departmental/school recommendation to impose a severe sanction, as defined in chapter three, “Imposition of a Severe Sanction” shall be referred to the college-level promotion and tenure committee, which reviews the case as presented to the departmental/school committee, provides an opportunity for the faculty member to be heard, and determines whether the recommendation is consistent with the evidence. The college-level committee may reject, uphold, or modify the specific sanction recommended by the departmental/school committee. If the college-level committee also recommends imposition of a severe sanction, then the same procedures used for dismissal for cause guides the process. The reviews conducted by the department and college committees satisfy the requirement in step two in chapter three, “Dismissal for Cause,” for an informal inquiry by an ad hoc or standing personnel committee. Thus, in the case of a post-tenure review, this step is not repeated. If a severe sanction is imposed or ultimately rejected, then the post-tenure review cycle is considered complete. An unsatisfactory rating in any subsequent year is counted as the first in any future sequence.

Dismissal for cause: If dismissal for cause is recommended, the case shall be referred to the college-level promotion and tenure committee as described in chapter three, “College Evaluation for Promotion and Tenure,” which reviews the case as presented to the departmental/school committee and determines whether the recommendation is consistent with the evidence. If the college-level committee upholds the recommendation for dismissal, then the procedures specified in chapter three, “Dismissal for Cause,” begin immediately. The committee review satisfies the requirement in chapter three for an informal inquiry by a standing personnel committee.
3.5.4 Periodic Review of Academic Administrators: College Deans, Dean of University Libraries, Dean of the Honors College, Dean of Graduate Education, Senior Administrators, and Academic Vice Presidents

Note: See chapter seven for periodic review of A/P senior administrators who report to the provost.

In addition to an annual performance evaluation, and in accordance with Policy 6105, “Periodic Evaluation of Academic Deans and Vice Presidents,” academic deans, the dean of University Libraries, the dean of the Honors College, dean of graduate education, and academic vice presidents are subject to reviews every five years. If the review of a dean cannot be conducted in the fifth year as would usually be the case, the provost informs the officers of the relevant college or University Libraries faculty association as to the reason for the delay. A review may also be initiated at any time by the provost and/or at the request of at least one-third of the tenure-track faculty in the college, or in the case of University Libraries, one-third of the continued appointment faculty. If the review of a vice president who reports to the provost cannot be conducted in the fifth year, the provost notifies the deans and the chairs of the college and University Libraries faculty associations as to the reason for the delay. In the semester prior to a periodic review, the faculty association will be notified of the review and the association may schedule a meeting with the provost to discuss the upcoming review.

3.5.5 Annual and Periodic Review of Department Heads, Chairs, and School Directors

Policy 6100, “Department Head or Chair Appointments” outlines the review process for academic department heads, chairs, and school directors. In addition, in consultation with the faculty, colleges should adopt more detailed a set of guidelines and procedures in accordance with the principles outlined in Policy 6100 so that reviews may be conducted consistently and appropriately across the college for those serving in academic leadership roles.

The purpose of the periodic review is to support the success of the university’s academic units by providing developmental feedback to promote fair and effective academic leadership. Reappointment of an individual to academic department head, chair, school director, academic dean, or academic vice president must be preceded by a periodic review conducted in accordance with guidelines outlined in Policy 6105 or in Policy 6100.

3.6 Imposition of a Severe Sanction or Dismissal for Cause*

*Note: The procedures specified follow closely, but differ in occasional detail from, the "1976 Institutional Regulations on Academic Freedom and Tenure" approved by Committee A of the American Association of University Professors (AAUP).
3.6.1 Adequate Cause

Adequate cause for imposition of a severe sanction or dismissal is related, directly, and substantially, to the fitness of faculty members in their professional capacity as teachers and scholars. Imposition of a severe sanction or dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights.

Adequate cause includes: violation of professional ethics (see chapter two, “Professional Responsibilities and Conduct”); incompetence as determined through post-tenure review; willful failure to carry out professional obligations or assigned responsibilities; willful violation of university and/or government policies; falsification of information relating to professional qualifications; inability to perform assigned duties satisfactorily because of incarceration; or personal deficiencies that prevent the satisfactory performance of responsibilities (e.g., dependence on drugs or alcohol).

Reason to consider the imposition of a severe sanction or dismissal for cause is usually determined by a thorough and careful investigation by an appropriately charged faculty committee (as in the case of allegations of ethical or scholarly misconduct, or through a post-tenure review) or by the relevant administrator (for example, the department head, chair, or school director, compliance officer, internal auditor, or Virginia Tech Police). Generally, these investigations result in a report of findings; some reports also include recommendations for sanctions. The report is directed to the relevant administrator for action; it is also shared with the faculty member. Imposition of a severe sanction or initiation of dismissal for cause proceedings, if warranted, follows the procedures set forth below.

3.6.2 Imposition of a Severe Sanction

Definition and examples: A severe sanction generally involves a significant loss or penalty to a faculty member such as, but not limited to, a demotion in rank and/or a reduction in salary or suspension without pay for a period not to exceed one year, imposed for unacceptable conduct and/or a serious breach of university policy.

Routine personnel actions such as a recommendation for no or a below-average merit increase, conversion from a calendar year to an academic year appointment, reassignment, or removal of an administrative stipend do not constitute “sanctions” within the meaning of this policy. A personnel action such as these may be a valid issue for grievance under procedures defined in the Faculty Handbook.

Process for imposing a severe sanction: The conduct of a faculty member, although not constituting adequate cause for dismissal, may be sufficiently grave to justify imposition of a severe sanction. Imposition of a severe sanction follows the same procedures as dismissal for cause beginning with step one. If the matter is not resolved at the first step, a standing or ad hoc faculty committee conducts an informal inquiry (step two). The requirement for such an informal inquiry is satisfied if the investigation was conducted by an appropriately charged faculty committee (as would be the case with an alleged violation of the ethics or scholarly misconduct
policies) and, having determined that in its opinion there is adequate cause for imposing a severe sanction, refers the matter to the administration.

3.6.3 Dismissal for Cause

The following procedures apply to faculty members with tenure or for dismissal of a tenure-track faculty member before the end of their current contract. Dismissal is preceded by:

**Step one:** Discussions between the faculty member, department head, chair, or school director, dean, and/or provost, looking toward a mutual settlement.

**Step two:** Informal inquiry by a standing (or, if necessary, ad hoc) faculty committee having concern for personnel matters. This committee attempts to affect an adjustment and, failing to do so, determines whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the president’s decision whether to proceed.

**Step three:** The furnishing by the president (in what follows, the president may delegate the provost to serve instead) of a statement of specific charges, in consultation with the department head, chair, or school director and dean. The statement of charges is included in a letter to the faculty member indicating the intention to dismiss, with notification of the right to a formal hearing. The faculty member is given a specified reasonable time limit to request a hearing; that time limit is no less than 10 days.

**Procedures for conducting a formal hearing, if requested:** If a hearing committee is to be established, the president asks the Faculty Senate, through its president, to nominate nine faculty members to serve on the hearing committee. These faculty members are nominated based on their objectivity, competence, and regard. They must have no bias or untoward interest in the case and be available at the anticipated time of the hearing. The faculty member and the president each have a maximum of two challenges from among the nominees without stated cause. The president then names a five-member hearing committee from the remaining names on the nominated slate. The hearing committee elects its chair.

Pending a final decision on the dismissal, the faculty member is suspended only if immediate harm to him or herself or to others is threatened by continuance. If the president believes such suspension is warranted, consultation takes place with the Faculty Senate Committee on Reconciliation concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.

Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the
charges or asserting that the charges do not support a finding of adequate cause. In such a case, the hearing committee evaluates all available evidence and makes its recommendation based on the evidence in the record.

The committee, in consultation with the president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentation or other evidence. The administration cooperates with the hearing committee in securing witnesses and evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements from unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The president and the faculty member are notified of the recommendation in writing and are given a written copy of the recording of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity to respond.

**Appeal to the Board of Visitors:** If the president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board). The board’s review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the committee with specific objections. The committee then reconsiders, taking into
account the stated objections and receiving new evidence if necessary. The board makes a final decision only after studying the committee’s reconsideration.

**Notice of termination/dismissal:** In cases where gross misconduct is decided, termination is usually immediate. The standard for gross misconduct is behavior so egregious that it evokes condemnation by the academic community generally and is so utterly blameworthy as to make it inappropriate to offer additional notice or severance pay. The first faculty committee that considers the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty member with tenure receives up to one year of salary or notice, and (b) a probationary faculty member receives up to three months’ salary or notice. These terms of dismissal begin on the date of final notification of dismissal.

### 3.7 Faculty Grievance Policy and Procedures

The following procedures are provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by tenured or tenure-track faculty members.

#### 3.7.1 Ombuds, Mediation Services, and Faculty Senate Committee on Reconciliation

**Informal dialogue:** It should be possible to resolve most faculty concerns or complaints through informal communication among colleagues working together in the academic enterprise. Accordingly, a faculty member who feels there is a grievance is encouraged to take it to the immediate supervisor in the collegial spirit of problem solving rather than as a confrontation between adversaries.

**University Ombuds:** Any member of the university community may visit the university Ombuds Office. The Ombuds listens and explores options for addressing and resolving concerns or complaints. The Ombuds Office does not have the authority to make decisions or to reverse any decision made or actions taken by university authorities. The Ombuds Office supplements, but does not replace, the university's existing resources for conflict resolution and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Ombuds Office will not accept legal notice on behalf of the university, and information provided to the Ombuds Office will not constitute such notice to the university. Should someone wish to make the university formally aware of a particular problem, the Ombuds Office can provide information on how to do so. The only exception to this pledge of confidentiality is where the Ombuds Office determines that there is an imminent risk of serious harm, or if disclosure is required by law.

To preserve independence and neutrality, the Ombuds Office reports directly to the president. The Ombuds Office does not keep permanent records of confidential communications.

**Faculty Senate Committee on Reconciliation:** At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Faculty Senate Committee on
Reconciliation in fashioning an equitable solution. Contacting the Faculty Senate Committee on Reconciliation is not required in filing a grievance, but it may be useful if the grievant feels that the issue may be amenable to, but will require time for, negotiation; or if the grievant is unsure whether the concern is a legitimate issue for a grievance; or if personal relations between the parties involved in the grievance have become strained.

For a potential grievance issue to qualify for consideration by the Faculty Senate Committee on Reconciliation, the grievant must contact the chair of the Faculty Senate Committee on Reconciliation within 30 calendar days of the time when the grievant knew or should have known of the event or action that is the basis for the potential grievance, just as if beginning the regular grievance process. If the grievant requests assistance from the Faculty Senate Committee on Reconciliation, that committee requests a postponement of the time limits involved in the formal grievance procedure while it deals with the case. The request is submitted in writing to the vice provost for faculty affairs by the chair of the Faculty Senate Committee on Reconciliation. Also, the grievant should reach an understanding with the Faculty Senate Committee on Reconciliation of the time frame planned for that committee's work on the case, such time not to exceed 60 calendar days.

Faculty members may also consult the Faculty Senate Committee on Reconciliation about serious disagreements with immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the committee contacts the relevant administrator to determine if there is an interest and willingness to explore informal resolution of the dispute; it is not necessary to notify the Office of the Executive Vice President and Provost.

**Mediation:** Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

**Role of mediators:** Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

**Requesting mediation:** Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. In the event that the parties are
not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

### 3.7.2 The Formal Grievance Procedure

If the assistance of the Faculty Senate Committee on Reconciliation is not desired or is not requested; or if that committee determines that it cannot provide assistance in the matter; or if the grievant finds that the length of time the Committee on Reconciliation plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of that committee, the grievant may pursue the issue as a formal grievance through the following procedure. Department heads, chairs, or school directors, deans, directors, and other administrative faculty will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of the case.

**Step one:** The grievant must meet with the immediate supervisor (usually the department head, chair, or school director) within 30 calendar days of the date that grievant knew or should have known of the event or action that is the basis for the grievance and orally identifies the grievance and the grievant’s concerns. The supervisor provides an oral response to the grievant within five weekdays following the meeting. If the supervisor’s response is satisfactory to the grievant, that ends the matter.

**Step two:** If a satisfactory resolution of the grievance is not achieved by the immediate supervisor’s oral response, the grievant may submit a written statement of the grievance and the relief requested to the immediate supervisor. This statement must be on the faculty grievance form, must define the grievance and the relief requested specifically and precisely, and must be submitted to the immediate supervisor within five weekdays of the time when the grievant received the immediate supervisor’s oral response to the first step meeting. Faculty grievance forms are available on the provost’s Faculty Forms page. Within five weekdays of receiving the written statement of the grievance, the immediate supervisor, in turn, gives the grievant a written response on the faculty grievance form, citing reasons for action taken or not taken. If the written response of the immediate supervisor is satisfactory to the grievant, that ends the matter.

**Step three:** If the resolution of the grievance proposed in the written response by the immediate supervisor is not acceptable, the grievant may advance the grievance to the next level of university administration by checking the appropriate place on the faculty grievance form, signing and sending the form to the next level administrator within five weekdays of receiving the written response from the immediate supervisor. The next level of administration for college faculty is usually the college dean. The administrator involved at this next level is hereafter referred to as the second-level administrator. Following receipt of the faculty grievance form, the second-level administrator, or designated representative, meets with the grievant within five weekdays. The
second-level administrator may request the immediate supervisor of the grievant be present; the grievant may similarly request that a representative chosen from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the second-level administrator does not have legal counsel present. The second-level administrator gives the grievant a written decision on the faculty grievance form within five weekdays after the meeting, citing reasons for the decision. If the second-level administrator’s written response to the grievance is satisfactory to the grievant it ends the matter.

**Step four:** If the resolution of the grievance proposed in the written response from the second-level administrator is not acceptable, the grievant may advance the grievance within five weekdays to the level of the provost, including consideration by an impartial hearing panel of the Faculty Senate Review Committee.

Upon receiving the faculty grievance form requesting step four review, the provost, or appropriate designated representative, acknowledges receipt of the grievance within five weekdays and forwards a copy of the Procedures of the Faculty Senate Review Committee to parties in the grievance process. The provost immediately forwards a copy of the grievance to the president of the Faculty Senate, who also writes to the grievant to acknowledge receipt of the grievance within five weekdays of receipt of the faculty grievance form from the provost.

The grievant may petition the provost to bypass the Faculty Senate Review Committee and rule on the grievance. If the provost accepts the request, there is no subsequent opportunity for the grievance to be heard by a hearing panel. The provost’s decision, however, may be appealed to the president, as described in step five. If the provost does not accept the petition, the Faculty Senate Review Committee hears the grievance as outlined in these procedures.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

**Hearing panel:** A hearing panel consists of five faculty members appointed by the chair of the Faculty Senate Review Committee from among the members of the Faculty Senate Review Committee. The chair of the Faculty Senate Review Committee polls all appointees to ensure that they have no conflict of interest in the case. Both parties to the grievance may challenge one of the appointments, if they so desire, without need to state cause, and the chair of the Faculty Senate Review Committee appoints the needed replacement or replacements. Other replacements are made only for cause. The chair of the Faculty Senate Review Committee rules on issues of cause.

To ensure uniformity in practice, the chair of the Faculty Senate Review Committee or designee serves as the non-voting chair of each hearing panel. If the chair of the Faculty Senate Review Committee has a conflict of interest concerning a case, the chair appoints a disinterested third party from among the members of the Faculty Senate Review Committee not already appointed to the hearing panel for the case to serve as chair of the hearing panel.
**Hearings**: After a hearing panel is appointed, the chair of the Faculty Senate Review Committee requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Faculty Senate president. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling. The hearing is then reconvened as appropriate.

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak on their behalf if so requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsels are present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel.

**Findings and recommendations**: The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Faculty Senate president. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the provost, the grievant, and the chair of the Faculty Senate Review Committee.

**Provost’s action**: The provost meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant about the prospects for disposition of the case. Within 10 weekdays of that meeting, the provost sends to the grievant the decision in writing concerning the disposition of the grievance. If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel that ends the matter.

**Step five**: If the provost’s decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the president within 20 calendar days. The president’s decision is final.

**3.7.3 Timeliness of Grievance and Procedural Compliance (see chart below)**

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time when the event or action should have been known and is the basis for the grievance. The university administration is not required
to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution was accepted as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the enforcement of the most recently proposed resolution. The finding on the matter by the chair of the Faculty Review Senate Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee (or the vice president of the senate if the president is also chair of the Faculty Senate Review Committee) is convened to rule on the question, as in disputes about the validity of issues qualifying for the grievance procedure. The special committee has the following options. It can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a significant procedural violation did occur. If the administrator committed a significant procedural violation, the grievance automatically qualifies for advancement to the next step in the grievance process. If the grievant committed a significant procedural violation, the grievance process ends at that point with the last proposed resolution established as the final disposition of the case.

**3.7.4 Valid Issues for Grievance**

For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation; unreasonable merit adjustment or salary level; excessive teaching load/work assignments; substantive violations of promotion and tenure procedures including the appeal process (see appeal process in chapter three, “Appeals of Decisions on Reappointment, Tenure, or Promotion”); reprisals; substantive error in the application of policy; and matters relating to academic freedom.
Issues not open to grievance: While most faculty disputes with the university administration may be dealt with by this grievance policy, the following issues may not be made the subject of a grievance: determination of policy appropriately promulgated by the university administration or the university governance system; those items falling within the jurisdiction of other university policies and procedures (for example, complaints of unlawful discrimination or harassment, or an appeals of non-reappointment, promotion and/or tenure) related to the merits of a promotion and/or tenure decision; the contents of personnel policies, procedures, rules, regulations, ordinances, and statutes; the routine assignment of university resources (e.g., space, operating funds, parking, etc.); usual actions taken, or recommendations made, by administrators or committee members acting in an official capacity in the grievance process; termination of appointment by removal for just cause, non-reappointment, or abolition of position; or allegations of misconduct in scholarly activities.

Adjudication of disputes on the validity of issues qualifying for consideration under the faculty grievance procedures: If a university administrator rules that an issue does not qualify for the grievance process, the grievant may write to the chair of the Faculty Senate Review Committee within five weekdays of receiving such notification and request a ruling from a special committee consisting of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

3.7.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost's Faculty Forms page.)

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from the assigned work location at the time the event or action is discovered and is the basis for a grievance, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing.
to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such a time as the grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers there is a grievance about actions by an administrator above the level of immediate supervisor that directly involve the faculty member, or with actions by an administrator not in the department that directly involve the faculty member, the grievant initiates the grievance process by seeking the intervention of the immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in the usual fashion.

A grievance filed by a faculty member concerning an action of the provost is handled by the chair of the Faculty Senate Review Committee and a regular impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the president for ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of the president of the university is dealt with by a special panel appointed by the provost in consultation with the president of the Faculty Senate.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations, or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.
3.7.6 Overview of the Formal Grievance Process for Tenured and Tenure-Track Faculty

Below is an abbreviated overview of the grievance process and deadlines. Refer to chapter three, “The Formal Grievance Procedure,” for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of the grievant and the administrator involved in that step. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)

Overview of the Formal Grievance Process for Tenured and Tenure-Track Faculty

<table>
<thead>
<tr>
<th>Step One</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td><strong>Within 30 days of the event</strong></td>
<td>1a.</td>
<td>Grievant meets with immediate department head, chair, school director, or supervisor.</td>
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<tr>
<td><strong>Within 5 weekdays of 1a.</strong></td>
<td>1b.</td>
<td>Department head, chair, or school director provides verbal response.</td>
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<td></td>
<td>1c.</td>
<td>If department head, chair, or school director's response is satisfactory to grievant, that ends the matter.</td>
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<tr>
<td></td>
<td>1d.</td>
<td>If department head, chair, or school director's response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
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**Step Two**

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<tr>
<th>Step Two</th>
<th>Step Number</th>
<th>Description</th>
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<tr>
<td><strong>Within 5 weekdays of 1d.</strong></td>
<td>2a.</td>
<td>Grievant submits written grievance to department head, chair, or school director.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays of 2a.</strong></td>
<td>2b.</td>
<td>Department head, chair, or school director responds in writing on grievance form.</td>
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<tr>
<td></td>
<td>2c.</td>
<td>If department head, chair, or school director's response is satisfactory to grievant, that ends the matter.</td>
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<tr>
<td></td>
<td>2d.</td>
<td>If department head, chair, or school director's response is not satisfactory to grievant, move to step three within 5 weekdays.</td>
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<tr>
<td>Step Three</td>
<td>Step Number</td>
<td>Description</td>
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<tr>
<td>Within 5 weekdays of 2d.</td>
<td>3a.</td>
<td>Grievant advances grievance form to the second-level administrator (usually dean).</td>
</tr>
<tr>
<td>Within 5 weekdays of 3a.</td>
<td>3b.</td>
<td>Dean meets with grievant; dean may request department head, chair, or school director to be present.</td>
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<tr>
<td>Within 5 weekdays of 3b.</td>
<td>3c.</td>
<td>Dean responds in writing on grievance form.</td>
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<tr>
<td></td>
<td>3d.</td>
<td>If the dean’s written response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>3e.</td>
<td>If the dean’s written response is not satisfactory to grievant, move to step four within 5 weekdays.</td>
</tr>
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<tr>
<th>Step Four</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays of 3e.</td>
<td>4a.</td>
<td>Grievant advances grievance form to the provost.</td>
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<tr>
<td>Within 5 weekdays of 4a.</td>
<td>4b.</td>
<td>Provost acknowledges receipt of grievance and forwards copy to Faculty Senate president to receive recommendation of an impartial hearing panel of the Faculty Senate Review Committee.</td>
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<tr>
<td>Within 5 weekdays of 4b.</td>
<td>4c.</td>
<td>Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.</td>
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<tr>
<td>Within 15 weekdays of 4b.</td>
<td>4d.</td>
<td>Faculty Senate Review Committee chair appoints hearing panel from among Faculty Senate Review Committee members; panel holds its initial meeting with both principals.</td>
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<tr>
<td>Within 45 weekdays of 4d.</td>
<td>4e.</td>
<td>The hearing panel concludes its work and makes recommendations to the provost and grievant.</td>
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Within 10 weekdays of 4e.  
4f.  The provost meets with grievant.

Within 10 weekdays of 4f.  
4g.  The provost notifies grievant in writing of the decision.

4h.  If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendation of the hearing panel, that ends the matter.

4i.  If the provost’s decision is not acceptable to the grievant and not consonant with the recommendation of the hearing panel, move to step five within 20 calendar days.

**Step Five**

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<th>Step Number</th>
<th>Description</th>
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| Within 20 calendar days of 4i.  
5a.  | Grievant appeals in writing to the president. |
| 5b.  | The president’s decision is final. |

### 3.8 Study-Research Leave

Study-research leave may be granted to faculty members for research and/or advanced study necessary to enhance the competencies of those faculty members to conduct their obligations to the university.

Full-time tenured faculty members with the rank of associate professor or higher, having accrued a minimum of six years of service, are eligible for study-research leave. Requests may be submitted prior to completion of six years of service, but faculty members must have tenure and have completed the sixth year before the leave period begins.

Following a period of study-research leave, an additional six years of full-time service are necessary before a faculty member is eligible for another leave. Time spent on study-research leave, educational leave, or leave without pay is not considered in compiling minimum service requirements for further leaves.

As part of the commonwealth’s educational leave program, recipients of study-research leaves are provided with partial salary (not to exceed one-half salary). Full employee benefits remain in
force while faculty members are on study-research leaves. Calendar year faculty on study-research leave earn annual leave at a rate of half their usual annual leave earnings.

Instead of a proposal for leave of a full academic or calendar year, faculty members may propose a sequence of semester leave periods at half-salary over several years, not to exceed in total one academic year (for a faculty member on academic year appointment) or 12 months (for a faculty member on calendar year appointment). If such a sequence of leaves is undertaken, all intervening periods of full-time appointment at Virginia Tech accrue toward the six-year minimum service required before eligibility for another study-research leave or sequence of leaves.

Alternatively, following completion of any study-research leave, faculty members may propose a single semester of study-research leave at half-salary following three years of full-time service to the university.

Recipients of a study-research leave may receive additional compensation from other approved sources up to a total equal to their annual salary from the university. Faculty members may receive the additional half salary from sponsored grants or contracts, resulting in a one-year period at full salary from university sources; the appropriate level of effort must be expended on grant-related activities. They may also obtain additional funds from external sources to cover expenses for travel, research, administrative assistance, and the purchase of relevant materials. Documentation of all external earnings and expected payments is required and must be reviewed and approved by the department head, chair, or school director and provost. Engagement in consulting activities must be consonant with existing university policy.

The request for study-research leave is made in the fall and, if approved, is taken the following academic year. Requests for study-research leave should be submitted to the department head, chair, or school director by November 1 for processing through the college, provost, and consideration by the Board of Visitors at the March (or spring) meeting of the board. Requests are forwarded to the board, subject to recommendation of the department head, chair, or school director, dean, and the provost, with consideration of the need for effective continuation of the department’s program. Specific leave request due dates are established annually and made available in the Calendar of Important Dates found on the provost’s Faculty Forms page).

Listed below are changes to an approved study research leave that require department, college, and provost approval but do not require additional review by the Board of Visitors:

- Postponement of study-research leave for up to 1 year;
- Change from a full year study-research leave to a half-year leave (or vice-versa);
- Change in the location of the study-research leave;
- Cancellation of study-research leave.

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave or repay the university the salary received plus interest. If less than this required period of service is met, repayment is required proportional
to the compensation provided by the university during the leave period. The faculty member, before undertaking the leave, must sign a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and department head, chair, or school director summarizing accomplishments.

### 3.9 Research Assignment

Research assignment is a special category of study-research leave that is awarded to a tenured academic faculty member for one semester of intensive study or research that increases the quality of the individual’s professional stature and future contributions to the university. It may be taken in lieu of an ordinary yearlong study-research leave.

Full-time tenured faculty members with the rank of associate professor or higher, having accrued a minimum of six years of service, are eligible for research assignment leave. Following such a leave, an additional six years of full-time service is necessary before a faculty member may be considered for another research assignment. Requests may be submitted prior to completion of six years of service, but faculty members must have completed the sixth year before the leave period begins. Faculty members on calendar year appointments may take research assignment leave for up to six months.

Approval for research assignment provides the faculty member with full salary and related benefits for the period of the leave; faculty members may not take on additional responsibilities for outside income except as allowed by the university’s consulting policy. Modest stipends associated with competitive visiting scholar programs at other institutions, competitive national or international fellowships, the Fulbright Scholar Program, and similar prestigious opportunities to support study and/or scholarly research may be approved where there is clear benefit to the faculty member and the university. Similarly, externally funded reimbursements or allotments for travel, temporary relocation, and other expenses associated with the proposed research assignment may be approved. Documentation of all external earnings and expected payments is required and must be reviewed and approved by the department head, chair, or school director and provost. When a faculty member proposes a period of paid employment greater than 50% of the annual salary in a corporate or governmental setting, leave without pay or a contract through the Intergovernmental Personnel Act may be more appropriate than a research assignment.

The primary privilege of a research assignment is entire relief from teaching and administrative duties for one semester. A secondary privilege is that the assignment may be carried out at any location approved by the dean, although research programs that require facilities, University Libraries resources, or collaborations not available at the university are given special consideration.

An application for research assignment should be submitted to the appropriate department head, chair, or school director by November 1 of the academic year preceding that in which the research assignment will be made. Application forms are available from the provost’s Faculty Forms page. The application should be in the form of a letter, which includes a detailed description of the
proposed research or other scholarly project, the location of that activity, and the relevance of the proposed activity in contributing to the faculty member's own scholarly research program. The department head, chair, or school director reviews the application and forwards it with a recommendation to the college dean by mid-November indicating the provisions that will be made to accommodate the faculty member's teaching and advising responsibilities. The dean is expected to weigh fiscal and academic load considerations to assure an equitable distribution of the awards. The dean forwards research assignment requests to the provost by mid-December. The provost reviews the recommendations, communicates with the deans, and announces the results to each candidate, following approval by the Board of Visitors. Specific leave request due dates are established annually and made available in the Calendar of Important Dates found on the provost's Faculty Forms page.

Specific leave request due dates are established annually and available in the Calendar of Important Dates on the provost's website. Listed below are changes to an approved research assignment that require department, college, and provost approval but do not require additional review by the Board of Visitors:

- Postponement of research assignment for up to 1 year;
- Change from a full year research assignment to a half-year leave (or vice versa);
- Change in the location of research assignment;
- Cancellation of the research assignment.

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave. If less than this required period of service is met, repayment is required of a proportion of the compensation provided by the university during the leave period. The faculty member, before undertaking the research assignment, must sign a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and department head, chair, or school director summarizing accomplishments.

### 3.10 Modified Duties

The university recognizes the need for all tenured and tenure-track faculty members to balance the commitments of family and work. Special family circumstances, for example, birth or adoption of a child, severe illness of an immediate family member, or even issues of personal health, can cause substantial alterations to one's daily routine, thus creating a need to construct a modified workload and flexible schedule for a period of time.

Since the circumstances may vary widely for faculty members at different stages of their careers and with different family and workload situations, this policy does not prescribe the exact nature of the accommodation. In many cases, it may be a reduction or elimination of a teaching assignment while the faculty member continues to meet ongoing, but more flexible research and graduate student supervision obligations. In general, the university's commitment is to work with a faculty member to devise a modified workload and schedule that enables the faculty member...
to remain an active and productive member of the department. Because there is no reduction in salary, the faculty member is expected to have a set of full-time responsibilities.

An eligible faculty member is encouraged to speak with the department head, chair or school director as soon as possible about the need for modified duties to ensure the maximum amount of time for planning. A department chair, in conjunction with the dean, is responsible for working with a faculty member to ensure a fair plan for modified duties is implemented, if possible, budgetary constraints are considered, and student or other needs are met. The policy does not create an entitlement if there are legitimate business-related reasons for denying the request. Final decisions about the nature of the modified duties are the responsibility of the department head, chair, or school director in consultation with the dean.

The provisions of this policy cannot adequately address all individual circumstances. Sick leave (including disability), leave without pay, or permanent reduction in appointment to part-time status may be options to consider for longer-term or more demanding needs. This policy is not intended to provide release time from teaching for the purpose of allowing additional time for research. Reduction in teaching assignments for research purposes is the prerogative of the department and a function of the university’s program of study-research leaves.

**Extension of the probationary period** (see chapter three, “Extending the Tenure Clock”) is available to faculty members on tenure-track appointments who are confronted with extenuating personal or family circumstances, or birth or adoption of a child. The extension may be requested as a complement to a request for modified duties. However, the semester of modified duties does not automatically affect the tenure probationary period.

**Eligibility:** Modified duties may be requested by any faculty member in a full-time tenured or tenure-track appointment for the purpose of managing family responsibilities or, in exceptional cases, personal health issues not addressed by sick leave. The policy applies to eligible faculty upon employment.

**Guidelines:** The period of modified duties is one semester, or an equivalent amount of time for those faculty members whose responsibilities are not tied directly to teaching on the academic calendar.

Modification of duties should not result in additional duties during the subsequent semester, e.g., the faculty member should not be asked to make up the released teaching before or after the semester of modified duties. The faculty member cannot be employed by another institution during the period of modified duties, nor can the release time be used for extensive professional travel or other increased professional activities (including consulting) that do not meet the goals of the policy.

Medical documentation is required if the period of modified duties is requested related to a health issue not addressed by sick leave.
A semester of modified duties should be considered in addition to, not as a substitute for, sick leave, family leave and paid parental leave available to those giving birth or adopting during the period of the appointment (i.e., during the academic year for those on academic year appointments, or any time for those on calendar year appointments). There are no work expectations for individuals on approved sick or family leave.

Requests for outside consulting during the period of modified duties are not usually approved.

A faculty member should submit a request for modified duties as early as possible so the department can plan appropriately. The request form is available on the provost’s Faculty Forms page. The plan of proposed activities is developed in consultation with the department head, chair, or school director and the dean. The duties can be department-based, college-based, or a combination.

Subject to available funding, the Office of the Executive Vice President and Provost provides an allotment to the faculty member’s unit to replace teaching (or to use in other ways relevant to the modification of duties) that is lost through the granting of a term of modified duties. Additional support from departments, schools, and colleges is strongly encouraged, and should be noted in the request.

Approval of the department head, chair, school director, dean, and provost is required. If the department head, chair, or school director does not support the request, the reasons for denial are provided in writing, and the request is automatically forwarded to the dean for further review. The decision of the dean is final.

CHAPTER FOUR
LIBRARIES FACULTY WITH CONTINUED APPOINTMENT OR ON THE CONTINUED APPOINTMENT-TRACK

4.0 Employment Policies for University Libraries Faculty with Continued Appointment or on the Continued Appointment-Track
4.1 University Libraries Faculty with Continued Appointment or on the Continued Appointment-Track

As the primary means through which students and faculty gain access to the storehouse of organized knowledge, the University Libraries perform a unique and indispensable function in the educational process. In this function, faculty members of the University Libraries share many of the professional concerns of their colleagues in all colleges. The university recognizes the need to protect the academic freedom of librarians in their responsibility to ensure the availability of
information and ideas, no matter how controversial, so that teachers may freely teach, and students may freely learn.

Continued appointment is the equivalent of tenure in the university's colleges. Faculty members in the University Libraries may hold continued appointment or may be on the continued appointment-track; just as college faculty may be tenured or on the tenure-track (see chapter three). Provisions for term (fixed period) appointments during a probationary period are parallel to those for members of the college faculty. Evaluation for continued appointment (in contrast to term appointment) is made no later than the sixth year of such a probationary period.

A University Libraries faculty member with continued appointment will have continued employment until retirement with termination of employment based only on unsatisfactory performance, proof of misconduct, discontinuance, or reduction in a segment of the university's research or educational program, or University Libraries reorganization because of changing patterns of University Libraries service or technological advances.

If a position held by a University Libraries faculty member with continued appointment is eliminated or changes to such a degree that the incumbent can no longer fulfill the requirements, every effort will be made to reassign the faculty member to another position. If the position of a University Libraries faculty member with continued appointment is terminated, it will not be re-established and refilled within a period of two years unless the appointment has been offered to and declined by the faculty member who was originally displaced.

Tenure awarded to faculty of the University Libraries before July 1, 1983, continues to be recognized.

The Library Faculty Association and the dean of University Libraries have developed procedures for probationary appointment, continued appointment, and promotion for faculty of the University Libraries, including evaluative criteria, to instill the highest professional standards in the University Libraries faculty. These procedures are contained in Procedures on Promotion and Continued Appointment in University Libraries.

The University Promotion and Continued Appointment Committee reviews recommendations for continued appointment and for promotion in rank above the level of assistant professor and makes recommendations to the provost.

The University Promotion and Continued Appointment Committee is comprised of representatives from the libraries and colleges who serve in staggered terms. The schedule of these appointments can be found on the provost’s Promotion & Tenure page.

4.2 University Libraries Faculty Ranks
Specification of faculty rank in the University Libraries does not imply a particular rank in any college department. University Libraries faculty may be invited to hold concurrent adjunct status
in a college department in order to formally recognize their contributions to the undergraduate or graduate program.

4.2.1 Instructor
The rank of instructor is for University Libraries faculty whose positions have been designated for continued appointment-track and who have not completed the terminal degree. Annual appointments may be renewed within the limits of a probationary period. Ordinarily, continued appointment would not be awarded at the instructor rank, although time spent at this rank counts in the probationary period leading to continued appointment. A master’s degree or significant professional experience is the minimum expectation for appointment at this rank. Specification of faculty rank in the University Libraries does not imply a particular rank in any college department. University Libraries faculty may be invited to hold concurrent adjunct status in a college department in order to formally recognize their contributions to the undergraduate or graduate program.

The dean of University Libraries with approval of the provost and president may recommend instructors in University Libraries for promotion to assistant professor. Final approval rests with the Board of Visitors.

Promotion of University Libraries faculty to the ranks of associate or professor is conducted in accordance with procedures in chapter four, “Evaluation Procedures for Promotion and Continued Appointment.”

4.2.2 Assistant Professor
The rank of assistant professor is the usual rank of initial appointment for faculty on the continued appointment-track. Appointment to the rank of assistant professor carries with it professional responsibilities in learning, discovery, and engagement. An assistant professor may be assigned responsibility for teaching graduate courses and for supervising master’s theses and dissertations, as well as serving on graduate student committees. The terminal degree appropriate to the field is expected for appointment to this rank. (Further information regarding appropriate credentials for teaching faculty is in chapter two, “Faculty Credentialing Guidelines,” and on the provost’s Faculty Credentials page.)

4.2.3 Associate Professor
In addition to the requirements for assistant professor, a person appointed as associate professor must have demonstrated substantial professional achievements by evidence of an appropriate combination of outstanding teaching, creative scholarship, and recognized performance in University Libraries, or related academic and professional service.

4.2.4 Professor
In addition to the requirements for associate professor, appointment to the rank of professor is contingent upon national recognition as an outstanding scholar and educator.
4.2.5 Emeritus or Emerita Designation
The title of emeritus or emerita is conferred on retired professors, associate professors, administrative officers, and faculty with continued appointment who have given exemplary service to the university, and who the president specifically recommends to the Board of Visitors for approval. Their names are listed on the appropriate university website(s). The “Emeritus or Emerita Designation” in Chapter Two provides further guidance to appropriate supervisors, dean, and retiring faculty members concerning emeriti status and continued involvement in the life of the university.

4.3 Appointments with Continued Appointment
An offer of faculty appointment with continued appointment may be made with the review and approval of the appropriate supervisor, the library Promotion and Continued Appointment Committee, the University Libraries dean, a subcommittee of the university promotion and Continued Appointment committee, the provost, and the president. Ultimately, final approval rests with the Board of Visitors.

The dean forwards to the provost and president for their consideration and decision: the candidate’s application package, including cover letter, curriculum vitae, and at least two letters of reference which address the appointment of rank and continued appointment; documentation of the library Promotion and Continued Appointment committee’s approval of rank and continued appointment and concurrence of the dean with as much supporting evidence as deemed appropriate; and a brief overview of the search itself including how many candidates applied, were interviewed, and what is the compelling case for the candidate.

In general, faculty recruited from a comparable university should be recommended for a position at Virginia Tech at a similar level to continued appointment. If the recommended appointment involves a promotion or the initial awarding of a continued appointment, the case must be strongly justified. If an individual is coming from a university with a less extensive research mission, the case must be strongly justified.

4.3.1 Part-Time Continued Appointment and Continued Appointment-Track Appointments
While continued appointment and continued appointment-track appointments are usually full-time, Virginia Tech recognizes the importance of allowing flexibility in the percent of employment so that faculty members can better manage the balance between their professional work and family or personal obligations over a defined period of time, or perhaps permanently. This policy is intended to encourage departments to accommodate reasonable requests for part-time appointments; however, part-time appointments are not an entitlement, and requests may be turned down when the faculty member and the department cannot agree upon a workable plan.

When conducting a search for a continued appointment track position, departments continue to advertise for full-time continued appointment or continued appointment-track positions and must have funding for a full-time hire. Advertisements include information about university policies for
flexible appointments. If desired, the faculty member requests and negotiates a part-time appointment at or after the point of hire if acceptable to the department.

Continued appointment-track faculty members may request a part-time appointment only for reasons of balancing work and family such as the arrival or care of a child, the care of a family member, or for personal circumstances related to the health of the faculty member. In addition, they may request a term part-time appointment only (with specific starting and ending dates) allowing the issue to be revisited on a defined cycle. While such term appointments can be renewed throughout the probationary period, a permanent part-time appointment may not be granted until continued appointment is awarded.

Faculty members with continued appointment may request either term or permanent part-time appointments for reasons stated above, or to balance work at Virginia Tech with professional practice or significant community or public service, for example, a faculty member who wishes to serve as a consultant in addition to an appointment at Virginia Tech; a faculty member who wishes to engage in entrepreneurial activity outside of university responsibilities; or a faculty member who runs for public office for a limited term and wishes to reduce the workload at Virginia Tech for that period. Other reasonable justifications may be considered if approved by the department head or chair, University Libraries dean, and provost.

4.3.1.1 Part-Time Term Continued Appointment and Continued Appointment-Track Appointments

Part-time continued appointment and continued appointment-track appointments are either term or permanent. Term part-time appointments are in increments from one semester up to two years. During the duration of a part-time term appointment, terms of the appointment are only changed via the agreement of all parties. A term agreement must specify the date on which the faculty member is expected to return to full-time status. Renewal of a term appointment should be negotiated no less than three months before the end of the current term so that the department can plan accordingly. For term part-time appointments, departments can use the salary savings to replace the work of the faculty member on the part-time appointment.

Only the faculty member may initiate a request for conversion from full-time to part-time appointment. The reasons for the request for a change in the percentage of the appointment should be clearly stated. The appropriate supervisor should make a careful assessment of the needs of the department and works with the faculty member requesting a part-time appointment to facilitate the request whenever possible. The period for which this part-time appointment is granted shall be clearly stated (renewable terms from one semester up to two years, or permanent). The written agreement should include a careful and thorough statement of work expectations for the part-time appointment. Generally, faculty members continue to contribute to all areas of responsibility, but with reduced expectations for accomplishment proportional to the fractional appointment. Service responsibilities for faculty members on part-time appointments are proportional to their appointments. Faculty members on part-time appointments are not
excused from regular departmental, division, or university service because of the part-time appointments.

The written agreement for either an initial appointment or a conversion of a full-time appointment to part-time status and any subsequent renewal requires the approval of the faculty member, the appropriate supervisor, University Libraries dean and provost.

An initial term part-time appointment, either continued appointment or continued appointment-track, may be approved to accommodate a dual career hire if funding is not immediately available to support a full-time position, or if the faculty member seeks a part-time appointment consistent with the intent of this policy. The expectation is that the subsequent reappointment, if recommended, is for a full-time position, unless the faculty member requests a renewal of the term part-time appointment in accordance with these guidelines. A part-time appointment created for a dual career hire is approved through the usual approval processes for dual career hires. (See chapter two, “Dual Career Program.”)

Faculty members on part-time appointments, whether term or permanent, retain all rights and responsibilities attendant to their appointment as a continued appointment and continued appointment-track faculty member.

### 4.3.1.2 Permanent Part-Time Continued Appointments

For permanent part-time continued appointments with no end date, a return to a full-time appointment is not guaranteed. If holding continued appointment, the faculty member remains entitled to the continued appointment on the part-time basis only. However, an increase in the percentage of the appointment up to full-time may be renegotiated between the faculty member and appropriate supervisor if mutually agreeable and funds are available. The department and the dean determine the best way to cover the costs of the work in the case of conversion to a permanent part-time appointment.

Faculty members on part-time appointments, whether term or permanent, retain all rights and responsibilities attendant to their appointment as a continued appointment and continued appointment-track faculty member.

Part-time appointments are made for any fraction 50% or greater of a full-time appointment; faculty members receive proportional salary. Faculty members considering such appointments are strongly encouraged to meet with representatives in the benefits office in Human Resources to gain a clear understanding of the consequences of the change to their benefits. Office and laboratory space may be adjusted for longer term or permanent part-time appointments.

### 4.4 Continued Appointment and Promotion

The university has a tradition of upholding academic freedom. It endorses the “1940 Statement of Principles on Academic Freedom and Tenure” of the American Association of University
Members of the University Libraries faculty not holding appointments in a college department may be considered for continued appointment or for promotion in faculty rank in recognition of appropriate professional accomplishments as noted in the sections above.

4.4.1 Continued Appointment Eligibility

Like tenure, continued appointment is for the protection of the academic freedom of University Libraries faculty who are engaged in creating new programs and scholarship. Eligibility for continued appointment consideration is limited to faculty members holding regular faculty appointments of 50% percent to 100% percent in the University Libraries. Continued appointment is not granted to faculty members with temporary appointments. Individuals holding continued appointment who are appointed to administrative positions, however, retain the status and privileges of continued appointment.

4.4.2 Pre-Continued Appointment Probationary Period and Progress Reviews

The term “probationary period” (“pre-continued appointment”) is applied to the succession of term appointments, which an individual undertakes on a full- or part-time regular faculty appointment, and during which evaluation for reappointment and for an eventual continued appointment takes place. The beginning of the probationary period for faculty members on term appointments is taken as July 1 or August 10 of the calendar year in which their initial full-time appointment begins, depending on whether they are on a calendar year or academic year appointment, regardless of the month in which their services are initiated. (The probationary period for new faculty appointed for spring semester begins the following fall even though the spring contract period officially begins December 25.)

Under usual circumstances, library promotion and continued appointment committees review the professional progress and performance of pre-continued appointment faculty members twice during the probationary period, usually in their second and fourth or third and fifth years. The timing of the reviews depends upon the nature of the faculty member’s discipline and must be clearly indicated in written departmental policies. The terms of offer (TOFO) identify the initial appointment period. Pre-continued appointment reviews may be delayed if there is an approved extension as described below. Changes or variations in the standard review cycle must be documented in writing.

The initial review for a part-time faculty member should be no later than the third year of service (regardless of percentage of employment) to give early feedback on their progress. At least two reviews should be conducted for part-time faculty members during their probationary period; more are recommended. The anticipated schedule for such reviews for appointment and for the mandatory review for continued appointment should be documented in writing as part of the...
agreement for the part-time appointment. Changes should be agreed upon and documented by the faculty member and the department.

Reviews are substantive and thorough. At a minimum, library promotion and continued appointment committees must review the faculty member’s relevant annual faculty activity reports, peer evaluations, and authored materials.

The pre-continued appointment reviews should analyze the faculty member’s progress toward promotion and continued appointment and offer guidance regarding future activities and plans. Pre-continued appointment faculty should be encouraged to develop a narrative about their scholarship goals with special emphasis on the place of their research and creative activity. Although this narrative may change across time, creating the context for their work can assist candidates in understanding how to continue to develop professionally in a national and international context in preparation for promotion and continued appointment. The dean or director, the mentor(s), and the library promotion and continued appointment committee should engage in discussions with instructors and assistant professors across the probationary period to encourage professional growth and development of the candidate’s scholarly work.

All reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for the faculty member’s division-level file. In addition, the Library Promotion and Continued Appointment Committee and the dean meet with the faculty member to discuss the review and recommendations. Individual faculty members are also encouraged to seek guidance and mentoring from senior colleagues. Pre-continued appointment faculty members bear responsibility for understanding expectations for promotion and continued appointment and for meeting those expectations.

The initial appointment for instructors and assistant professors (or those appointed to higher ranks) without continued appointment is ordinarily for a period of not less than two years. Multiple-year reappointments may be subsequently recommended.

The maximum total period for full-time probationary appointments is six years unless an approved extension is granted. Decision about continued appointment, if not made earlier, is made in the sixth year of the probationary appointment. If the continued appointment decision made in the sixth year is negative, a one-year terminal appointment is offered.

Pre-continued appointment faculty members may request a term part-time appointment as described in chapter four, “Part-Time Continued Appointment and Continued Appointment-Track Appointments,” for reasons of balancing work and family or personal health issues. In such cases, the probationary period is extended proportionately. For example, two years of service at 50\% percent counts as one year of full-time service. The term appointment may be renewed. (A permanent part-time appointment may be requested and granted following award of continued appointment.)
In determining the mandatory continued appointment review year for those with partial appointments, general equivalency to full-time appointments is expected, so that approximately five years of full-time equivalent service is expected prior to the mandatory continued appointment review year if no continued appointment clock extensions have been granted; six years if one year of extension is granted, and seven years if two extensions are granted. (In summing partial years of service, a total resulting in a fraction equal to or less than .5 is rounded down, and a fraction greater than .5 is rounded up.) However, review for continued appointment must occur no later than the tenth year of service, resulting in somewhat less full-time equivalent service (4.5 years) for a faculty member with 50% percent appointment throughout all nine probationary years prior to review. If denied continued appointment following a mandatory review, a one-year terminal appointment is offered.

Faculty members on part-time appointments may request a continued appointment clock extension in accordance with procedures described in chapter four, “Extending the Continued Appointment Clock.” (Extensions are granted in one-year increments, not prorated by the part-time appointment percentage.) However, the extension is not approved if it results in a mandatory review date beyond the tenth year.

Up to three years of appropriate service at other accredited American four-year colleges and universities may be credited toward the six-year probationary period, as specified in chapter four, “Guidelines for the Calculation of Prior Service.”

A faculty member on probationary appointment who wishes to request a leave of absence consults with the dean about the effect of the leave on the probationary period, considering the professional development that the leave promises. The request for leave addresses this matter and the provost’s approval of the leave request specifies whether the leave is to be included in the probationary period.

### 4.4.2.1 Extending the Continued Appointment Clock

A one-year probationary period extension is automatically granted to either parent (or both if both parents are continued appointment-track faculty members) in recognition of the demands of caring for a newborn child or a child under five newly placed for adoption or foster care. The request should be made within a year of the child’s arrival in the family.

An extension of the probationary period may also be approved on a discretionary basis for other extenuating non-professional circumstances that have a significant impact on the faculty member’s productivity, such as a serious personal illness or major illness of a member of the immediate family. In rare cases, extraordinary professional circumstances not of the faculty member’s own making may be acceptable justification for a probationary period extension, for example exceptional delays in providing critical equipment, laboratory renovations, or other elements of the committed start-up package essential to establishing a viable research program.
Faculty members who benefit from this policy are expected to fulfill their usual responsibilities during the probationary period extension unless they are also granted a period of modified duties or unless other arrangements are made. (See chapter four, “Modified Duties.”)

Probationary period extensions are granted in one-year increments. A cumulative total of two years is usually the maximum probationary period extension for any combination of reasons. Requests should be made within a year of the qualifying event or extenuating circumstance. The provost may approve exceptions to these limitations.

Faculty members may only be evaluated two times for promotion and tenure or continued appointment. The two evaluations may each be in a non-mandatory year, but in the case of a second non-mandatory negative decision, the faculty member will not be allowed a third evaluation. If the second evaluation results in a negative decision, a one-year terminal appointment is offered.

Requests for a probationary period extension are submitted in writing to the appropriate supervisor. (A form is available on the provost’s Faculty Forms page.) Approval is automatic for new parents. Documentation of medical reasons (other than childbirth or adoption) is required prior to approval; documentation of other extenuating circumstances may also be required. Approvals by the appropriate supervisor, dean, and provost are required for probationary period extensions. The faculty member may appeal denial of the request to the next higher level in their organizational reporting structure.

It is particularly important that all individuals and committees participating in continued appointment reviews understand that any individual who receives a probationary period extension must be held to the same standard—not a higher or more stringent one—to which other candidates without such an extension are held. This is also true in the case where the candidate’s dossier is considered on the original schedule for review. However, in this instance where an approved extension was granted but not utilized, the continued appointment review is not considered mandatory and can be conducted again in the subsequent year without penalty. A probationary extension also usually extends the time frame for each subsequent review and reappointment during the probationary period. For example, an extension granted prior to the fourth-year review and reappointment typically delays that review by one year.

### 4.4.3 Guidelines for the Calculation of Credit for Prior Faculty Service

At the time of a faculty member’s initial appointment to the University Libraries, the dean notifies the new faculty member of the faculty member’s status regarding continued appointment. Excepting temporary appointments with limited terms, the faculty appointees are given clear notice of when their appointments will be considered for renewal and, if on the continued appointment-track, when consideration for continued appointment will be given.

In this latter calculation, appropriate full-time service in another accredited four-year American college or university is credited toward probationary service at Virginia Tech only if the appointed faculty member requests such credit.
In such a request, all prior service is presented if undertaken after the faculty member completes the terminal degree appropriate to the field. A maximum of three years may be credited toward probationary service at Virginia Tech. The request must be made in writing within one year of the initial appointment. The specification of credit for prior service toward the probationary period is subject to the approval of the provost on the recommendation of the dean of University Libraries.

### 4.4.4 Evaluation for Promotion and Continued Appointment

Promotion to a higher rank or an award of continued appointment may be granted to faculty members on a regular faculty appointment who demonstrate outstanding accomplishments in an appropriate combination of learning, discovery, engagement, and other professional activities. Every faculty member is expected to maintain a current curriculum vitae, with copies filed with the University Libraries. The curriculum vitae together with annual faculty activity reports, student or client evaluations, copies of publications, reference letters, and other similar documents comprise a dossier, which furnishes the principal basis for promotion and continued appointment decisions.

The evaluation of candidates for continued appointment closely parallels the process for tenure consideration for college faculty, and incorporates the same, or similar, elements of procedure whenever relevant or reasonable. Given the small number of faculty members on the continued appointment-track, their dossiers are reviewed at two levels (rather than three as required for college faculty): first by the University Libraries promotion and continued appointment committee and dean of University Libraries, and second by the University Promotion and Continued Appointment Committee and the provost.

Although some participants in the review process may serve at more than one level, participants may only vote once on a case. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Because the job descriptions and responsibilities of the candidates being considered do not conform to a single pattern or norm, it is not possible to set forth a statement of criteria with reference to which all recommendations for promotion or continued appointment must be made. Nevertheless, members of the general faculty seeking continued appointment or promotion in faculty rank are generally expected to have records of outstanding accomplishment in an appropriate combination of the following categories:

**Professional responsibilities:** Fulfilling the responsibilities of the position within the organizational unit by effective staff work, display of leadership, and a high degree of initiative.

**Research and scholarly activities:** Publishing in journals, presenting papers at professional meetings, developing other works of creative scholarship, organizing or chairing sessions at professional meetings, and fulfilling instructional responsibilities or graduate student advising.
University activities: Participating in the conduct of the activities of the administrative unit and the university. Such service takes innumerable forms, including serving on committees or in faculty governance positions, or participating in seminars or conferences.

External activities: Participating in local, state, regional, and national professional associations. Such participation includes activities such as holding office, serving on committees, conducting workshops, serving on panels, and attending conferences, conventions, or meetings.

Awards and honors: Receiving awards, grants, and honorary titles or being selected for membership in honorary societies.

Activities and accomplishments in other appropriate areas, beyond these five, may be included in dossiers and are considered.

University Libraries faculty are expected to develop within this framework the performance criteria that are most relevant to the responsibilities of those units. These criteria serve both as an aid to faculty development and as a set of measures that the University Promotion and Continued Appointment Committee may apply.

The criteria by which faculty with part-time appointments are evaluated for continued appointment is the same as the criteria by which full-time faculty are evaluated. Promotion and continued appointment committees consider years of full-time equivalent service when reaching decisions, excluding any approved probationary period extensions granted under the extending the tenure or continued appointment clock policy.

Besides consideration of specific professional criteria, evaluation for promotion or continued appointment should consider the candidate’s integrity, professional conduct, and ethics. To the extent that such considerations are significant factors in reaching a negative recommendation, they should be documented as part of the formal review process.

4.4.4.1 Libraries Evaluation for Promotion and Continued Appointment

The University Libraries has a committee with appropriate faculty representation to evaluate candidates for promotion and/or continued appointment. The library promotion and continued appointment committee makes recommendations to the dean of University Libraries. The dean may chair the committee or remain separate from the committee’s deliberations and subsequently receive its recommendations. (See guidelines in chapter four, “Composition of University Libraries Committees.”) The library promotion and continued appointment committee reviews the cases of candidates for promotion and/or continued appointment including those faculty members in the final probationary year. The dean furnishes the committee with a dossier for each candidate.
4.4.4.2 University Libraries Promotion and Continued Appointment Committee (Review Committee)

Rules governing eligibility and selection of members to serve on the University Libraries promotion and continued appointment committee (review committee), and operating guidelines for the review committee’s deliberations must be documented in written University Libraries-level policies, formally approved by the faculty.

The University Libraries faculty determine who is eligible to serve on the review committee from among faculty members with continued appointment.

The review committee may include appropriate supervisors; however, these members may not vote on cases from their departments since each has already had an opportunity to vote or make a recommendation on those candidates.

If possible, some significant element of faculty choice should be a part of the review committee selection procedure. Where small numbers make an election process impractical, the dean appoints the representative.

If University Libraries supervisors serve on the review committees, their total number is less than that of other faculty members.

Review committee appointments should be staggered to assure continuity from one year’s deliberation to the next. If possible, members should not serve for more than two successive terms.

Selection of the review committee chair is determined in accordance with policies approved by the libraries faculty.

The dean may be present at the review committee’s deliberations. The dean serves in an advisory capacity to the review committee to assure compliance with university procedures and fairness and equity of treatment of candidates. The dean does not vote on review committee recommendations but provides a separate recommendation to the provost.

Faculty members appointed to serve on the university-level promotion and continued appointment committee are encouraged to observe the deliberations of the University Libraries review committee to better prepare for their roles but should not participate or attempt to influence the review committee’s recommendations.

The library promotion and continued appointment committee (review committee) makes a recommendation on each candidate to the dean of University Libraries, including a written evaluation that assesses the quality of the candidate’s performance in each relevant area. The division of the vote is conveyed to the University Promotion and Continued Appointment Committee and the provost but must otherwise remain confidential outside the review committee.
In the absence of a unanimous recommendation, a minority report may be included. Whenever the dean does not concur with the committee’s recommendation, the committee is so notified.

Evaluation for continued appointment is mandated in the sixth year of probationary service unless the faculty member has given written notice of resignation from the faculty. If the review committee feels that the faculty member’s record does not warrant a continued appointment, there is an automatic review of the candidate’s dossier by the dean of University Libraries. If the dean concurs, the faculty member is notified by the dean, in writing, of the decision and the specific reasons for it.

The review committee may ask the candidate to appear before the committee to present additional information or clarification of recommendations.

### 4.4.4.3 Review and Recommendations by the Dean of University Libraries

The dean of University Libraries will send forward to the provost the complete dossier of every candidate for whom there is a positive recommendation from either the library promotion and continued appointment committee (review committee) or the dean, or both. The dean prepares separate letters of recommendation to be forwarded with the dossiers from their department. Whenever the dean does not concur with the library promotion and continued appointment committee’s recommendation, the review committee is so notified.

The dossiers that the dean sends to the provost are accompanied by a statement describing the formation and procedures of the review committee and a summary of the number of candidates considered by the University Libraries in each category. The division of the vote is conveyed to the university-level committee and provost but must otherwise remain confidential.

### 4.4.4.4 The University-level Committee Evaluation for Promotion and Continued Appointment

The University Promotion and Continued Appointment Committee (university-level committee) is appointed and chaired by the provost or the provost’s designee. The university-level committee reviews the qualifications of the candidates recommended for promotion and/or continued appointment by the dean of University Libraries. It also reviews those cases in which the dean does not concur with positive recommendations of the library promotion and continued appointment (review committee’s). (A university-level committee review of a case with differing recommendations by the library dean and the review committee is automatic and does not require an appeal.) The purpose of the review is to verify that the recommendations are consistent with the evidence, reflecting university standards, and that they are consistent with university objectives, programmatic plans, and budgetary constraints.

The university-level committee makes a recommendation on each candidate to the provost. The provost makes recommendations to the president, informing the university-level committee of those recommendations, including the basis for any non-concurrence with the university-level
committee’s recommendations. The provost informs the president of any variation between the provost’s recommendations and those of the university-level committee.

The president makes recommendations to the Board of Visitors. The Board of Visitors makes the final decision.

The provost notifies the dean of any negative decision reached by the provost, the president, or the Board of Visitors. The dean notifies the faculty member, in writing, and notes appeal options.

The University Promotion and Continued Appointment Committee (university-level committee) consists of the dean of the University Libraries; three University Library faculty members with continued appointment; and two faculty members at the associate or professor level with tenure in one of the colleges. The provost asks for nominations to the university-level committee from the University Libraries faculty. Where possible, some significant element of faculty choice should be part of the selection procedure.

All members of the university-level committee hold voting privileges. Regardless of the size of the committee, the faculty must always have at least a majority of the potential votes. Consistent with the principle that participants at all levels of the promotion and continued appointment review process vote only once on an individual case, the dean does not vote on cases from the University Libraries. Similarly, faculty members serving on the university-level committee do not vote on any case they previously voted on, should this circumstance occur.

Members of the university-level committee with continued appointment in the University Libraries hold staggered terms of three years; university-level committee members with tenure in a college hold staggered terms of two years; the provost makes the committee appointments. The provost or designee chairs the committee but does not vote.

All voting within the committee should be by written secret ballot; the division of any ballot must remain confidential.

4.4.5 Appeals of Decisions on Reappointment, Continued Appointment, or Promotion

A faculty member who is notified of a negative decision following evaluation for a term reappointment during the probationary period, for continued appointment, or for promotion may appeal for review of the decision under conditions and procedures specified in this section. The appellant has a right to an explanation of the reasons contributing to the denial.

Such an appeal must be filed, in writing, within 14 calendar days of formal notification of the decision, which shall refer to appeal procedures. The appeal can only be based on the grounds that certain relevant information was not provided or considered in the decision, or that the decision was influenced by improper consideration.
In their recommendations, administrators and committees hearing an appeal should address the standards outlined in the previous paragraph. In particular, they shall not substitute their own judgment on the merits for that of the body or individual that made the decision under appeal. The recommendations should address the allegations in the appeal with specificity and cite appropriate evidence.

Appeals should be resolved as quickly as possible without compromising fairness or thoroughness of review. Whenever possible, the goal should be to achieve a final resolution in time to accommodate the first meeting of the Board of Visitors in the fall semester.

A faculty member who believes that the appeal procedures described in this section have been improperly followed may, at any point, seek advice from the Faculty Senate Committee on Reconciliation and/or file a grievance in accordance with the grievance procedure in chapter four, “Faculty Grievance Policy and Procedures.”

4.4.5.1 Probationary Reappointment

Faculty members on probationary term appointments should make no presumption of reappointment. Procedures for term reappointment or the granting of continued appointment for members of the University Libraries faculty are developed in the University Libraries. A decision for non-reappointment to a term appointment, based primarily on performance evaluation, is final if reached by the library promotion and continued appointment committee (review committee) and is sustained by the dean of University Libraries, as appropriate. Notice of non-reappointment is furnished according to the schedule in chapter two, “Retirement, Resignation, and Non-Reappointment.” The specific reasons for the decision are provided to the faculty member in writing, if requested.

If the non-reappointment decision is reached by the dean in contradiction to the recommendation of the University Libraries library promotion and continued appointment committee, the faculty member may request that the non-reappointment decision be reviewed by the provost for a final decision.

The faculty member presents the appeal in writing as specified in chapter four, “Appeals of Decisions on Reappointment, Continued Appointment, or Promotion.” The provost may ask the University-level Promotion and Continued Appointment Committee to review the case and make recommendations as an aid to that decision.

4.4.5.2 Continued Appointment Decision

Occasionally faculty members are evaluated for continued appointment during the probationary period, but before the final probationary year. In such a case, there is no recourse to appeal or review of a negative decision, at whatever level it is reached, because of the certainty that the evaluation will be undertaken again within a limited time.

If a faculty member is denied continued appointment in a mandatory review by both the library promotion and continued appointment committee (review committee) and the dean of University
Libraries, the faculty member may appeal the negative decision in writing in accordance with provisions of this section. The appeal is submitted to the provost for review by the University-level Committee for Promotion and Continued Appointment, which shall make a recommendation to the provost for a final decision. No further appeal is provided. The University-level Committee for Promotion and Continued Appointment may choose to hear oral arguments. Substantive procedural violations may be addressed through the grievance process described in chapter four, “Faculty Grievance Policy and Procedures.”

Should the University-level Promotion and Continued Appointment Committee find reason to believe that the review committee’s evaluation was biased or was significantly influenced by improper considerations, the University-level Promotion and Continued Appointment Committee may request that the dean form a new ad hoc review committee. The ad hoc committee makes a recommendation to the University-level Committee for Promotion and Continued Appointment that requested its formation. The University-level Promotion and Continued Appointment Committee then makes a recommendation to the provost.

Should the provost not concur with a positive recommendation from the University-level Committee for Promotion and Continued Appointment, whether that recommendation culminates a usual review or an appeal, the faculty member is so notified in writing of the specific reason for the decision. The faculty member may appeal to the Faculty Senate Review Committee. That committee investigates the case and, if the differences cannot be reconciled, makes a recommendation to the president on the matter. The president’s decision is final.

4.4.5.3 Review of Progress Toward Promotion to Professor

Faculty awarded continued appointment at the rank of assistant or associate professor are required to go through at least one review of progress toward promotion. The review is required for faculty members promoted and awarded continued appointment during 2019-2020 and thereafter. This review will take place by the fifth year after continued appointment, or the last promotion was awarded. The faculty member can elect to submit a review prior to the fifth-year deadline; otherwise by the fifth year the faculty member will receive a notice to submit a review. All reviews of progress towards promotion will be conducted by the library promotion and continued appointment committee (review committee). The review committee will provide a recommendation letter to the candidate prior to the next promotion and continued appointment review cycle. Candidates undergoing a review of progress towards promotion will submit to the library promotion and continued appointment committee (review committee) documentation based on University Libraries policies highlighting the contributions and service since continued appointment or the last promotion was awarded. The review committee will provide feedback focusing on the faculty member’s progress toward promotion. The developmental guidance should focus on recommended future activities and plans that will position the faculty member for promotion. Review committee recommendation letters will be in writing; the faculty member will acknowledge receipt by signing and returning a copy of the letter to the personnel officer for departmental file. In addition, the faculty member may request a meeting with the review
committee to discuss the review and recommendations. Individual faculty members are also encouraged to seek guidance and mentoring from senior colleagues and/or supervisor(s).

4.4.5.4 Promotion Consideration and Decision

There is no specification for minimum or maximum time of service in any rank. A faculty member may request at any time consideration for promotion in rank if the library promotion and continued appointment committee (review committee) has not chosen to undertake such an evaluation. However, appeal of a negative promotion decision is provided only if the faculty member has been in rank for at least six years and if the faculty member has formally requested, in writing, consideration for promotion in a previous year. Candidates for promotion who have been denied by both the review committee and the dean of University Libraries may appeal to the provost, who asks the University-level Promotion and Continued Appointment Committee to consider the appeal. The faculty member presents the appeal in writing as specified in chapter four, “Appeals of Decisions on Reappointment, Continued Appointment, or Promotion.”

The university-level committee makes recommendations to the provost. If the university-level committee and the provost concur with the negative decision, the decision is final; if not, the president makes a final decision.

4.5 Annual Evaluation and Post-Continued Appointment Review

4.5.1 Annual Evaluation and Salary Adjustments

All departments are required to have written guidelines outlining the process and criteria used in faculty evaluations. The adoption of such guidelines promotes consistency and transparency in this important aspect of faculty life.

Every faculty member’s professional performance is evaluated annually, and written feedback is provided separately from confirmation of any merit adjustments. The process begins with submission of a faculty activity report (FAR). All non-temporary faculty members must submit a FAR annually. These reports form part of the basis for performance evaluations, awarding merit adjustments, and promotion, continued appointment, and post-continued appointment reviews.

The dean is responsible for conducting annual faculty evaluations, either independently or in consultation with an appropriately charged committee in accordance with University Libraries procedures. All evaluations must be in writing and include a discussion of contributions and accomplishments in all areas of the faculty member’s responsibilities, comments on the faculty member’s plans and goals, and any recommendations for improvement or change. Faculty members should receive their written evaluations within 90 days of submission of required materials, and they acknowledge receipt by signing and returning a copy for their University Libraries file, or the electronic equivalent. Acknowledging receipt of the evaluation does not imply agreement. If a faculty member substantially disagrees with the evaluation, he or she may submit a written response to the dean for inclusion in the personnel file.
In addition to their annual evaluation letters, all pre-continued appointment faculty members receive at least two thorough reviews during the six-year probationary period and written feedback on their progress toward continued appointment by the library promotion and continued appointment committee (review committee) prior to reappointment in accordance with guidance included in chapter four, “Probationary Period.”

Faculty members with part-time appointments are reviewed on the annual review cycle used for all faculty members in the department. For the purposes of annual review, the fraction of the appointment must be taken into account when considering the appropriate level of achievement in that year.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the dean and are reviewed by the provost and the president. Because salary adjustments are determined administratively on an annual basis and based significantly on the quality of the faculty member's response to assigned responsibility, they do not necessarily reflect an accurate measure of the full scope of the faculty member's professional development as evaluated by relevant committees in the continued appointment and promotion process.

The Board of Visitors approves the salary adjustments of continuing faculty members and each faculty member is informed in writing of the board's action as soon as possible. (See chapter two, “Faculty Compensation Plan.”)

4.5.2 Unsatisfactory Performance
For continued appointment and pre-continued appointment faculty members, failure to meet the minimal obligations and standards the department has stipulated for its faculty results in an "unsatisfactory" rating. Written notification of an unsatisfactory rating and the considerations upon which it was based is given to the faculty member, with a copy to the dean and provost. A single unsatisfactory evaluation indicates a serious problem, which prompts remedial action. Faculty members may respond in writing with a letter to the appropriate supervisor for inclusion in their personnel file, or they may seek redress through either the reconciliation or grievance procedures. Two successive annual ratings of unsatisfactory performance for a faculty member with continued appointment results in a post-continued appointment review.

4.5.3 University Libraries Minimal Standards
The University Libraries shall develop, maintain, and publish a statement of minimal standards for satisfactory faculty performance using the following process. University Libraries standards should be written with the participation of faculty and approved by a vote of the continued appointment-track faculty. Standards developed and approved by the library promotion and continued appointment committee and the dean are then reviewed and approved by the provost. Once approved, the standards are published and available to all faculty members in University Libraries. Revisions of University Libraries also follow these procedures.

The following guidance is provided for the development of University Libraries minimal standards:
The University Libraries should carefully assess and state the overall standards of professional performance and contribution considered minimally acceptable for continued appointment faculty. The University Libraries’ evaluation mechanism should allow a distinction between performance that is deficient in one or more areas requiring improvement, and performance that is so seriously deficient as to merit the formal designation “unsatisfactory.”

University Libraries’ standards should embrace the entire scope of faculty contributions. Expectations recognize differences in faculty assignments within the same department or unit. University Libraries’ standards should typically address the individual's skill, effort, and effectiveness in contributing to all aspects of the instructional mission; the individual's activity in and contributions to the discipline; the individual's contributions to the collective life of the University Libraries and university; and the individual's activity in and contributions to the university's outreach mission.

The University Libraries’ statements should affirm support for the basic principles of academic freedom and should express tolerance for minority opinions, dissent from professional orthodoxies, and honest and civil disagreement with administrative actions.

Departmental statements should include the expectation that faculty with continued appointment will adhere to the standards of conduct and ethical behavior as stated in the Faculty Handbook and/or promulgated through other official channels.

**4.5.4 Post-Continued Appointment Review**

Nothing in this section should be interpreted as abridging the university's right to proceed directly to dismissal for cause as defined in chapter four, “Dismissal for Cause,” or the right of individual faculty members to pursue existing mechanisms of reconciliation and redress.

A post-continued appointment review is mandatory whenever a faculty member with continued appointment receives two consecutive annual evaluations of unsatisfactory performance. Annual reviews for years spent on leave without pay are disregarded for the purpose of this calculation. The library promotion and continued appointment committee (review committee) conducts the review unless the same committee was involved in the original unsatisfactory annual evaluations. In this case, the University Libraries faculty elect a committee to carry out the review function.

Upon recommendation of the dean, a post-continued appointment review may be waived or postponed if there are extenuating circumstances (such as health problems). The purpose of a post-continued appointment review is to focus the perspective of faculty peers on the full scope of a faculty member's professional competence, performance, and contributions to the University Libraries and university missions and priorities.

The faculty member has both the right and the obligation to provide a dossier with all documents, materials, and statements as the faculty member believes are relevant and necessary for the review. Ordinarily, such a dossier includes at least the following: an updated curriculum vitae, the past two or more faculty activity reports, teaching or client assessments, if any, and a description.
of activities and accomplishments since the last faculty activity report. The faculty member is given a period of no less than four weeks to assemble the dossier for the committee. The dean supplies the review committee with the last two annual evaluations, all materials that were considered in those evaluations, any further materials deemed relevant, and other materials the committee requests. Copies of all materials supplied to the review committee are given to the faculty member. The faculty member has the right to provide a written rebuttal of evidence provided by the dean.

The review committee weighs the faculty member’s contributions to the discipline, the University Libraries, and the university through learning, discovery, and engagement. The burden of proving unsatisfactory performance is on the university. The review committee prepares a summary of its findings and makes a recommendation to the dean and provost. Final action and notification of the faculty member is the responsibility of the dean, with the concurrence of the provost.

The review may result in one of the following outcomes:

**Certification of satisfactory performance:** The library promotion and continued appointment committee (review committee) may conclude that the faculty member’s competence and professional contributions are satisfactory to meet the minimal expectations of the University Libraries, thus failing to sustain the assessment of the dean. The review is then complete. An unsatisfactory rating in any subsequent year is counted as the first in any future sequence.

**Certification of deficiencies:** The review committee may concur that the faculty member’s competence and/or professional contributions are unsatisfactory to meet the minimal expectations of the University Libraries. The review committee may recommend dismissal for cause, a sanction other than dismissal for cause, or a single period of remediation not to exceed two years.

**Remediation:** If a period of remediation is recommended, the review committee specifies in detail the deficiencies it noted, defines specific goals and measurable outcomes the faculty member should achieve, and establishes a timeline for meeting the goals. The dean meets with the faculty member at least twice annually to review the individual’s progress. The dean prepares a summary report for the review committee following each meeting and at the end of the specified remediation period, at which time the review committee either certifies satisfactory performance or recommends dismissal for cause or a sanction other than dismissal for cause following the procedures described below.

**Sanction other than dismissal for cause:** A recommendation by the library review committee to impose a severe sanction, as defined in chapter four, “Imposition of a Severe Sanction,” is referred to the University-level Promotion and Continued Appointment Committee. The university-level committee reviews the case presented by the libraries review committee. The university-level committee provides an opportunity for the faculty member to be heard and determines whether the recommendation is consistent with the evidence. The university-level committee may reject, uphold, or modify the specific sanction recommended by the library Review committee. If the library review committee also recommends imposition of a severe sanction, then the same
procedures used for dismissal for cause guide the process. The review conducted by the library review committee satisfies the requirement in step two for an informal inquiry by an ad hoc or standing personnel committee. Thus, in the case of a post-continued appointment review, this step is not repeated.

If a severe sanction is imposed or ultimately rejected, then the post-continued appointment review cycle is considered complete. An unsatisfactory rating in any subsequent year is counted as the first in any future sequence.

**Dismissal for cause:** If dismissal for cause is recommended, the case shall be referred to a properly constituted committee within the libraries which reviews the case and determines whether the recommendation is consistent with the evidence. If the University Promotion and Continued Appointment Committee upholds the recommendation for dismissal, then the procedures specified in chapter four, “Dismissal for Cause,” begin immediately.

4.5.5 Periodic Review of Dean of University Libraries, Unit/Division Supervisors, Senior Administrators

In addition to an annual performance evaluation, and in accordance with Policy 6105, “Periodic Evaluation of Academic Deans and Vice Presidents,” the dean of University Libraries is subject to reviews every five years. If the review cannot be conducted in the fifth year as would usually be the case, the provost informs the officers of the University Libraries faculty association as to the reason for the delay. A review may also be initiated at any time by the provost and/or at the request of at least one-third of the continued appointment faculty. In the semester prior to a periodic review, the faculty association will be notified of the review and the association may schedule a meeting with the provost to discuss the upcoming review.

Policy 6100, “Department Head or Chair Appointments,” outlines the review process for academic department heads or chairs and includes the appropriate unit and/or division supervisors in the University Libraries. In addition, the policy provides guidance on establishing evaluation procedures with general principles so reviews may be conducted consistently and appropriately across the college for those serving in academic leadership roles.

The periodic review is designed to support the success of academic units by providing developmental feedback that promotes fair and effective academic leadership. Reappointment of an individual to unit and/or division in the libraries must be preceded by a periodic review conducted in accordance with guidelines outlined in Policy 6105 or in Policy 6100.

4.6 Imposition of a Severe Sanction or Dismissal for Cause*

*The procedures specified follow closely, but differ in occasional detail from, the "1976 Institutional Regulations on Academic Freedom and Tenure" approved by Committee A of the American Association of University Professors (AAUP).*
4.6.1 Adequate Cause

Adequate cause for imposition of a severe sanction or dismissal is related, directly and substantially, to the fitness of faculty members in their professional capacity as teachers and scholars. Imposition of a severe sanction or dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.

Adequate cause includes: violation of professional ethics (see chapter two, “Professional Responsibilities and Conduct”); incompetence as determined through post-continued appointment review; willful failure to carry out professional obligations or assigned responsibilities; willful violation of university and/or government policies; falsification of information relating to professional qualifications; inability to perform assigned duties satisfactorily because of incarceration; or personal deficiencies that prevent the satisfactory performance of responsibilities (e.g., dependence on drugs or alcohol).

Reason to consider the imposition of a severe sanction or dismissal for cause is usually determined by a thorough and careful investigation by an appropriately charged faculty committee (as in the case of allegations of ethical or scholarly misconduct, or through a post-continued appointment review) or by the relevant administrator (for example, the dean, compliance and conflict resolution officer, internal auditor, or Virginia Tech Police). Generally, these investigations result in a report of findings; some reports also include a recommendation for sanctions. The report is directed to the relevant administrator for action; it is also shared with the faculty member. Imposition of a severe sanction or initiation of dismissal for cause proceedings, if warranted, follows the procedures set forth below.

4.6.2 Imposition of a Severe Sanction

Definition and examples: A severe sanction generally involves a significant loss or penalty to a faculty member such as, but not limited to, a demotion in rank and/or a reduction in salary or suspension without pay for a period not to exceed one year, imposed for unacceptable conduct and/or a serious breach of university policy.

Routine personnel actions such as a recommendation for a below average or no merit increase, conversion from a calendar year to an academic year appointment, reassignment, or removal of an administrative stipend do not constitute “sanctions” within the meaning of this policy. A personnel action such as these may be a valid issue for grievance under procedures defined in the Faculty Handbook.

Process for Imposing a Severe Sanction: The conduct of a faculty member, although not constituting adequate cause for dismissal, may be sufficiently grave to justify imposition of a severe sanction. Imposition of a severe sanction follows the same procedures as dismissal for cause beginning with step one. If the matter is not resolved at the first step, a standing or ad hoc faculty committee conducts an informal inquiry (step two). The requirement for such an informal inquiry is satisfied if the investigation was conducted by an appropriately charged faculty committee (as would be the case with an alleged violation of the ethics or scholarly misconduct.
policies) and, having determined that in its opinion there is adequate cause for imposing a severe sanction, refers the matter to the administration.

4.6.3 Dismissal for Cause

The following procedures apply to faculty members with continued appointment, or for dismissal of a continued appointment-track faculty member before the end of the current appointment.

Dismissal is preceded by:

**Step one:** Discussions between the faculty member, dean, and/or provost, looking toward a mutual settlement.

**Step two:** Informal inquiry by a standing (or, if necessary, ad hoc) faculty committee having concern for personnel matters. This committee attempts to affect an adjustment and, failing to do so, determines whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the president's decision whether to proceed.

**Step three:** The furnishing by the president (in what follows, the president may delegate the provost to serve instead) of a statement of particular charges, in consultation with the dean. The statement of charges is included in a letter to the faculty member indicating the intention to dismiss, with notification of the right to a formal hearing. The faculty member is given a specified reasonable time limit to request a hearing, that time limit is no less than 10 days.

**Procedures for conducting a formal hearing, if requested:** If a hearing committee is to be established, the president asks the Faculty Senate, through its president, to nominate nine faculty members to serve on the hearing committee. These faculty members should be nominated on the basis of their objectivity, competence, and regard in which they are held in the academic community. They must have no bias or untoward interest in the case and are available at the anticipated time of hearing. The faculty member and the president each have a maximum of two challenges from among the nominees without stated cause. The president then names a five-member hearing committee from the remaining names on the nominated slate. The hearing committee elects its chair.

Pending a final decision on the dismissal, the faculty member is suspended only if immediate harm to him or herself or to others is threatened by continuance. If the president believes such suspension is warranted, consultation takes place with the Faculty Senate Committee on Reconciliation concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.
Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the charges or asserting that the charges do not support a finding of adequate cause. In such a case, the hearing committee evaluates all available evidence and rests its recommendation on the evidence in the record.

The committee, in consultation with the president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration cooperates with the hearing committee in securing witnesses and evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements of unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The university president and the faculty member are notified of the recommendation in writing and are given a written copy of the record of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the university president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the university president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity for response.

**Appeal to the Board of Visitors:** If the university president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board). The board’s review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the hearing committee with specific objections. The
hearing committee then reconsiders, taking into account the stated objections and receiving new
evidence if necessary. The board makes a final decision only after studying the hearing
committee’s reconsideration.

**Notice of Dismissal:** In cases where gross misconduct is decided, dismissal is usually
immediate. The standard for gross misconduct is behavior so egregious that it evokes
condemnation by the academic community generally and is so utterly blameworthy as to make it
inappropriate to offer additional notice or severance pay. The first faculty committee that considers
the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty
member with continued appointment receives up to one year of salary or notice, and (b) a
probationary faculty member receives up to three months’ salary or notice. These terms of
dismissal begin at the date of final notification of dismissal.

### 4.7 Faculty Grievance Policy and Procedures

The following procedure is provided as the means for resolution of grievances against a
supervisor or member(s) of the university administration brought by members of the University
Libraries faculty with continued appointment or on the continued appointment-track. The Faculty
Senate Review Committee of the Faculty Senate conducts the step four hearing if requested.
Information on the Faculty Senate Review Committee is in chapter two of this handbook and on
the Faculty Senate Website.

#### 4.7.1 Ombuds, Mediation Services, and Faculty Senate Committee on
Reconciliation

**Informal Dialogue:** It should be possible to resolve most faculty concerns or complaints through
informal communication among colleagues working together in the academic enterprise.
Accordingly, a faculty member who feels he or she has a grievance is encouraged to take it to the
immediate supervisor in the collegial spirit of problem solving rather than as a confrontation
between adversaries.

**University Ombuds:** Any member of the university community may visit the university Ombuds
Office. The Ombuds listens and explores options for addressing and resolving concerns or
complaints. The Ombuds Office does not have the authority to make decisions or to reverse any
decision made or actions taken by university authorities. The Ombuds Office supplements, but
does not replace, the university’s existing resources for conflict resolution and its systems of
review and adjudication.

Communications with the Ombuds Office are considered confidential. The Ombuds Office will not
accept legal notice on behalf of the university, and information provided to the Ombuds Office will
not constitute such notice to the university. Should someone wish to make the university formally
aware of a particular problem, the Ombuds Office can provide information on how to do so. The
only exception to this pledge of confidentiality is where the Ombuds Office determines that there
is an imminent risk of serious harm, or if disclosure is required by law.
To preserve independence and neutrality, the Ombuds Office reports directly to the president. The Ombuds Office does not keep permanent records of confidential communications.

**Reconciliation:** At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Faculty Senate Committee on Reconciliation in fashioning an equitable solution. Contacting the Faculty Senate Committee on Reconciliation is not required in filing a grievance, but it may be useful if the grievant feels that the issue may be amenable to, but will require time for, negotiation; or if the grievant is unsure whether the concern is a legitimate issue for a grievance; or if personal relations between the parties involved in the grievance have become strained.

For a potential grievance issue to qualify for consideration by the Faculty Senate Committee on Reconciliation, the grievant contacts the chair of the Faculty Senate Committee on Reconciliation within 30 calendar days of the time when the grievant knew or should have known of the event or action that is the basis for the potential grievance, just as if beginning the regular grievance process. If the grievant requests assistance from the Faculty Senate Committee on Reconciliation, that committee must request a postponement of the time limits involved in the grievance procedure while it deals with the case. The chair of the Faculty Senate Committee on Reconciliation submits the request in writing to the vice provost for faculty affairs. Also, the grievant reaches an understanding with the Faculty Senate Committee on Reconciliation of the time frame planned for that committee’s work on the case, such time not to exceed 60 calendar days.

Faculty members may also consult the Faculty Senate Committee on Reconciliation about serious disagreements with immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the committee contacts the relevant administrator to determine if there is an interest and willingness to explore informal resolution of the dispute; it is not necessary to notify the Office of the Executive Vice President and Provost. Information on the Faculty Senate Committee on Reconciliation is in chapter two of this handbook and on the Faculty Senate website.

**Mediation:** Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate in order for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

**Role of Mediators:** Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.
**Requesting Mediation:** Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

**4.7.2 The Formal Grievance Procedure**

If the assistance of the Faculty Senate Committee on Reconciliation is not desired or is not requested; or if the Faculty Senate Committee on Reconciliation determines that it cannot provide assistance in the matter; or if the grievant finds that the length of time the Faculty Senate Committee on Reconciliation plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of that committee, the grievant may pursue the issue as a formal grievance through the following procedure. Appropriate supervisors, deans, directors, and other administrative faculty will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of the case.

**Step one:** The grievant must meet with the immediate supervisor within 30 calendar days of the date that grievant knew or should have known of the event or action that is basis for the grievance and orally identifies the grievance and the grievant’s concerns. The supervisor provides an oral response to the grievant within five weekdays following the meeting. If the supervisor’s response is satisfactory to the grievant, that ends the matter.

**Step two:** If a satisfactory resolution of the grievance is not achieved by the immediate supervisor’s oral response, the grievant may submit a written statement of the grievance and the relief requested to the immediate supervisor. This statement must be on the faculty grievance form, must define the grievance and the relief requested specifically and precisely, and must be submitted to the immediate supervisor within five weekdays of the time when the grievant received the immediate supervisor’s oral response to the first step meeting. Faculty grievance forms are available on the provost’s website.

Within five weekdays of receiving the written statement of the grievance, the immediate supervisor, in turn, gives the grievant a written response on the faculty grievance form, citing reasons for action taken or not taken. If the written response of the immediate supervisor is satisfactory to the grievant, that ends the matter.

**Step three:** If the resolution of the grievance proposed in the written response by the immediate supervisor is not acceptable, the grievant may advance the grievance to the next level of university
administration by checking the appropriate place on the faculty grievance form, signing and sending the form to the next level administrator within five weekdays of receiving the written response from the immediate supervisor. The next level of administration for faculty in the University Libraries is usually the University Libraries dean. The administrator involved at this next level is hereafter referred to as the second-level administrator.

Following receipt of the faculty grievance form, the second-level administrator or designated representative meets with the grievant within five weekdays. The second-level administrator may request the immediate supervisor of the grievant be present; the grievant may similarly request that a chosen representative from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the second-level administrator does not have legal counsel present. The second-level administrator gives the grievant a written decision on the faculty grievance form within five weekdays after the meeting, citing reasons for the decision. If the second-level administrator’s written response to the grievance is satisfactory to the grievant it ends the matter.

**Step four:** If the resolution of the grievance proposed in the written response from the second-level administrator is not acceptable, the grievant may advance the grievance within five weekdays to the level of the provost, including consideration by an impartial hearing panel of the Faculty Senate Review Committee of the Faculty Senate. Information about the Faculty Senate Review Committee is in chapter two of this handbook and on the Faculty Senate website.

Upon receiving the faculty grievance form requesting step four review, the provost, or appropriate designated representative, acknowledges receipt of the grievance within five weekdays and forwards a copy of the Procedures of the Faculty Senate Review Committee.

The provost immediately forwards a copy of the grievance to the president of the Faculty Senate, who also writes to the grievant to acknowledge receipt of the grievance within five weekdays of receipt of the faculty grievance form from the provost.

The grievant may petition the provost to bypass the Faculty Senate Review Committee and rule on the grievance. If the provost accepts the request, there is no subsequent opportunity for the grievance to be heard by a hearing panel. The provost’s decision, however, may be appealed to the university president, as described in step five. If the provost does not accept the petition, the Faculty Senate Review Committee hears the grievance as outlined in these procedures.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

**Hearing Panel:** A hearing panel consists of five members appointed by the chair of the Faculty Senate Review Committee from among the members of the Faculty Senate Review Committee. The chair of the Faculty Senate Review Committee polls all appointees to ensure that they have no conflict of interest in the case. Both parties to the grievance may challenge one of the appointments, if they so desire, without need to state cause, and the chair of the Faculty Senate
Review Committee appoints the needed replacement or replacements. Other replacements are made only for cause. The chair of the Faculty Senate Review Committee rules on issues of cause.

To ensure uniformity in practice, the chair of the Faculty Senate Review Committee or designee serves as the non-voting chair of each hearing panel. In the event that the chair of the Faculty Senate Review Committee has a conflict of interest concerning a case, the chair appoints a disinterested third party from among the members of the Faculty Senate Review Committee not already appointed to the hearing panel for the case to serve as chair of the hearing panel.

**Hearings:** After a hearing panel is appointed, the chair of the Faculty Senate Review Committee requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Faculty Senate president. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling. The hearing is then reconvened as appropriate.

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak on their behalf if so requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsel is present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel. Detailed procedures followed in hearings are specified in the Procedures of the Faculty Senate Review Committee as approved by the Faculty Senate.

**Findings and Recommendations:** The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Faculty Senate president. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the provost, the grievant, and the chair of the Faculty Senate Review Committee.

**Provost’s Action:** The provost meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant about the prospects for disposition of the case. Within 10 weekdays of that meeting, the provost sends to the grievant the decision in writing concerning the disposition of the grievance. If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel,
or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel, that ends the matter.

**Step five:** If the provost’s decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the university president within 20 calendar days. The president acts as he or she sees fit. The president’s decision is final.

**4.7.3 Timeliness of Grievance and Procedural Compliance**

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time when he or she knew or should have known of the event or action that is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that he or she accepted the last proposed resolution as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the chair of the Faculty Senate Review Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee (or the vice president of the senate if the president is also chair of the Faculty Senate Review Committee) is convened to rule on the question, as in disputes about the validity of issues qualifying for the grievance procedure. The special committee has the following options. It can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a significant procedural violation did occur. If the administrator committed a significant procedural violation, the grievance automatically qualifies for advancement to the next step in the grievance process. If the grievant committed a significant procedural violation, the grievance process ends at that point with the last proposed resolution established as the final disposition of the case.
4.7.4 Valid Issues for Grievance

For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation, unreasonable merit adjustment or salary level, or excessive teaching load/work assignments; substantive violations of promotion and continued appointment procedures (see appeal process in chapter four, “Appeals of Decisions on Reappointment, Continued Appointment, or Promotion”); reprisals; substantive error in the application of policy; and matters relating to academic freedom.

Issues not open to grievance: While most faculty disputes with the university administration may be dealt with by this grievance policy, the following issues may not be made the subject of a grievance: determination of policy appropriately promulgated by the university administration or the university governance system; those items falling within the jurisdiction of other university policies and procedures (for example, complaints of unlawful discrimination or harassment, or an appeal related to the merits of a promotion and/or continued appointment decision); the contents of personnel policies, procedures, rules, regulations, ordinances, and statutes; the routine assignment of university resources (e.g., space, operating funds, parking, etc.); usual actions taken, or recommendations made, by administrators or committee members acting in an official capacity in the grievance process; termination of appointment by removal for just cause, non-reappointment, or abolition of position; or allegations of misconduct in scholarly activities.

Adjudication of disputes on the validity of issues qualifying for consideration under the faculty grievance procedures: If a university administrator rules that an issue does not qualify for the grievance process, the grievant may write to the chair of the Faculty Senate Review Committee within five weekdays of receiving such notification and request a ruling from a special committee consisting of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

4.7.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty
Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from the assigned work location at the time of discovery the event or action is the basis for a grievance, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg, and he or she is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers he or she has a grievance about actions by an administrator above the level of the immediate supervisor that directly involve the faculty member, or with actions by an administrator not in the department that directly involve the faculty member, the grievant initiates the grievance process by seeking the intervention of the immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in the usual fashion.

A grievance filed by a faculty member concerning an action of the provost is managed by the chair of the Faculty Senate Review Committee and a regular impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the university president for ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of the university president is addressed by a special panel appointed by the provost in consultation with the president of the Faculty Senate.
Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations, or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.

**4.7.6 Overview of the Formal Grievance Process for Faculty with Continued Appointment or on the Continued Appointment-Track**

Below is an abbreviated overview of the grievance process and deadlines. Refer to chapter four, “The Formal Grievance Procedure,” for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an agreement. (An agreement form to extend the grievance response time is available on the provost’s website.)

<table>
<thead>
<tr>
<th>Step One</th>
<th>Step Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within 30 days of event</td>
<td>1a.</td>
<td>Grievant meets with immediate supervisor.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>1b.</td>
<td>Supervisor provides verbal response.</td>
</tr>
<tr>
<td></td>
<td>1c.</td>
<td>If the supervisor’s response is satisfactory to the grievant, that ends the matter.</td>
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<tr>
<td></td>
<td>1d.</td>
<td>If supervisor’s response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
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<tr>
<th>Step Two</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>2a.</td>
<td>Grievant submits written grievance to immediate supervisor.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>2b.</td>
<td>Supervisor responds in writing on grievance form.</td>
</tr>
<tr>
<td></td>
<td>2c.</td>
<td>If the supervisor’s response is satisfactory to the grievant, that ends the matter.</td>
</tr>
<tr>
<td>Step Three</td>
<td>Step Number</td>
<td>Description</td>
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<tr>
<td>Within 5 weekdays</td>
<td>3a.</td>
<td>Grievant advances grievance form to the second-level administrator (usually dean of University Libraries).</td>
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<tr>
<td>Within 5 weekdays</td>
<td>3b.</td>
<td>Dean meets with grievant; dean may request department to be present.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>3c.</td>
<td>Dean responds in writing on grievance form.</td>
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<td></td>
<td>3d.</td>
<td>If the dean’s written response is satisfactory to the grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>3e.</td>
<td>If the dean’s written response is not satisfactory to the grievant, move to step four within 5 weekdays.</td>
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<tr>
<th>Step Four</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>4a.</td>
<td>Grievant advances grievance form to the provost.</td>
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<tr>
<td>Within 5 weekdays</td>
<td>4b.</td>
<td>Provost acknowledges receipt of grievance and forwards copy to Faculty Senate president to receive recommendation of an impartial hearing panel of the Faculty Senate Review Committee.</td>
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<tr>
<td>Within 5 weekdays</td>
<td>4c.</td>
<td>Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.</td>
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<tr>
<td>Within 15 weekdays</td>
<td>4d.</td>
<td>Faculty Senate Review Committee chair appoints hearing panel from among Faculty Senate Review Committee members; panel holds its initial meeting with both principals.</td>
</tr>
<tr>
<td>Within 45 weekdays</td>
<td>4e.</td>
<td>The hearing panel concludes its work and makes recommendations to the provost and the grievant.</td>
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<tr>
<td>Within 10 weekdays</td>
<td>4f.</td>
<td>Provost meets with grievant.</td>
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<tr>
<td>Within 10 weekdays</td>
<td>4g.</td>
<td>The provost notifies the grievant in writing of the decision.</td>
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<tr>
<td>4h.</td>
<td></td>
<td>If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendation of the hearing panel that ends the matter.</td>
</tr>
<tr>
<td>4i.</td>
<td></td>
<td>If the provost’s decision is not acceptable to the grievant and not consonant with the recommendation of the hearing panel, move to step five within 20 calendar days.</td>
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### Step Five

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<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 20 calendar days</td>
<td>5a.</td>
</tr>
<tr>
<td>5b.</td>
<td>The university president’s decision is final.</td>
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### 4.8 Study-Research Leave

Study-research leave may be granted to faculty members for research and/or advanced study necessary to enhance the competencies of those faculty members to conduct their obligations to the university. (At other universities, this program is often called “sabbatical.”)

Full-time faculty members holding continued appointment with significant responsibility for instruction and scholarly productivity, with the rank of assistant professor or higher, having accrued a minimum of six years of service, are eligible for study-research leaves. Following such a leave, an additional six years of full-time service are necessary before a faculty member is eligible for another study-research leave. Requests may be submitted prior to completion of six years of service, but faculty members must have completed the sixth year before the leave period begins.
Time spent on study-research leave, educational leave, or leave without pay is not considered in compiling minimum service requirements for further leaves.

As part of the commonwealth’s educational leave program, recipients of study-research leaves are provided with partial salary (not to exceed one-half salary). All employee benefits remain in force while faculty members are on study-research leaves. Calendar year faculty on study-research leave earn annual leave at a rate of half their usual annual leave earnings.

Instead of a proposal for leave of an entire academic or calendar year, faculty members may propose a sequence of semester leave periods at half-salary over several years, not to exceed in total one academic year (for a faculty member on academic year appointment) or 12 months (for a faculty member on calendar year appointment). If such a sequence of leaves is undertaken, all intervening periods of full-time appointment at Virginia Tech accrue toward the six-year minimum service required before eligibility for another study-research leave or sequence of leaves.

Alternatively, following completion of any study-research leave, faculty members may propose a single semester of study-research leave at half-salary following three years of full-time service to the university.

Recipients of a study-research leave may receive additional compensation from other approved sources up to a total equal to their annual salary from the university. Faculty members may receive an additional half salary from sponsored grants or contracts, resulting in a one-year period at full salary from university sources; the appropriate level of effort must be expended on grant-related activities. They may also obtain additional funds from external sources to cover expenses for travel, research, administrative assistance, and the purchase of relevant materials. The appropriate supervisor and provost review and approve required documentation of all external earnings and expected payments. Engagement in consulting activities must be consonant with existing university policy.

The request for study-research leave is made in the fall and, if approved, is taken the following academic year. Requests for study-research leave are submitted to the appropriate supervisor by November 1 for processing through the college, provost, and consideration by the Board of Visitors at the March (or spring) meeting of the board. Requests are forwarded to the board, subject to recommendation of the appropriate supervisor, dean, and the provost, with consideration of the need for effective continuation of the University Libraries’ program. Specific leave request due dates are established annually and are available in the Calendar of Important Dates found on the provost’s Research Leaves page.

The faculty member returns to full-time service with the university for a minimum of at least one academic year at the end of the approved leave or repays the university the salary received plus interest. If less than this required period of service is met, repayment is required of the pro rata portion of the compensation provided by the university during the leave period. Before undertaking the leave, the faculty member signs a memorandum of agreement to this effect.
Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and appropriate supervisor summarizing accomplishments.

### 4.9 Research Assignment

Research assignment is a special category of study-research leave that is awarded to a faculty member with continued appointment for one semester of intensive study or research that increases the quality of the individual’s professional stature and future contribution to the university. It may be taken in lieu of an ordinary year-long study-research leave. Continued appointment-track faculty members are not eligible to apply for research assignment leave until after continued appointment has been awarded.

Full-time faculty members holding continued appointment with the rank of assistant professor or higher and having accrued a minimum of six years of service, are eligible for research assignment or study-research leave. Following such a leave, an additional six years of full-time service are necessary before a faculty member may be considered for another research assignment. Requests may be submitted prior to completion of six years of service, but faculty members must have completed the sixth year before the leave period begins. Faculty members on calendar year appointments may take research assignment leave for up to six months.

Approval for research assignment provides the faculty member with full salary and related benefits for the period of the leave; faculty members may not take on additional responsibilities for outside income except as allowed by the university’s consulting policy. Modest stipends associated with competitive visiting scholar programs at other institutions, competitive national or international fellowships, the Fulbright Scholar Program, and similar prestigious opportunities to support study and/or scholarly research may be approved where there is clear benefit to the faculty member and the university. Similarly, externally funded reimbursements or allotments for travel, temporary relocation, and other expenses associated with the proposed research assignment may be approved. The appropriate supervisor, dean, and provost review and approve required documentation of all external earnings and expected payments. When a faculty member proposes a period of paid employment greater than 50% of the annual salary in a corporate or governmental setting, leave without pay or a contract through the Intergovernmental Personnel Act may be more appropriate than a research assignment.

The primary privilege of a research assignment is entire relief from teaching, administrative duties, and other faculty duties for one semester. A secondary privilege is that the assignment may be carried out at any location approved by the dean, although research programs that require facilities, resources from the University Libraries, or collaborations not available at the university are given special consideration.

An application for research assignment is submitted to the appropriate supervisor by November 1 of the academic year preceding that in which the assignment will be made. Application forms are available from the provost’s Faculty Forms page. The application is in the form of a letter, which includes a detailed description of the proposed research or other scholarly project, the
location of that activity, and the relevance of the proposed activity in contributing to the faculty member’s own scholarly research program. The dean reviews the application and forwards it with a recommendation to the provost by mid-December, indicating the provisions that will be made to accommodate the faculty member’s responsibilities. The dean is expected to weigh fiscal and academic load considerations to assure an equitable distribution of the awards. The provost reviews the recommendations, communicates with the dean, and announces the results to each candidate, following approval by the Board of Visitors. Specific leave request due dates are established annually and are available in the Calendar of Important Dates on the provost’s Research Leaves page.

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave. If less than this required period of service is met, repayment is required of the pro rata portion of the compensation provided by the university during the leave period. Before undertaking the leave, the faculty member must sign a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and appropriate supervisor summarizing accomplishments.

4.10 Modified Duties
The university recognizes the need for all continued appointment and continued appointment-track faculty members to balance the commitments of family and work. Special family circumstances, for example, birth or adoption of a child, severe illness of an immediate family member, or even issues of personal health, can cause substantial alterations to one’s daily routine, thus creating a need to construct a modified workload and flexible schedule for a period of time.

Since the circumstances may vary widely for faculty members at different stages of their careers and with different family and workload situations, this policy does not prescribe the exact nature of the accommodation. In many cases, it may be a reduction or elimination of a teaching assignment while the faculty member continues to meet ongoing, but more flexible research and graduate student supervision obligations. In general, the university’s commitment is to work with a faculty member to devise a modified workload and schedule that enables the faculty member to remain an active and productive member of the department. Because there is no reduction in salary, the faculty member is expected to have a set of full-time responsibilities.

An eligible faculty member is encouraged to speak with the appropriate supervisor or chair as soon as possible about the need for modified duties to ensure the maximum amount of time for planning. A department chair, in conjunction with the University Libraries dean, is responsible for working with a faculty member to ensure a fair plan for modified duties is implemented, if possible, budgetary constraints are considered, and student or other needs are met. The policy does not create an entitlement if there are legitimate business-related reasons for denying the request. The
appropriate supervisor, in consultation with the dean or director, makes final decisions about the nature of the modified duties.

The provisions of this policy cannot adequately address all individual circumstances. Sick leave (including disability), leave without pay, or permanent reduction in appointment to part-time status may be options to consider for longer-term or more demanding needs. This policy is not intended to provide release time from teaching for the purpose of allowing additional time for research. Reduction in teaching assignments for research purposes is the prerogative of the University Libraries and a function of the university’s program of study-research leaves.

Extension of the probationary period (see chapter four, “Extending the Continued Appointment Clock”) is available to faculty members on continued appointment-track appointments who are confronted with extenuating personal or family circumstances, or birth or adoption of a child. The extension may be requested as a complement to a request for modified duties. However, the semester of modified duties does not automatically affect the continued appointment probationary period.

**Eligibility:** Modified duties may be requested by any faculty member in a full-time continued appointment or continued appointment-track appointment for the purpose of managing family responsibilities or, in exceptional cases, personal health issues not addressed by sick leave. The policy applies to eligible faculty upon employment.

**Guidelines:** The period of modified duties is one semester, or an equivalent amount of time for those faculty members whose responsibilities are not tied directly to teaching on the academic calendar.

Modification of duties should not result in additional duties during the subsequent semester, e.g., the faculty member should not be asked to make up the released teaching before or after the semester of modified duties. The faculty member cannot be employed by another institution during the period of modified duties, nor can the release time be used for extensive professional travel or other increased professional activities (including consulting) that do not meet the goals of the policy.

Medical documentation is required if the period of modified duties is requested related to a health issue not addressed by sick leave.

A semester of modified duties should be considered in addition to, not as a substitute for, sick leave and family leave available to those giving birth or adopting during the period of the appointment (i.e., during the academic year for those on academic year appointments, or any time for those on calendar year appointments). There are no work expectations for individuals on approved sick or family leave.

Requests for outside consulting during the period of modified duties are not usually approved.
A faculty member should submit a request for modified duties as early as possible so the department can plan appropriately. The request form is available on the provost’s Faculty Forms page. The plan of proposed activities is developed in consultation with the appropriate supervisor, and the University Libraries dean. The modified duties can include assignments from the department and/or libraries, as appropriate.

Subject to available funding, the Office of the Executive Vice President and Provost provides an allotment to the faculty member’s unit to replace teaching (or to use in other ways relevant to the duties) that is lost through the granting of a term of modified duties. Additional support from departments is strongly encouraged and should be noted in the request.

Approval of the appropriate supervisor, University Libraries dean, and provost are necessary. If the appropriate supervisor does not support the request, the reasons for denial are provided in writing, and the request is automatically forwarded to the dean for further review.

CHAPTER FIVE
NON-TENURE-TRACK INSTRUCTIONAL FACULTY

5.0 Employment Policies for Non-Tenure-Track Instructional Faculty
Non-tenure-track faculty members fill critical roles in the learning, discovery, and engagement missions at Virginia Tech. They complement the efforts and qualifications of tenure-track faculty, provide access to specialized faculty resources, and allow flexibility to address programmatic needs. As valuable contributors to departmental and institutional missions, they are entitled to fair treatment and compensation, access to professional development opportunities, recognition for their accomplishments, and participation in the life of the university community. The following policies address specific aspects of non-tenure-track instructional faculty appointments. In a few cases, faculty members with regular academic rank (assistant, associate, or professor) hold non-tenure-track appointments because of unusual job responsibilities and historical lack of appropriate alternative ranks. Policies in this section also apply to those individuals.

Ordinarily a graduate or professional degree is required for appointment to one of these ranks. Appointments are made using established university search procedures. (See chapter two, “Faculty Search Processes” and the Human Resources Forms page.) Academic departments retain the authority and responsibility to decide whether to employ non-tenure-track faculty members to deliver aspects of their instructional program. An appropriate departmental committee approves the departmental policies and practices related to the use of non-tenure-track rank.
5.1 Non-Tenure-Track Instructional Faculty Series

5.1.1 Visiting Professor

Appointment to the rank of visiting assistant, associate, or professor is for a restricted period to conduct learning, discovery, and engagement responsibilities within an academic department. Professional credentials required for the standard professorial ranks are required for appointment as a visiting assistant, associate, or professor. A visiting faculty member may not serve in such a position beyond six years. Tenure cannot be awarded to individuals in the visiting ranks.

Full-time service at this rank may or may not be counted as part of the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position. As with prior service credit from another institution, the decision to include all or some of the years of service from a visiting appointment is at the discretion of the faculty member. However, this decision must be made at the time of appointment to the tenure-track position and documented as part of that initial contract.

5.1.2 Adjunct Professor

Appointment to the rank of adjunct assistant, associate, or professor is reserved for persons whose primary employment is with another agency, organization, educational institution, or with a non-instructional unit of the university. Adjunct professors are usually compensated as wage employees using the university’s P14 form. Procedures for processing P14 actions are available on the Human Resources Adjunct Faculty (P14) page.

Appropriate professional credentials are required for appointment as an adjunct assistant, associate, or professor. Appointments may be renewed annually, but tenure cannot be awarded at this rank. The professor of practice series titles may be used for wage adjunct faculty appointments in lieu of the adjunct assistant professor, associate professor, or professor titles, if appropriate for the assignment and credentials of the individuals. (See “Professor of Practice Ranks.”)

Adjunct faculty must present credentials appropriate to the level of the course they are teaching. It is the responsibility of the department to verify documentation of appropriate credentials for adjunct faculty members prior to the start of the course. (See chapter two, “Qualifications and Credentials for Teaching for Instructors of Record,” or the provost’s Faculty Credentials page).

If deemed qualified and appropriate by the host department, authorization for an adjunct faculty member to serve as principal investigator on a sponsored project may be requested. The department, with the approval of the dean, submits a written request for such authorization to the Office of the Vice President for Research and Innovation.

Wage adjunct faculty members do not typically submit an annual faculty activity report or have an annual evaluation because their employment is temporary. Although wage adjunct faculty may be hired repeatedly to teach a course or courses, they are not considered to be continuing faculty for the purposes of evaluation. Per course stipends paid to wage adjunct faculty are not fixed.
university-wide, but rather are determined on a departmental basis. Payments typically reflect the experience and credentials of the wage adjunct faculty member, the level of demand (market) for the necessary expertise, and general salary levels in the discipline.

5.1.3 Professor of Practice Series
Academic departments retain the authority and responsibility to make decisions about whether to employ professors of practice. An appropriate standing departmental committee, such as a promotion and tenure or executive/personnel committee, establishes the departmental policies and practices related to the use of non-tenure-track ranks. The department head or chair and dean review and approve the policies and practices.

For disciplines where professional preparation of students is a major goal, the involvement of experienced practitioners in teaching the skills and values of the profession, overseeing internships and project experiences, and career advising, for example, are a vital aspect of a successful program. Professional programs often have a deep commitment to the on-going continuing education of practitioners in the field, resulting in a greater commitment to delivery of outreach programs than is typical of a tenure-track appointment outside of Virginia Cooperative Extension. Programs in the arts may wish to attract resident artists or performers for a period of time to contribute to the program. The professor of practice rank series may be appropriate in these and other roles that typically do not reflect the same range of responsibilities required for tenure-track faculty members.

The professor of practice series provides for short-or long-term, full-or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. (These rank titles may also be used for wage [P14] appointments in lieu of adjunct assistant, associate, or professor, if appropriate for the assignment and credentials of the individual.) Individuals appointed to these ranks are expected to be successful and effective professionals in a given field. They must be effective teachers of the profession or discipline and they are expected to be able to understand and evaluate the research that applies to their field and teach it to students. While professor of practice faculty members may conduct research and present their findings in professional venues, there are no expectations for an extensive research program as is typical of tenure-track faculty appointments.

Professor of practice faculty members are expected to remain active in their professions in ways that contribute to their assignment—teaching, consulting, or outreach, serving in technical and professional societies and associations, and similar activities. Where appropriate to their assignment, they may interact with graduate or professional students and interns and serve on graduate committees. To chair a graduate committee, professors of practice must have a terminal degree, active involvement in research, and the approval of the academic unit and the graduate school. They may also be expected to serve on departmental, college, or university committees as contributing members of their departments and the broader university community.
Individuals appointed to a professor of practice rank must have a graduate or professional degree in the discipline (or a related discipline), professional certification(s) if relevant, and/or significant professional experience. Any appointment without the relevant terminal degree in the field must be certified by the department as appropriately credentialed for the faculty member’s particular instructional assignment in accordance with guidelines for regional accreditation and university policy and procedures.

Documentation supporting alternative credentials certification is required. Further information regarding appropriate credentials for the teaching faculty is found in chapter two, “Qualifications and Credentials for Teaching for Instructors of Record,” and on the provost’s Faculty Credentials page.

A record of significant professional achievement is expected for appointment at the associate professor or professor level; initial appointments at such ranks require approval of the appropriate departmental committee and head or chair. Appointment to one of these ranks may be from one to five years and is renewable without limit.

Promotion within these ranks may be pursued through procedures outlined in this section. Tenure will not be awarded at any of these ranks and service at these ranks is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position.

**Assistant Professor of Practice:** Persons appointed at this rank have a graduate or professional degree in the discipline (or a related discipline), professional certification(s) if relevant, and/or significant professional experience. Experience and a demonstrated competence in practice of the profession are expected. Credential must be relevant to the field and type of assignment.

**Associate Professor of Practice:** Persons appointed at the associate professor of practice rank have a graduate or professional degree in the discipline (or a related discipline), professional certification(s) if relevant, and/or significant professional experience. Credentials for appointment or promotion to this rank must document a record of significant professional experience and accomplishments relevant to the field and type of assignment.

**Professor of Practice:** Professor of practice is the capstone rank in the series. Appointment to this rank denotes distinguished professional achievement, and regional, national, or international prominence in the field. Credentials for appointment or promotion to this rank must document a record of significant professional experience and accomplishments relevant to the field and type of assignment. External validation of such accomplishments and leadership in the field is expected at the time of appointment or promotion.

### 5.1.4 Clinical Faculty Series

General college faculty members with responsibilities primarily in instruction and/or service in a clinical setting, such as veterinary medicine, are considered clinical faculty. The following clinical faculty appointments are intended to promote and retain clinical educators and to complement
the clinical activities of the university. The clinical faculty track provides for long-term, full-time, or part-time faculty appointments to individuals whose primary responsibilities are in clinical settings and in the instructional programs. While clinical faculty may conduct clinical research and present their findings in professional venues, there are no expectations for an extensive research program as is typical of tenure-track faculty appointments. Tenure cannot be earned in these ranks and time spent in one of these ranks is not applicable toward pre-tenure probationary tenure-track faculty service. The clinical faculty ranks include:

**Clinical Instructor:** Persons appointed to this rank must have the appropriate professional degree. Preference is given to individuals eligible for, or certified by, the most appropriate specialty college or organization recognized by the profession. Appointments at this rank are typically for one year and are renewable.

The clinical professor series is designed for clinical faculty members who have extended appointments and who are expected to interact with graduate or professional students/residents and interns, serving on committees or supervising their training. Appointment to one of these ranks may be from one to five years and is renewable without limit. Usually, a national search is conducted for appointment at one of these ranks (or an approved exemption sought for exceptional skills or similar justification).

**Clinical Assistant Professor:** Persons appointed to this rank must have the appropriate professional degree and eligibility for, or certification by, the most appropriate specialty college recognized by the professional organization. Credentials shall be consistent with those for appointment to assistant professor, with an expectation for primary commitment to the instructional and clinical teaching setting.

**Clinical Associate Professor:** Persons appointed to this rank must have the appropriate professional degree and be a diplomate in the appropriate specialty college recognized by their professional organization. Credentials shall be consistent with those for appointment to associate professor, with an emphasis on clinical accomplishments.

**Clinical Professor:** Persons appointed to this rank must have the appropriate professional degree and be a diplomate in the most appropriate specialty college recognized by their professional organization. Credentials shall be consistent with those for appointment to professor, with an emphasis on clinical accomplishments.

Further detail on the duties and responsibilities of these ranks, criteria and the process for promotion, and the terms and conditions of employment for clinical faculty are established by the respective academic departments and approved by an appropriate college-level committee and the dean.

**5.1.5 Collegiate Faculty Series**
Academic departments retain the authority and responsibility to make decisions about whether to employ collegiate professors. Departmental policies and practices related to the use of non-
tenure-track ranks must be approved by an appropriate standing committee in the department, such as a promotion and tenure or executive/personnel committee, the department head or chair, and dean.

Collegiate professors must have a major commitment to the instructional missions of the department. The involvement of collegiate professors can include classroom and online teaching, curricular updates, course transformations, and the adoption/integration of innovative and inclusive pedagogy. Working in collaboration with the department’s other faculty, collegiate faculty may take a lead role in enhancing the curricula and promoting teaching excellence.

The collegiate professor series provides for short-or long-term, full-or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. (These rank titles may be used for wage [P14] appointments in lieu of adjunct assistant, associate, or professor, if appropriate for the assignment and credentials of the individual.) Individuals appointed to these ranks are expected to be successful and effective professionals in a given field. They must be effective teachers of the discipline and they are expected to be able to understand and evaluate the research that applies to their field and to teach it to students. Collegiate professor faculty members may conduct research on the scholarship of teaching and learning related to their field and/or on disciplinary topics in their field and present their findings in professional venues, but there are no expectations for an extensive research program as is typical of tenure-track faculty appointments.

Collegiate professor faculty members are expected to remain active in their disciplines/professions in ways that contribute to their assignment—teaching, consulting, or outreach, serving in technical and professional societies and associations, and similar activities. Where appropriate to their assignment, they may interact with graduate or professional students and interns, serve on graduate committees, and chair graduate advisory committees with the approval of the academic unit and the graduate school. They may also be expected to serve on departmental, college, or university committees as contributing members of their departments and the broader university community.

Collegiate professors are generally appointed to 3-, 5-, or 7-year contracts. Contractual details outlined in the Terms of Faculty Offer (TOFO) may be complemented with a statement of work negotiated between the faculty member and the department head.

Individuals appointed to a collegiate professor rank must have a terminal or professional degree in the discipline (or a related discipline) and professional certification(s), if relevant, and must be certified by the department as appropriately credentialed for the faculty member’s particular instructional assignment in accordance with guidelines for regional accreditation and university policy and procedures. Further information regarding appropriate credentials for the teaching faculty is found in chapter two, “Faculty Credentialing Guidelines Qualifications and Credentials for Teaching for Instructors of Record,” and on the provost’s Faculty Credentials page.
A record of significant scholarly and/or professional achievement is expected for appointment at the associate or professor level; initial appointments at such ranks require approval of the appropriate departmental committee and head or chair or school director. Appointment to one of these ranks is for a specified number of years (see below) and is renewable without limit. Performance and promotion evaluations of collegiate professors is performed by department and college standing committees where faculty form the majority, such as a promotion and tenure committee or executive/personnel committee.

A collegiate professor in a regular position who receives notice of non-reappointment may request a review of the decision by the college dean. If the dean sustains the non-reappointment decision, the faculty member may request, through the dean, a further and independent review of the decision by the properly constituted college committee on promotion and tenure in accordance with appropriate procedures.

Promotion within these ranks may be pursued through procedures outlined in this section. Tenure will not be awarded at any of these ranks and service at these ranks is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position.

**Collegiate Assistant Professor:** Persons appointed at this rank have a terminal graduate or professional degree in the discipline (or a related discipline) and professional certification(s), if relevant. Experience and demonstrated competence in teaching are expected. Appointment to this rank is for three years and is renewable without limit.

**Collegiate Associate Professor:** Persons appointed at the collegiate associate professor rank have a terminal graduate or professional degree in the discipline (or a related discipline) and professional certification(s), if relevant. Credentials for appointment or promotion to this rank must document a record of significant instructional experience and accomplishments relevant to the field and type of assignment. The appointment to this rank is for five years and is renewable without limit.

**Collegiate Professor:** Collegiate professor is the capstone rank in the series. Appointment to this rank denotes distinguished professional achievement, and regional, national, or international prominence in the field. Credentials for appointment or promotion to this rank must document a record of significant instructional experience and scholarly accomplishments relevant to the field and type of assignment.

External evaluation of such accomplishments and leadership in the field is expected at the time of appointment or promotion. Appointment to this rank is for seven years and is renewable without limit.

### 5.1.6 Instructor Ranks

The responsibilities of a person appointed to one of the instructor ranks in an academic department are focused on undergraduate education, with minimal or no expectation for
development of an independent program of research or scholarship. A master’s degree is the usual minimum educational credential for an appointment to the instructor ranks, and generally a minimum of 18 graduate credits teaching in the discipline is required to meet accreditation standards. Further information regarding appropriate credentials for the teaching faculty is found in chapter two, “Qualifications and Credentials for Teaching for Instructors of Record,” and on the provost’s Faculty Credentials page.

Instructors with distinctive assignments and work schedules will have these responsibilities conveyed in the terms of faculty offer letter at the time of appointment.

While initial appointment is typically at the entry rank, prior experience may be considered for a recommendation of appointment at a higher rank with the approval of the appropriate departmental committee and head or chair. Up to three years of similar instructional service at another accredited American four-year college or university may be counted toward the designated period required prior to review for promotion in rank.

Tenure is not awarded at any of these ranks and all service at any instructor rank is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position. Faculty members within the instructor ranks may not chair a graduate committee.

**Instructor:** The instructor rank is the initial rank for appointment of a full- or part-time faculty member. Primary responsibilities are usually to the instructional program, but assignments vary depending on the faculty member’s expertise and experience and departmental needs. Typically, they include teaching undergraduate courses, advising students, developing, or revising courses and curricula, and fulfilling other instructional, administrative, or service responsibilities. Appointment at this rank consists of a series of one- or two-year renewable appointments with a minimum of five years of completed service before consideration for promotion.

**Advanced Instructor:** Consideration for promotion to the rank of advanced instructor may be requested by the instructor or recommended by the department based on excellence in instructional responsibilities and significant evidence of related professional growth and development. Mentoring colleagues or graduate teaching assistants, student advising, course or curriculum development, or exemplary service or outreach are examples of ways in which instructors can make valuable contributions to the instructional programs in a department. Advanced instructors are expected to demonstrate mastery in teaching with significant impact on student learning and the department’s undergraduate programs. Scholarship and publication are not typically an assigned responsibility of instructor positions, but such accomplishments may be considered as part of the evaluation for promotion. Promotion to the advanced instructor rank is generally accompanied by a renewable three-year contract.

A minimum of five years of completed service at the advanced instructor rank is required before consideration for promotion to senior instructor.
Senior Instructor: Senior instructor is the capstone rank in the instructor series and promotion to this rank denotes exemplary instruction, demonstrated continued professional development, and significant contributions to undergraduate education. In addition to teaching courses, senior instructors may have considerable responsibility in mentoring colleagues or graduate teaching assistants, overseeing course development or special instructional initiatives, student advising, or other responsibilities reflecting their role as instructional leaders. Promotion to the rank of senior instructor is generally accompanied by a renewable five-year contract.

5.2 Policies Related to Non-Tenure-Track Instructional Appointments

5.2.1 Initial Appointment

All initial non-tenure-track faculty appointments are usually for a period of one year, including appointments at the more senior ranks. Subsequent reappointments may be multi-year, as appropriate for the rank.

Appointments may be regular (renewable) or restricted (with a defined end date), calendar year or academic year, and full-or part-time depending on job responsibilities and available funding. Visiting and adjunct appointments are intended to be temporary in nature and are almost always restricted.

Non-tenure-track faculty positions are term appointments eligible for renewal based on quality of performance, continuing need for services in the unit, and available funding.

5.2.2 Reappointment

Non-tenure-track faculty members on restricted contracts whose appointments will be continued are issued a reappointment contract specifying the new ending date for their appointment. Reappointments typically occur on the anniversary of the hire date or are realigned to coincide with the academic year or other relevant appointment cycle. The practice of issuing repeated one-year restricted contracts for an individual faculty member over many years is explicitly discouraged, as it can be exploitative over an extended time.

Therefore, if a faculty member is to be reappointed into a restricted position when the faculty member has spent the preceding five years on restricted contracts, approval must be requested from the provost's office. The request should be supported by documentation demonstrating why the position cannot readily be converted to a regular appointment.

Reappointments for faculty members on regular contracts are usually effective July 1 or August 10, reflecting either calendar year or an academic year appointment. Notice of non-reappointment is in accordance with periods identified in chapter two, “Retirement, Resignation, and Non-Reappointment.”

5.2.3 Annual Evaluations and Merit Adjustments

Continuing faculty members must submit an annual faculty activity report in accordance with departmental and college procedures and timelines. Timely submission of the annual faculty
activity report is required for consideration for a merit adjustment. Annual evaluation of performance by the department head/chair or supervisor (or appropriately charged committee) and feedback to the faculty member are required and should be consistent with university policies and practices for annual evaluation of tenure-track faculty members.

Non-tenure-track faculty members are entitled to full consideration for merit adjustments as available and warranted by their performance.

5.2.4 Promotion Guidelines for Instructors, Professors of Practice, and Clinical Faculty Ranks

Non-tenure-track faculty members are eligible for promotion in rank in accordance with guidelines established by academic departments and approved by an appropriate college-level committee and the dean. Such guidelines should outline the process and criteria for promotion in rank; they should be widely available along with other departmental and college documents related to promotion and tenure. Faculty members may be in a regular or a restricted appointment to be considered for promotion.

Promotion in rank for any non-tenure-track position is not a requirement of continued employment, or an entitlement for years of service without evidence of exceptional merit, continued professional development, and contribution in the assigned role. An approved promotion in rank is recognized by a change in title, increasing length of appointment contract, and a base salary adjustment as identified in the annual faculty compensation plan approved by the Board of Visitors.

Consideration for promotion in rank includes preparation of a dossier using a common university format, which may be based on relevant elements of the promotion and tenure dossier format for tenure-track faculty members. Typically, such a dossier includes a statement of professional direction and accomplishment, a complete curriculum vitae, and documentation of contributions associated with the instructor’s appointment. These contributions can be to instructional programs or administrative and/or service responsibilities. Colleges and departments may request supplemental materials. The appropriate college committee and dean approve guidelines for dossier development and departmental policies and procedures for the promotion process. External review of credentials is required for some—but not all—promotions in non-tenure-track ranks. Requirements are outlined in the promotion and tenure guidelines listed on the provost’s Promotion and Tenure page.

The promotion dossier is reviewed at three levels: (1) by an appropriately charged departmental committee and the department head or chair, (2) by an appropriately charged college-level committee and the dean, and (3) by the provost. The department head or chair and dean make separate recommendations to the subsequent review levels. The provost reviews college and dean recommendations and makes recommendations to the president. The Board of Visitors grants final approval.

Given the wide variation in representation of non-tenure-track instructional appointments some latitude is provided in the nature and make up of department and college committees.
example, departments with significant numbers of instructors, the committee charged with reviews would consist of majority representation of advanced and senior instructors. (or associate and clinical professors). In departments with very few such appointments, the existing departmental promotion and tenure committee may review the dossier(s) and make recommendations. Similarly, at the college level either a special committee may be formed to review promotions of non-tenure-track instructional faculty with majority representation of those in the advanced level of such ranks, or the existing promotion and tenure committees may be assigned such review and recommendation responsibilities. While the procedures vary to recognize practical issues and varying numbers, the guidelines for review should be in writing and adhered to for consistency and fair treatment of all candidates. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Given that promotion decisions do not carry the same “up or out” decision associated with tenure decisions, a negative recommendation on a promotion request need not translate into termination of employment. Indeed, a faculty member may remain at the initial rank if their performance warrants continued employment and serves departmental needs. If the promotion request is not supported on the first submission, it may not be appealed until at least a second review has taken place in a subsequent or later year.

Following the same pattern as review of tenure-track faculty members, a positive recommendation from either or both the departmental committee and the department head or chair automatically advances the dossier for promotion to the college committee level. Similarly, at the college level, a positive recommendation from either or both the college committee and the dean results in automatic advancement of the recommendation to consideration by the provost. The decision of the provost is final and cannot be appealed.

Faculty members should be provided with written feedback in the case of a negative recommendation at either the department or college level so that they might improve their performance or dossiers for a later submission.

5.2.4.1 Promotion Guidelines for Collegiate Professor Ranks

Non-tenure-track faculty members are eligible for promotion in rank in accordance with guidelines established by academic departments and approved by an appropriate college-level committee and the dean. Such guidelines should outline the process and criteria for promotion in rank; they should be widely available along with other departmental and college documents related to promotion and tenure. Faculty members must be on a regular or restricted appointment to be considered for promotion. (See chapter five, “Reappointment,” for information regarding promotion for faculty members on restricted appointment).

Promotion in rank for any non-tenure-track position is not a requirement of continued employment, or an entitlement for years of service without evidence of exceptional merit, continued professional development, and contribution in the assigned role. An approved promotion in rank is recognized
by a change in title, increasing length of appointment contract, and a base salary adjustment as identified in the annual faculty compensation plan approved by the Board of Visitors.

Consideration for promotion in rank includes preparation of a dossier using a common university format for collegiate professors, which may be based on relevant elements of the promotion and tenure dossier format for tenure-track faculty members. Typically, such a dossier includes a statement of professional direction and accomplishment, a complete curriculum vitae, and documentation of contributions associated with the collegiate faculty member’s appointment. These contributions can be to instructional programs or administrative and/or service responsibilities. Colleges and departments may request supplemental materials. The appropriate college committee and dean approve guidelines for dossier development and departmental policies and procedures for the promotion process. External review of credentials is required for promotion to collegiate associate professor and professor.

The promotion dossier is reviewed at three levels: (1) by an appropriately charged departmental committee and the department head or chair, (2) by an appropriately charged college-level committee and the dean, (3) by the university promotion and tenure committee. The department head or chair and dean make separate recommendations to the subsequent review levels. The provost reviews the recommendations from the three levels and makes recommendations to the president. The Board of Visitors grants final approval.

Given the wide variation in representation of non-tenure-track collegiate faculty appointments in the various academic colleges, some latitude is provided in the nature and make up of such committees. For most departments, the existing departmental promotion and tenure committee may review the dossier(s) and make recommendations. Similarly, at the college level, the existing promotion and tenure committees may be assigned such review and recommendation responsibilities. While the procedures vary to recognize practical issues and varying numbers, the guidelines for review should be in writing and adhered to for consistency and fair treatment of all candidates. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship. (See chapter two, “Conflicts of Interest Involving Spouses, Immediate Family Members.”)

Given that promotion decisions do not carry the same “up or out” decision associated with tenure, a negative recommendation on a promotion request need not translate into termination of employment. Indeed, a faculty member may remain at the initial rank as long as their performance warrants continued employment and serves departmental needs. If the promotion request is not supported on the first submission, it may not be appealed until at least a second review has taken place in a subsequent or later year.

Following the same pattern as review of tenure-track faculty members, a positive recommendation from either or both the departmental committee and the department head or chair automatically advances the dossier for promotion to the college committee level. Similarly, at the college level, a positive recommendation from either or both the college committee and the dean results in
automatic advancement of the recommendation to consideration the university promotion and tenure committee.

The faculty member should be provided written feedback in the case of a negative recommendation at either the department, college, or university level so that they might improve their performance or dossiers for a later submission.

**5.2.5 Appeals of Decisions on Promotion**
Following a second negative review by both the departmental committee and department head or chair, the decision may be appealed to the college committee, but only on grounds that relevant information was not considered or that the decision was influenced by improper consideration. The appeal must be filed within 14 days of official notification. A negative recommendation from both the college and the dean ends the process. There is no appeal available when both the college committee and dean vote “no.”

Significant procedural violations may be grieved under the faculty grievance process described in chapter five, “Faculty Grievance Policy and Procedures.”

**5.3 Termination Procedures for Non-Tenure-Track Faculty on Regular Appointments**
Members of the non-tenure-track faculty may be removed from their position by one of the following three procedures: (1) removal for just cause, (2) non-reappointment, or (3) termination of position because of insufficient funds or no further need for services. Notice of non-reappointment for non-tenure-track instructional faculty members on regular appointments is addressed in chapter two, “Retirement, Resignation, and Non-Reappointment.”

**5.3.1 Dismissal for Cause**
Stated causes for removal shall include, but are not limited to, professional incompetence; unacceptable or unsatisfactory performance after due notice; unethical conduct or misconduct that interferes with the capacity of the employee to perform effectively the requirements of the position; violation of university policy; or falsification of credentials, experience, leave reports, or other official university documents.

Filing a grievance shall not constitute just cause for termination.

When it becomes necessary to terminate a non-tenure-track faculty member for unsatisfactory performance prior to the end of the appointment period, the following procedures apply:

**Step one:** The department head or chair writes a letter to the faculty member detailing the areas of performance that are deficient and setting clear expectations for acceptable performance and continued employment. The college dean receives a copy. The letter states the time period in which the deficiencies must be addressed. This time period will be not less than 30 calendar days.
**Step two:** At the end of that period, the department head or chair must again write chair the faculty member with an evaluation of his/her performance with a copy to the college dean. If performance continues to be unsatisfactory, this second letter may contain a notice of termination. The termination notice will have an effective date of 45 calendar days or more from the date of the second letter. In cases where there is a threat to health or safety, the 45-day period may be waived.

**Dismissal for cause not involving unsatisfactory performance:** For termination for cause for reasons other than unsatisfactory performance, the faculty member shall receive written notification of the reasons for termination and shall be allowed an opportunity to respond within five workdays. With the approval of the provost, a faculty member may be suspended with or without pay pending an investigation into allegations of wrongdoing.

**Appeal to the provost:** The faculty member may appeal notification of dismissal for cause to the college dean and the termination will be held in abeyance until the appeal process is complete. The appeal must be made in writing within five working days of receipt of the notification of termination. The dean must respond in writing within 10 working days. If the dean’s response is unsatisfactory to the appellant, an appeal may be made to the provost in writing within five working days. The provost appoints a committee of three members of the general faculty to review the case and make recommendations to the provost. The decision of the provost is final. The above time limits of the appeal process may be altered by extenuating circumstances and the agreement of both parties.

**5.3.2 Termination of Appointment During the Contract Period**
Occasionally a decline in funding resources makes it necessary to terminate an appointment before the end of a contract. While department heads or chairs are encouraged to make every effort to assure continuity of employment to individuals performing satisfactorily, there are circumstances in which this may not be possible or in the best interest of the university. Non-tenure-track faculty appointments may be terminated in the case where there are insufficient funds or no further need for services. Written notice of termination within the contract period shall be at least three months for those who have been in a regular appointment less than two year and at least one semester (if academic year) or six months (if calendar year) for those who have been in regular appointments two years or more. A proposed notice of termination during the contract period because of insufficient funds or lack of need for services requires the approval of the dean and provost.

**5.4 Participation in Governance**
Salaried non-tenure-track instructional faculty members are eligible to participate in departmental, college, and university committees as appropriate for their assignments. Non-tenure-track faculty members should have meaningful engagement in program planning at the department level, especially as it relates to aspects of the curriculum for which they bear teaching responsibility. Although non-tenure-track instructional faculty members cannot be involved in reviewing cases of promotion and tenure for tenure-track or tenured faculty members, they may otherwise be
voting members of the departmental faculty in accordance with the policy set by individual departmental governance.

Those faculty members at the rank of instructor, assistant, associate, or professor, or related rank variations, such as clinical assistant professor, professor of practice, collegiate professor, or senior instructor are eligible to serve as voting members of the Faculty Senate.

5.5 Participation on Graduate Committees
Non-tenure-track instructional faculty members with appropriate credentials may serve on graduate advisory committees and interact with graduate or professional students and interns where relevant to their assignment and with approval of the departmental graduate program, department head or chair, and graduate school. Faculty members within the instructor ranks may not chair a graduate committee.

5.6 Eligibility to Serve as a Principal Investigator
Faculty members in a non-tenure-track rank may serve as a Principal Investigator for a sponsored project or contract with the approval of the department heard or chair, the dean, and the Office for Research and Innovation. A written request for authorization (PI Status Request) may be submitted by the department with the approval of the dean to the Office for Research and Innovation.

5.7 Faculty Grievance Policy and Procedures
The following procedure is provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by members of the non-tenure-track instructional faculty. The grievance process is the same as that for tenured and tenure-track faculty. The Faculty Senate Review Committee of the Faculty Senate conducts the step four hearing if requested. Information on the Faculty Senate Review Committee is in chapter two of this handbook and on the Faculty Senate website.

5.7.1 Ombuds, Mediation Services, and Faculty Senate Committee on Reconciliation
Informal dialogue: It should be possible to resolve most faculty concerns or complaints through informal communication among colleagues working together in the academic enterprise. Accordingly, a faculty member who feels there is a grievance is encouraged to take it to the immediate supervisor in the collegial spirit of problem solving rather than as a confrontation between adversaries.

University Ombuds: Any member of the university community may visit the university Ombuds Office. The Ombuds listens and explores options for addressing and resolving concerns or complaints. The Ombuds Office does not have the authority to make decisions or to reverse any decision made or actions taken by university authorities. The Ombuds Office supplements, but does not replace, the university's existing resources for conflict resolution and its systems of review and adjudication.
Communications with the Ombuds Office are considered confidential. The Ombuds Office will not accept legal notice on behalf of the university, and information provided to the Ombuds Office will not constitute such notice to the university. Should someone wish to make the university formally aware of a particular problem, the Ombuds Office can provide information on how to do so. The only exception to this pledge of confidentiality is where the Ombuds Office determines that there is an imminent risk of serious harm, or if disclosure is required by law.

To preserve independence and neutrality, the Ombuds Office reports directly to the president. The Ombuds Office does not keep permanent records of confidential communications.

**Reconciliation:** At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Faculty Senate Committee on Reconciliation in fashioning an equitable solution. Contacting the Faculty Senate Committee on Reconciliation is not required in filing a grievance, but it may be useful if the grievant feels that the issue may be amenable to, but will require time for, negotiation; or if the grievant is unsure whether the concern is a legitimate issue for a grievance; or if personal relations between the parties involved in the grievance have become strained.

For a potential grievance issue to qualify for consideration by the Faculty Senate Committee on Reconciliation, the grievant must contact the chair of the Faculty Senate Committee on Reconciliation within 30 calendar days of the time when the grievant knew or should have known of the event or action that is the basis for the potential grievance, just as if beginning the regular grievance process. If the grievant requests assistance from the Faculty Senate Committee on Reconciliation, that committee requests a postponement of the time limits involved in the formal grievance procedure while it deals with the case. The request is submitted in writing to the vice provost for faculty affairs by the chair of the Committee on Reconciliation. Also, the grievant should reach an understanding with the Committee on Reconciliation of the time frame planned for that committee’s work on the case, such time not to exceed 60 calendar days.

Faculty members may also consult the Faculty Senate Committee on Reconciliation about serious disagreements with immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the committee contacts the relevant administrator to determine if there is an interest and willingness to explore informal resolution of the dispute; it is not necessary to notify the Office of the Executive Vice President and Provost.

Information on the Faculty Senate Reconciliation Committee is in chapter two of this handbook and on the Faculty Senate website.

**Mediation:** Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve
disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

**Role of mediators:** Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

**Requesting mediation:** Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

**5.7.2 The Formal Grievance Procedure**

If the assistance of the Faculty Senate Committee on Reconciliation is not desired or is not requested; or if that committee determines that it cannot provide assistance in the matter; or if the grievant finds that the length of time the Faculty Senate Committee on Reconciliation plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of that committee, the grievant may pursue the issue as a formal grievance through the following procedure. Department heads or chairs, deans, directors, and other administrative faculty will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of the case.

**Step one:** The grievant must meet with the immediate supervisor (usually the department head or chair) within 30 calendar days of the date that grievant knew or should have known of the event or action that is basis for the grievance and verbally identifies the grievance and the grievant’s concerns. The supervisor provides a verbal response to the grievant within five weekdays following the meeting. If the supervisor’s response is satisfactory to the grievant, that ends the matter.

**Step two:** If a satisfactory resolution of the grievance is not achieved by the immediate supervisor’s verbal response, the grievant may submit a written statement of the grievance and the relief requested to the immediate supervisor. This statement must be submitted on the faculty grievance form, must define the grievance, and request the relief desired specifically and precisely. The written grievance is submitted to the immediate supervisor within five weekdays of the time when the grievant received the immediate supervisor’s verbal response to the first step meeting. Faculty grievance forms are available on the provost’s Faculty Forms page.

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Within five weekdays of receiving the written statement of the grievance, the immediate supervisor, in turn, gives the grievant a written response on the faculty grievance form. The immediate supervisor cites reasons for action taken or not taken. If the written response of the immediate supervisor is satisfactory to the grievant, that ends the matter.

**Step three:** If the resolution of the grievance proposed in the written response by the immediate supervisor is not acceptable, the grievant may advance the grievance to the next level of university administration by checking the appropriate place on the faculty grievance form, signing and sending the form to the next level administrator within five weekdays of receiving the written response from the immediate supervisor. The next level of administration for college faculty is usually the college dean. The administrator involved at this next level is hereafter referred to as the second-level administrator.

Following receipt of the faculty grievance form, the second-level administrator or designated representative meets with the grievant within five weekdays. The second-level administrator may request the immediate supervisor of the grievant be present; the grievant may similarly request that a chosen representative from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the second-level administrator does not have legal counsel present. The second-level administrator gives the grievant a written decision on the faculty grievance form within five weekdays after the meeting, citing reasons for the decision. If the second-level administrator’s written response to the grievance is satisfactory to the grievant it ends the matter.

**Step four:** If the resolution of the grievance proposed in the written response from the second-level administrator is not acceptable, the grievant may advance the grievance within five weekdays to the level of the provost, including consideration by an impartial hearing panel of the Faculty Senate Review Committee. Information on the Faculty Senate Review Committee is in chapter two of this handbook and on the Faculty Senate website.

Upon receiving the faculty grievance form requesting step four review, the provost, or appropriate designated representative, acknowledges receipt of the grievance within five weekdays and forwards a copy of the Procedures of the Faculty Senate Review Committee to parties in the grievance process. The provost immediately forwards a copy of the grievance to the president of the Faculty Senate, who also writes to the grievant to acknowledge receipt of the grievance within five weekdays of receipt of the faculty grievance form from the provost.

The grievant may petition the provost to bypass the Faculty Senate Review Committee and rule on the grievance. If the provost accepts the request, there is no subsequent opportunity for the grievance to be heard by a hearing panel. The provost's decision, however, may be appealed to the president, as described in step five. If the provost does not accept the petition, the Faculty Senate Review Committee hears the grievance as outlined in these procedures.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.
**Hearing panel:** A hearing panel consists of five members appointed by the chair of the Faculty Senate Review Committee from among the members of the Faculty Senate Review Committee. The chair of the Faculty Senate Review Committee polls all appointees to ensure that they have no conflict of interest in the case. Both parties to the grievance may challenge one of the appointments, if they so desire, without need to state cause, and the chair of the Faculty Senate Review Committee appoints the needed replacement or replacements. Other replacements are made only for cause. The chair of the Faculty Senate Review Committee rules on issues of cause.

To ensure uniformity in practice, the chair of the Faculty Senate Review Committee or designee serves as the non-voting chair of each hearing panel. In the event that the chair of the Faculty Senate Review Committee has a conflict of interest concerning a case, the chair appoints a disinterested third party from among the members of the Faculty Senate Review Committee not already appointed to the hearing panel for the case to serve as chair of the hearing panel.

**Hearings:** After a hearing panel is appointed, the chair of the Faculty Senate Review Committee requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Faculty Senate president. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling. The hearing is then reconvened as appropriate.

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak on their behalf if so requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsels are present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel. Hearing procedures can be found on the Faculty Senate website.

**Findings and Recommendations:** The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Faculty Senate president. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the provost, the grievant, and the chair of the Faculty Senate Review Committee.

**Provost’s action:** The provost meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant.
about the prospects for disposition of the case. Within 10 weekdays of that meeting, the provost sends to the grievant the decision in writing concerning the disposition of the grievance. If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel that ends the matter.

**Step five:** If the provost’s decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the president within 20 calendar days. The president’s decision is final.

**5.7.3 Timeliness of Grievance and Procedural Compliance**

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time of knowledge of the event or action that is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure, acceptance of the last proposed resolution as satisfactory is assumed. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the chair of the Faculty Senate Review Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee (or the vice president of the senate if the president is also chair of the Faculty Senate Review Committee) is convened to rule on the question, as in disputes about the validity of issues qualifying for the grievance procedure. The special committee has the following options. It can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a significant procedural violation did occur. If the administrator committed a significant procedural violation, the grievance automatically qualifies for advancement to the next step in the grievance process. If the grievant committed a significant procedural violation, the
grievance process ends at that point with the last proposed resolution established as the final disposition of the case.

5.7.4 Valid Issues for Grievance

For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation, unreasonable merit adjustment or salary level, or excessive teaching load/work assignments; substantive violations of promotion procedures (see appeal process in chapter five, “Appeals of Decisions on Promotion”); reprisals; substantive error in the application of policy; and matters relating to academic freedom.

Issues not open to grievance: While most faculty disputes with the university administration may be dealt with by this grievance policy, the following issues may not be made the subject of a grievance: determination of policy appropriately promulgated by the university administration or the university governance system; those items falling within the jurisdiction of other university policies and procedures (for example, complaints of unlawful discrimination or harassment, or an appeal related to the merits of a promotion decision); the contents of personnel policies, procedures, rules, regulations, ordinances, and statutes; the routine assignment of university resources (e.g., space, operating funds, parking, etc.); usual actions taken, or recommendations made, by administrators or committee members acting in an official capacity in the grievance process; termination of appointment by removal for just cause, non-reappointment, or abolition of position; or allegations of misconduct in scholarly activities.

Adjudication of disputes on the validity of issues qualifying for consideration under the faculty grievance procedures: If a university administrator rules that an issue does not qualify for the grievance process, the grievant may write to the chair of the Faculty Senate Review Committee within five weekdays of receiving such notification and request a ruling from a special committee consisting of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

5.7.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost's Faculty Forms page.)

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and
the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from the assigned work location at the time of discovery of the event or action that is the basis for a grievance, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the grievant is able to resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers a grievance about actions by an administrator above the level of the immediate supervisor that directly involves the faculty member, or with actions by an administrator not in the department that directly involves the faculty member, the grievant initiates the grievance process by seeking the intervention of the immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in the usual fashion.

A grievance filed by a faculty member concerning an action of the provost is handled by the chair of the Faculty Senate Review Committee and a regular impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the president for ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of the president of the
university is dealt with by a special panel appointed by the provost in consultation with the president of the Faculty Senate.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations, or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.

5.7.6 Overview of the Formal Grievance Process for Non-Tenure-Track Instructional Faculty

Below is an abbreviated overview of the grievance process and deadlines. Refer to chapter five, “The Formal Grievance Procedure,” for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that particular step of the discussion are the makers of such an agreement. (An agreement form to extend the grievance response time is available on the provost's Faculty Forms page.)

<table>
<thead>
<tr>
<th>Step One</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 30 days of</td>
<td>1a.</td>
<td>Grievant meets with immediate supervisor (usually department head).</td>
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<tr>
<td>event</td>
<td></td>
<td></td>
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<tr>
<td>Within 5 weekdays</td>
<td>1b.</td>
<td>Department head provides verbal response.</td>
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<td></td>
<td>1c.</td>
<td>If the department head's response is satisfactory to the grievant, that ends the matter.</td>
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<tr>
<td></td>
<td>1d.</td>
<td>If the department head's response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
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<tr>
<th>Step Two</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>2a.</td>
<td>Grievant submits written grievance to department head.</td>
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<tr>
<td></td>
<td>2b.</td>
<td>Department head responds in writing on grievance form.</td>
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### Step Three

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<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>3a. Grievant advances grievance form to the second-level administrator (usually dean).</td>
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<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>3b. Dean meets with grievant; dean may request department head to be present.</td>
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<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>3c. Dean responds in writing on grievance form.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>3d. If the dean’s written response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>3e. If the dean’s written response is not satisfactory to grievant, move to step four within 5 weekdays.</td>
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### Step Four

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<th>Step Number</th>
<th>Description</th>
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<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>4a. Grievant advances grievance form to the provost.</td>
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<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>4b. Provost acknowledges receipt of grievance and forwards copy to Faculty Senate president to receive recommendation of an impartial hearing panel of the Faculty Senate Review Committee.</td>
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<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>4c. Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.</td>
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<tr>
<td><strong>Within 15 weekdays</strong></td>
<td>4d. Faculty Senate Review Committee chair appoints hearing panel from among Faculty</td>
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Senate Review Committee members; panel holds its initial meeting with both principals.

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<tr>
<th>Within 45 weekdays</th>
<th>4e.</th>
<th>The hearing panel concludes its work and make recommendations to provost and grievant.</th>
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<tbody>
<tr>
<td>Within 10 weekdays</td>
<td>4f.</td>
<td>The provost meets with grievant.</td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>4g.</td>
<td>The provost notifies grievant in writing of the decision.</td>
</tr>
<tr>
<td>4h.</td>
<td>If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendation of the hearing panel, that ends the matter.</td>
<td></td>
</tr>
<tr>
<td>4i.</td>
<td>If the provost’s decision is not acceptable to the grievant and not consonant with the recommendation of the hearing panel, move to step five within 20 calendar days.</td>
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<table>
<thead>
<tr>
<th>Step Five</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 20 calendar days</td>
<td>5a.</td>
<td>The grievant appeals in writing to president.</td>
</tr>
<tr>
<td>5b.</td>
<td>The president’s decision is final.</td>
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6.0 Employment Policies for Research Faculty
The senior vice president for research and innovation reports to the executive vice president and provost (office of the provost). Research faculty are supported by the Office of the Vice President for Research and Innovation.

As valuable contributors to institutional missions, research faculty members are entitled to fair treatment and compensation, access to professional development opportunities, recognition for their accomplishments, and participation in the life of the university community.

6.1 Research Faculty
The Office of Sponsored Programs maintains Information and guidelines regarding Principal Investigator Eligibility and Criteria on the Office of Sponsored Programs Principal Investigator Resources page.

<table>
<thead>
<tr>
<th>Track</th>
<th>Ranks</th>
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<tbody>
<tr>
<td>Postdoctoral Associate</td>
<td>postdoctoral associate</td>
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<tr>
<td>Research Associate</td>
<td>research associate, senior research associate</td>
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<tr>
<td>Research Scientist</td>
<td>research scientist, senior research scientist</td>
</tr>
<tr>
<td>Research Professor</td>
<td>research assistant professor, research associate professor, research professor</td>
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</table>

6.1.1 Considerations for Establishment of Research Faculty Positions
A summary matrix of qualifications, approval requirements, general expectations, salary guidelines, and typical position responsibilities for employees in the research faculty can be found on the Research and Innovation Research Faculty Ranks page.

Research faculty appointments are designated to promote and expedite university research activities. Research faculty rank descriptions create several series common to current sponsored research or outreach projects.
When establishing research faculty positions in this track, particularly at the research associate level, departments must ensure that the work anticipated for the employee is sufficiently complex and sophisticated to warrant a faculty position. A variety of staff roles are appropriate for research personnel, depending on the nature of the work proposed and the credentials required. For example, laboratory and research specialist I or II is usually the appropriate staff role for personnel overseeing laboratory, animal care, or research support, conducting routine tests, compiling data, collecting and preparing samples.

Careful preparation of the position description by the principal investigator and/or department head and/or supervisor is essential in determining whether the position is staff or research faculty. Staff positions must be used where appropriate; exceptions are granted only in very rare cases.

**6.1.2 Postdoctoral Associate**

The Office of Research and Innovation administers and supports the university's postdoctoral associate positions. Appointment to this faculty rank is usually reserved for persons who have been awarded a doctoral degree no more than four years prior to the effective date of the appointment with a minimum of one year of eligibility remaining and are engaged in research for a restricted period under the direction of a faculty mentor. The position of postdoctoral associate is intended to be a limited-term traineeship lasting two to four years (not to exceed five years), during which the individual works under the supervision of one or more senior faculty mentors in preparation for a career in academe or research. Funding is usually from a grant, contract, or a postdoctoral fellowship. Postdoctoral associates are considered temporary or short-term appointments by definition and are not appropriate for regular appointments (see regular appointments).

The maximum cumulative allowable duration of employment for a postdoctoral associate held by a single individual, even at multiple institutions, will be five years. The maximum allowable time an individual may be employed in the rank of postdoctoral associate at Virginia Tech is five years. Continued appointment beyond five years would require a promotion in rank.

Typically, postdoctoral associates have very limited responsibility for project management, supervision of personnel, or design of the research project on which they are funded. Rather, the position enables the individual to continue studies in a specialty area while gaining practical experience in the field. The postdoctoral traineeship may include opportunities to write and submit grant proposals. With the approval of the department or chair, the postdoctoral associate may serve as co-principal investigator. In certain cases (such as young career award proposals), a postdoctoral associate is permitted to submit a grant as a principal investigator. Requests for principal investigator status may be submitted to the Office of Research and Innovation.

Searches are not required to fill a postdoctoral associate position.
6.1.3 Research Associate Ranks
A person appointed to a research associate rank contributes to research activities using standard and non-standard procedures appropriate to the field. Persons appointed to research associate ranks are not eligible to be principal investigators; however, exception requests for principal investigator status for senior research associates may be submitted to the Office of the Vice President for Research and Innovation.

6.1.3.1 Research Associate
The research associate rank is the entry, or most junior, rank for research faculty members involved in sponsored projects. However, the work may vary from that which is appropriate for a relatively new professional to broader or more significant responsibilities expected of more experienced research faculty personnel. Research associates generally conduct research under supervision. They may provide input into the preparation of proposals or supervise staff or student personnel, but typically they have limited responsibility and authority in these areas.

A master’s degree in a relevant field is the minimum qualification for appointment as a research associate. The Office of Research and Innovation must approve requests for exceptions for individuals with a bachelor’s degree and significant related experience before an offer is extended.

6.1.3.2 Senior Research Associate
The rank of senior research associate requires greater qualifications than the research associate either in education, experience, or both. Senior research associates conduct research under limited supervision.

Typically, they have some significant supervisory responsibility for lower-level personnel and may contribute to the conceptualization and preparation of research proposals, reports, and resource acquisition.

A doctorate or a terminal degree in the field and some experience are required. The Office of Research and Innovation must approve an appointment or promotion to this rank for individuals with a lesser degree and substantial related experience before an offer is extended.

6.1.4 Research Scientist Ranks
6.1.4.1 Research Scientist
Research scientists fulfill a senior role in the university’s research program. They conduct independent research under limited supervision. By virtue of their expertise and experience, research scientists make significant contributions to the conceptualization and conduct of the research. They may be involved in the preparation of proposals, reports, and publications, presentation of research results, and development of patents. The rank of research scientist is parallel to that of research assistant or research associate professor. A doctorate or terminal degree in the field and significant experience are expected.
6.1.4.2 Senior Research Scientist

The senior research scientist is the highest rank in the research faculty series for those who are not involved in a graduate program. As experienced research faculty members, senior research scientists are often responsible for the design and execution of a project and interpretation of research results. Typically, they have significant responsibility for supervision of personnel, budget preparation and execution, and organization and management of the research project. Guidelines and information regarding Principal Investigators is located in chapter ten of this handbook and on the Office for Sponsored Programs Principal Investigator Resources page.

The rank of senior research scientist is parallel to that of research associate professor or research professor. A doctorate or terminal degree in the field and a considerable record of research are expected.

6.1.5 Research Professor Ranks

The research professor ranks are designed for research faculty members whose appointments are expected to last more than one year and whose credentials are comparable to those of the tenured and tenure-track faculty of similar rank. This track is parallel to research scientist and senior research scientist, not necessarily above it. Appointment to research professor ranks is not appropriate for those with short-term or limited appointments since this would disadvantage the graduate or professional students with whom they might work. Research faculty members with appropriate credentials and approvals whose primary appointment is in a research unit not affiliated with a degree-granting academic department may also be appointed to these ranks with appropriate credentials and approvals. Tenure cannot be earned in any of the research faculty ranks and service is not applicable toward the probationary period if the employee is subsequently appointed to a tenure-track position.

With approval by the degree-granting program, those appointed to any research professor rank may direct graduate theses and dissertations and serve on graduate committees consistent with program and graduate school policy.

At the discretion of the academic department, departmental faculty membership with or without voting privileges may be extended to an assistant, associate, or research professor. However, a person appointed to a research professor rank is not eligible to vote on matters relating to faculty appointment, retention, promotion, or tenure.

Faculty members in this series may teach occasionally in their areas of expertise in accordance with guidelines below and by providing the appropriate credentials required of instructional faculty. (See chapter two, “Qualification and Teaching Credentials for Instructors of Record,” or the provost's Faculty Credentials page.) Faculty in the research professor series may teach one course per year or two courses in a two-year period. They may teach more if funding is appropriately charged to the instructional budget and approved by the principal investigator/supervisor, department head or chair, and dean.
Promotion to a higher rank may be granted to research professorial faculty who have sources of continued funding and demonstrate outstanding accomplishments in appropriate activities. The curriculum vitae together with annual faculty activity reports, reprints of publications, reference letters, and other similar documents comprise a dossier, which furnishes the principal basis for promotion decisions. Besides consideration of specific professional criteria, evaluation for promotion should consider the candidate's integrity, professional conduct, and ethics. To the extent that such considerations are significant factors in reaching a negative recommendation, they should be documented as part of the formal review process.

Research professor faculty members being considered for promotion have their dossiers reviewed at as many as three levels: (1) by a departmental committee and the head or chair; (2) by a college committee and the dean/senior management; and (3) by the office of the provost. Faculty members are not permitted to serve on department or college committees that will be reviewing a family member (spouse or dependent immediate family member) or an individual with whom they have a close personal relationship such as partner or extended family member.

6.1.5.1 Research Assistant Professor

Persons appointed as research assistant professors are required to have a doctoral degree or terminal degree appropriate to the field and credentials consistent with those for appointment to the rank of assistant professor. Research assistant professors are equivalent to research scientists in terms of their credentials; however, appointment to this rank indicates actual or anticipated involvement with the academic program.

Research assistant professors are expected to contribute significantly to the design and execution of research projects. They conduct independent research in their field of specialization under general supervision. They may have supervisory responsibility for project personnel and contribute to project management.

The approval of the department head or chair, dean (or next level administrator), and the Office of Research and Innovation is required before an offer is extended for an original appointment or reappointment, including approval of the proposed rank, salary, and other conditions.

6.1.5.2 Research Associate Professor

Persons appointed to this rank are required to have a doctoral degree or terminal degree appropriate to the field and credentials consistent with those for appointment to the rank of associate professor. Research associate professors are typically responsible for design and execution of research projects and interpretation of research results. They may have significant supervisory responsibility for project personnel and contribute to project management.

Original appointments follow standard departmental procedures for tenured and tenure-track faculty appointments. Typically, this involves approval by the appropriate departmental/unit committee, followed by approval of the department/unit head or chair, dean (or next level administrator), and the office of the provost. Promotion to this rank requires evidence of
continuous professional development, documentation of excellence in their disciplinary field, contribution to research or creative activity supported through grants and contracts, and at least regional recognition. See chapter three, “Evaluation Procedures for Promotion and Tenure.” The promotion review and approval process is described in chapter six, “Research Faculty Promotions: Professorial Ranks.”

6.1.5.3 Research Professor

Persons appointed to this rank are required to have a doctoral degree or terminal degree appropriate to the field and credentials consistent with those for appointment to the rank of professor. Research professors are typically responsible for design and execution of research projects and interpretation of research results. They may have significant supervisory responsibility for project personnel and contribute to project management.

Original appointments follow standard departmental procedures for tenured and tenure-track faculty appointments. Typically, this involves approval by the appropriate departmental/unit committee, followed by approval of the department/unit head or chair, dean (or next level administrator), and the Office of Research and Innovation. Promotion to this rank requires evidence of continuous professional development, documentation of excellence in their disciplinary field, outstanding research or creative activity supported by grants and contracts, and national and/or international recognition. (See chapter three, “Evaluation Procedures for Promotion and Tenure.”) The promotion review and approval process is in chapter six “Research Faculty Promotions: Professorial Ranks.”

6.2 Policies Related to Research Faculty Appointments

Research faculty members may be assigned a functional title in addition to their official faculty rank to facilitate their work or clarify their role to internal or external constituencies. (A functional title may not be an official faculty rank other than that held by the research faculty member.) In some cases, increased responsibilities lead to a change in functional title and possibly a salary adjustment rather than a promotion in faculty rank.

Appointments to research faculty ranks, except the rank of postdoctoral associate, are indefinitely renewable. However, tenure cannot be earned in any of the research faculty ranks and service is not applicable toward the pre-tenure probationary period if the employee is subsequently appointed to a tenure-track position.

The source of funds is not the determining factor as to whether a position carries a research faculty rank, but rather the nature and purpose of the assignment. Thus, a research faculty member may be funded by sponsored projects, facilities and administrative funds, state dollars, or other sources. Policies related to research faculty apply, regardless of the source of funding.

Research faculty may participate in activities outside of their direct source of funding, such as providing significant contributions to the conceptualization or writing of new proposals, or teaching (see section 6.2.1); however, support for any time or effort spent on activities outside of their
sponsored research must come from non-sponsored research funds. Special attention should be given in the development of position descriptions where funding is limited to only sponsored funding. (See chapter six, “Effort Certification Compliance Issues for Research Faculty,” and chapter ten, “Effort Certification and Salary Charges to Sponsored Grants and Contracts.”)

Original appointments and reappointments, including rank, salary, and other conditions, require the approval of the department head or chair, dean (or next level administrator), and the Office of Research and Innovation before an offer is extended.

6.2.1 Instructional Responsibilities for Research Faculty Members

The primary responsibility of a research faculty appointment is to conduct research and contribute to the university’s research mission through the acquisition of and successful implementation of sponsored grants and contracts. Federal guidelines require truthful and auditable documentation of the faculty member’s efforts on a semester basis. If the faculty member’s salary is paid for by sponsored grants and contracts, then there is a concomitant expectation that the faculty member’s time is allocated to those projects.

While keeping the primacy of the research role in mind, there are circumstances in which the university and its instructional programs benefit from the occasional participation of research faculty members who have the appropriate credentials, expertise, and interest. The usual limitation on teaching by research faculty members is one (three-credit) course per academic year, or no more than two courses in a two-year period. The principal investigator/supervisor, department head/chair, and dean must approve exceptions. The academic department provides instructional funding for the teaching appointment and research duties are adjusted accordingly. A three-credit course equates to 0.25 FTE during an academic semester; this is the usual basis for salary charges to the instructional budget.

Research faculty members may receive additional compensation to teach a class that exceeds their normal research assignment. To qualify for additional compensation, the research faculty member may not be 100% supported from sponsored funds, must be the instructor of record, and must usually be assigned to teach for the entire semester. For courses with block teaching, the research faculty member must have a formal teaching assignment for a specified portion of the course. The academic department responsible for the course must fund the payment from non-sponsored funds and initiate the payment as a temporary pay action. The payment must be approved jointly by the academic and home departments and colleges, and by the Office of Research and Innovation.

It is the responsibility of the hiring department to obtain and verify documentation of credentials of all faculty prior to employment. Information regarding appropriate credentials for instructional faculty is found in chapter two, “Qualifications and Teaching Credentialing for Instructors of Record,” and on the provost’s Faculty Credentials page.

Research faculty members with appropriate credentials and experience may serve on graduate student committees in accordance with policies of the graduate school and the department. Those
with appointment to the research professor ranks may chair a committee, if approved by the
degree-granting department. Involvement in supervision of graduate student research may be
directly related to fulfillment of sponsored grants and contracts and thus may have a synergistic
effect.

Contributions to the instructional program are monitored and evaluated by the academic
department and by the supervisor.

6.2.2 Research Faculty Promotions: Research Associate, Research Scientist

While there is logic to the progression between and among ranks, employees may change ranks
as appropriate or necessary to reflect a change in role or project that aligns best with the essential
responsibilities of the position. A promotion from one rank to another may be recommended by
the supervisor to recognize a faculty member’s increased responsibilities, credentials, and/or
contributions to the program over time.

Recommendations for promotions within the non-professorial ranks (such as research associates
and research scientists) may be requested at any time during the year in recognition of significant
increases in responsibilities, credentials, or contributions. The promotions require approval by the
department head, dean, and Office of Research and Innovation. A faculty member may not serve
on any committee that is evaluating a spouse, family member, or other individual with whom the
faculty member has a close personal relationship. Following approval of the promotion request, a
promotion letter signed by the department head should be presented to the employee.

6.2.3 Research Faculty Promotions: Professorial Ranks

Promotion recommendations into and within the research professorial faculty ranks (research
assistant professor, research associate professor, and research professor) should align with the
annual timeline published by the university. Faculty members being considered for promotion
have their dossiers reviewed by: (1) a departmental committee and the head or chair; (2) a college
committee and the dean/senior management level; and (3) the Office of Research and Innovation.
Following approval of the promotion request, a promotion letter signed by the vice president for
research and innovation should be presented to the employee.

6.3 Affiliated Research Faculty

Occasionally, individuals outside of university employment are identified to team with university
faculty to enhance research opportunities through departments. To support these associations,
the university has developed the affiliated research faculty program. Affiliated research
appointments may be made for individuals connected to specific academic departments or may
be made through research institutes or centers. Affiliated research appointments may also be
established to facilitate research partnerships. This program may address occasions where a
university faculty member has a spouse or partner who also has professional academic
credentials, but who has not found appropriate employment opportunities.
Appointments in departments, colleges, or the provost, are approved at the department level and reviewed by Human Resources. Applicants must have academic credentials equivalent to those of university faculty, including the terminal degree usually required of faculty in the discipline. Applications for appointment to affiliated research faculty status must have the endorsement of the head or chair of the Virginia Tech department relevant to the applicant’s discipline.

Typically, an affiliated research faculty member has unpaid adjunct status in the academic department for that discipline. The appointment is initiated by the host department submitting to the office of the provost a letter of support, the applicant's curriculum vitae, and the request for unpaid faculty affiliation with a Virginia Tech academic department, approved by the department head or chair and dean or director. The appointments are renewable. The rank is the research faculty designation commensurate with the credentials of the candidate.

6.4 Searches for Research Faculty

Virginia Tech is committed to announcing the availability of positions so that a diverse pool of qualified candidates is developed for faculty positions of all types. In the case of research faculty, many of whom are hired on short-term grants and contracts sometimes requiring specialized skills and abilities, there is a need to balance the demands of the sponsored grant or contract with the institution's commitment to open and aggressive recruitment practices to attract a diverse workforce. For more information on the faculty search process, see chapter two.

Competitive searches are required for salaried appointments to the research faculty, except in a limited number of cases warranting an exemption. Appointments of less than one year do not require a search. Searches are not required to fill a postdoctoral associate position or in the case where the person to be appointed is the author of the grant or is listed as the principal investigator or co-principal investigator, or appointment of a dual career hire. Occasionally the identified candidate may have previously worked on the project in a significant role and continuation of personnel is critical to the success of the project and a search may not be required. Consult the Office of Research and Innovation for limited exceptions.

6.5 Terms of Faculty Offer (TOFO) and Documentation of Credentials

Employment is contingent upon presentation of satisfactory documentation of credentials prior to employment. In accordance with federal law, on the first day of their employment, new employees must provide documentation of U.S. citizenship or lawful authorization to work in the United States.

All new appointments and reappointments are documented in the terms of faculty offer (TOFO) prepared by the department head or chair. The terms of faculty offer includes salary, effective date, rank, and other critical information concerning the faculty appointment. The contract specifies whether the appointment is restricted (usual appointment type for research faculty) or regular. See below for conditions under which research faculty appointments may be “regular.” All letters of appointment refer to further terms and conditions of employment contained in the Faculty Handbook.
The terms of faculty offer for a restricted appointment clearly defines the length of the appointment. In cases where there is no expected opportunity for continuation, the document also serves as a notice of termination. The terms of faculty offer makes clear that continuation of appointment, even during the initial year, is subject to the availability of funds, the need for services, and satisfactory performance. Related letters of offer or appointment should not contain promises that the hiring unit may not be able to keep; the university looks to the department to make good on defaults. Approval of the department head, dean, and the Office of Research and Innovation are required before an offer is extended.

It is the responsibility of the hiring department to obtain and verify documentation of credentials on all faculty prior to employment. See chapter two.

6.5.1 Restricted Appointments
Salary support for research faculty typically comes from one or more sponsored projects. While some research faculty may be employed for years on successive grants, particularly in large, ongoing research programs, many are employed only for the duration of a specific funded project—in some cases six months and in other cases perhaps several years. Sponsored funding is seldom certain and never permanent. As a result, research faculty are usually appointed as “restricted” faculty members whose employment depends on availability of funding, the need for services, and satisfactory performance.

A research faculty member’s initial appointment or reappointment may be for up to three years provided that documented funding for the salary and fringe benefits is available from a multi-year grant, multiple grants, or other appropriate source(s), and provided a search has been conducted or an approved exemption obtained. In such cases the terms of faculty offer specifies the length of the restricted appointment.

If a person on restricted appointment is to be continued, a reappointment is required. (See chapter six, “Reappointment.”) The reappointment contract again defines the conditions of the appointment. Any changes should be made explicit. If a salary increase is approved, it should be a part of their appointment contract. Prior to the current contract end date, the department is expected to execute a reappointment contract. Annual evaluation and merit adjustments occur on the same cycle as for all other faculty members. A performance review must be done annually, shared with the appointee, and documented in writing.

Procedures for terminating employees are addressed in chapter six, “Termination Procedures for Research Faculty.”

6.5.2 Regular Appointments
As defined in Policy 3020, “Centers and University Institutes: Financial and Administrative Policy and Procedures,” and Policy 13005, “Centers and University Institutes: Establishment, Governance, and Programmatic Oversight” departments intending to support specific research faculty members on applicable state funds, whether or not those individuals participate in a
“program” or “center” may also seek approval to appoint a research faculty member to a regular position using the same process.

The criteria and expectations for such approval are as follows:

- The unit must have a documented record of substantial past funding, usually from diversified sources, generally over more than five years. In the case of a new center with multi-year funding, documentation of the new funding supported by the history of funding for the principal researchers may be considered. Research programs supported in full or in part by state funds are eligible for consideration for regular positions.
- The unit must have documented prospects for continued funding at a level equal to or greater than its current funding.
- The unit must be able to guarantee payment of salary and fringe benefits from sponsored grants or contracts (or other appropriate sources) for a minimum of three years to advertise a research faculty position as a regular appointment.
- The unit must be able to guarantee funding of annual leave, sick leave, and salary following non-reappointment in the case of insufficient grant funds. The source of such payouts or salary support must be non-sponsored funds, such as indirect or state funds.
- The unit will advertise and conduct a national search for regular positions. Search exemptions may be approved only under certain very limited conditions, such as unique qualifications or unit restructuring. However, a search must be conducted if there is an intention of supporting an international candidate for permanent residency. In such a case, the hiring unit should work closely with the International Support Services Office to ensure compliance with current Immigration and Naturalization Service (INS) regulations.

Appropriate documentation of the search process and selection is a critical element in supporting an application for permanent residency.

In supporting the request for a regular faculty appointment, the unit and/or department (or approving unit) is thereby committing itself to covering shortfalls in funding between grants, or whenever there is insufficient funding for the salary, from other sources. Should this occur, duties may be reassigned to match the available source of funds.

The Office of Research and Innovation may grant approval to the unit to conduct searches for regular positions for a period of three to five years at which time the financial capabilities and commitments of the unit are reviewed, and authorization is granted for another three-to five-year period, if appropriate.

Approval for the unit to advertise and fill some research faculty positions as regular appointments does not in any way suggest that all positions in the unit should be so designated. Indeed, careful thought should go into the shaping of such positions, the identification of talents and skills needed in the research group, and the availability of qualified individuals that may necessitate this more generous commitment of resources.
Postdoctoral associates are considered temporary or short-term appointments by definition and are not appropriate for regular appointments.

Research faculty members on regular appointments are entitled to notice of non-reappointment, as specified in chapter two, “Retirement, Resignation, and Non-Reappointment.”

**6.5.3 Calendar Year (CY) versus Academic Year (AY) Appointments**

The nature of the research enterprise generally dictates that research faculty are appointed to a calendar year (12-month) position. However, there may be circumstances in which an academic year (nine-month) appointment is justified and appropriate. The justification for an academic year appointment should accompany the faculty search authorization or search exemption request.

Academic year research appointments do not earn or accrue annual leave. Faculty members on academic year restricted appointments earn and accrue sick leave at the rate of five hours per pay period during the academic year; those on regular appointments are entitled to 1040 hours of paid sick leave upon employment. Sick leave is addressed in more detail in chapter two, “Sick Leave.”

Research faculty members on academic year appointments may accept summer research wage (P14) or summer or winter session teaching employment in the same department or program, or elsewhere in the university. Research faculty on H1-B visas qualify for summer wage employment only in very limited cases. Contact the International Support Services to verify eligibility. Those who have documentation of additional months of funding from sponsored grants or contracts may be eligible for consideration of a calendar year research conversion under the terms of Policy 6200, “Policy on Research Extended Appointments.” (See chapter two, “Research Extended Appointments for Faculty on Academic Year Appointments,” chapter six, “Effort Certification Compliance Issues for Research Faculty,” and chapter ten, “Effort Certification and Salary Charges to Sponsored Grants and Contracts.”)

**6.6 Position Descriptions**

Every research faculty member must have an up-to-date position description that forms the basis for initial hiring and assignment of duties and, through subsequent updates, for annual evaluation. Position descriptions should include a detailed list or narrative description of assigned responsibilities and expectations for performance. A position description should be created and entered into the university’s online position description system.

**6.7 Annual Evaluations**

Supervisors, usually principal investigators, are responsible for conducting an annual evaluation for any and all research faculty. The annual performance review must be shared with the appointee and documented in writing. This documentation supports the request for annual merit and/or special adjustments. Giving regular and constructive feedback is essential to the development of employees, and it is the responsibility of the department head to be certain that research faculty are appropriately and consistently evaluated. The cycle for evaluation is the same...
as that for all other faculty members in their college or institute. Annual evaluation and merit adjustments occur on the same cycle as for all other faculty members.

### 6.8 Merit and Special Adjustments

Research faculty members, both regular and restricted, are eligible for annual merit adjustments (and special adjustments when necessary and appropriate) on the same cycle as all other faculty members when available and authorized by the university. The result is then communicated to the research faculty member. A promotion requires a new Terms of Faculty Offer (TOFO). Following the annual evaluation, supervisors make recommendations to department heads who, in turn, make their recommendations to college and university officials. Final approval of the recommendations for merit and special adjustments rests with the Board of Visitors. The result is then communicated to the research faculty member. Merit recommendations for research faculty members are generally expected to track the merit adjustments for teaching and research faculty members. In some cases, available funds may limit, delay, or even preclude a merit adjustment. However, performance evaluation and feedback to the employee are still required even if a merit adjustment is not possible.

Special adjustments, outside of the annual merit process, may be recommended in accordance with the guidelines for faculty salary adjustments available from the Office of Research and Innovation. Examples of such adjustments might be for promotion in rank, increased responsibility, retention, equity, or other reasons critical to the support of research faculty members. Justification and appropriate approvals are required as outlined in the guidelines.

### 6.9 Reappointment

Research faculty members on restricted appointment whose employment is to be continued are issued a reappointment specifying the new ending date for their appointment. Reappointments typically occur on the anniversary of the hire date or in relation to the funding cycle of the grant or appointment.

Reappointments may be for less than one year in situations where additional funding is anticipated but not confirmed. Multiple reappointments may occur during the span of the research faculty member’s employment. The reappointment date may be adjusted based on other significant actions (e.g., promotion), or by issuing appointments that move the employee to the same effective date as their merit adjustment. Multi-year reappointments are possible in cases where funding is available for the proposed reappointment period.

Research faculty members on regular appointment do not have fixed ending dates to their contracts. Should it become necessary to end the appointment, they receive written notice of non-reappointment as described in chapter two, “Retirement, Resignation, and Non-Reappointment.”

### 6.10 Termination Procedures for Research Faculty

Members of the research faculty may be removed from their position by one of the following three procedures: (1) removal for just cause, (2) non-reappointment, or (3) termination of position
because of insufficient funds or no further need for services. The period of notice for non-reappointment of research faculty members on regular appointments is addressed in chapter two, “Retirement, Resignation, and Non-Reappointment.”

6.10.1 Dismissal for Cause
Research faculty members may be dismissed for just cause. Stated causes for dismissal shall include but are not limited to professional incompetence; unacceptable or unsatisfactory performance after due notice; unethical conduct or misconduct that interferes with the capacity of the employee to effectively perform the requirements of the position; violation of university policy; falsification of credentials, experience, leave reports, or other official employment documents. Filing a grievance does not constitute just cause for termination.

When it becomes necessary to terminate a member of the research faculty for unsatisfactory performance prior to the end of the appointment period, the following procedures apply:

When the faculty supervisor determines that performance is unsatisfactory, the supervisor writes a letter to the individual detailing the areas of performance that are deficient. This letter should indicate specific expectations of improvement by the employee during a specified period of not less than 30 calendar days. The department head and college dean receive copies. In cases where there is some likelihood of threat to health or safety, the 30-day period may be waived.

At the end of the above period, the faculty supervisor must again write the research faculty member with a performance evaluation during the interim since the first letter, with copies to the department head and college dean or equivalent senior-level manager. If performance continues to be unsatisfactory, this second letter may contain a termination notice. The termination notice has an effective date 45 calendar days from the date of the second letter. In cases where there is a threat to health or safety, the 45-day period may be waived.

In the event of termination, the research faculty member may appeal to the department head. Should the appeal process be initiated, the termination is held in abeyance until the appeal process is complete.

The appeal must be made in writing within five working days of receipt of the letter. (If the department head has a conflict of interest, the head refers the matter to the college dean.)

The department head (or dean) must respond in writing within 10 working days. If the recommendations of the department head (or dean) are unsatisfactory to either party, an appeal may be made to the office of the provost in writing within five working days.

The Office of Research and Innovation appoints a committee of three members of the general faculty who make recommendations to the provost within 10 working days.

The decision of the provost is final and is rendered within 10 working days of receiving the report.
The above time limits of the appeal process may be altered by extenuating circumstances and the agreement of both parties.

If the research faculty member is a member of an interdisciplinary research center, the center director as well as the department head and college dean of the faculty supervisor are copied on all correspondence.

6.10.2 Non-Reappointment of Research Faculty

The terms of faculty offer for a restricted appointment clearly defines the length of the appointment and serves as a notice of termination. The terms of faculty offer makes clear that continuation of appointment, even during the initial year, is subject to the availability of funds, the need for services, and satisfactory performance. (See “Terms of Faculty Offer and Documentation of Credentials.”)

Research faculty members with regular appointment receive written notice of non-reappointment as described in chapter two, “Retirement, Resignation, and Non-Reappointment,” should it become necessary to end the appointment.

6.10.3 Termination of Position Because of Insufficient Funds or No Further Need for Services

Occasionally a sponsor terminates funding before the end of a contract or directs a change in the research program resulting in the need to terminate the services of an employee. While principal investigators and research centers are encouraged to make every effort to assure continuity of employment to individuals performing satisfactorily, there are circumstances in which this may not be possible or in the best interest of the research program or university. Research faculty appointments may be terminated in the case where there are insufficient funds or no further need for services. The date of termination for a restricted faculty member is at least 30 calendar days from the date of notification. A faculty member on a regular appointment is entitled to notice of non-reappointment, as stated in chapter two, “Retirement, Resignation, and Non-Reappointment.” A proposed notice of termination because of insufficient funds or lack of need for services requires the approval of the department head, and dean (or appropriate administrator), and the Office of Research and Innovation.

6.11 Effort Certification Compliance Issues for Research Faculty

As described in chapter ten, “Effort Certification and Salary Charges to Sponsored Grants and Contracts,” a research faculty member with regular, well-defined responsibilities for new proposal preparation, teaching, or administrative duties is prohibited from charging 100% percent of salary to sponsored projects during an effort reporting period in which such activity occurred, unless those activities are specifically allowed on the sponsored project.

Research faculty members are typically on 12-month appointments, which earn and accrue annual leave by university policy. The use of annual leave is recognized as an acceptable charge to a sponsored project when such leave is part of the university appointment.
6.12 Faculty Grievance Policy and Procedures
The following procedure is provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by members of the research faculty.

6.12.1 Ombuds, Mediation Services, and Faculty Senate Committee on Reconciliation

Informal Dialogue: It should be possible to resolve most faculty concerns or complaints through informal communication among colleagues working together in the academic enterprise. Accordingly, a faculty member who feels there is a grievance is encouraged to take it to the immediate supervisor in the collegial spirit of problem solving rather than as a confrontation between adversaries.

University Ombuds: Any member of the university community may visit the university Ombuds Office. The Ombuds listens and explores options for addressing and resolving concerns or complaints. The Ombuds Office does not have the authority to make decisions or to reverse any decision made or actions taken by university authorities. The Ombuds Office supplements, but does not replace, the university's existing resources for conflict resolution and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Ombuds Office will not accept legal notice on behalf of the university, and information provided to the Ombuds Office will not constitute such notice to the university. Should someone wish to make the university formally aware of a particular problem, the Ombuds Office can provide information on how to do so. The only exception to this pledge of confidentiality is where the Ombuds Office determines that there is an imminent risk of serious harm, or if disclosure is required by law.

To preserve independence and neutrality, the Ombuds Office reports directly to the University President. The Ombuds Office does not keep permanent records of confidential communications.

Reconciliation: At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Faculty Senate Committee on Reconciliation in fashioning an equitable solution. Contacting the Faculty Senate Committee on Reconciliation is not required in filing a grievance, but it may be useful if the grievant feels that the issue may be amenable to, but will require time for, negotiation; or if the grievant is unsure whether the concern is a legitimate issue for a grievance; or if personal relations between the parties involved in the grievance have become strained.

For a potential grievance issue to qualify for consideration by the Faculty Senate Committee on Reconciliation, the grievant contacts the chair of the Faculty Senate Committee on Reconciliation within 30 calendar days of the time when the grievant knew or should have known of the event or action that is the basis for the potential grievance, just as if beginning the regular grievance process. If the grievant requests assistance from the Faculty Senate Committee on
Reconciliation, that committee requests a postponement of the time limits involved in the grievance procedure while it deals with the case. The chair of the Faculty Senate Committee on Reconciliation submits the request in writing to the vice provost for faculty affairs. Also, the grievant reaches an understanding with the Faculty Senate Committee on Reconciliation of the time frame planned for that committee’s work on the case, such time not to exceed 60 calendar days.

Faculty members may also consult the Faculty Senate Committee on Reconciliation about serious disagreements with immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the committee contacts the relevant administrator to determine if there is an interest and willingness to explore informal resolution of the dispute; it is not necessary to notify the Office of the Executive Vice President and Provost. Information on the Faculty Senate Committee on Reconciliation is in chapter two of this handbook and on the Faculty Senate website.

**Mediation:** Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

**Role of Mediators:** Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

**Requesting Mediation:** Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

**6.12.2 The Formal Grievance Procedure**

If the assistance of the Faculty Senate Committee on Reconciliation is not desired or is not requested; or if that committee determines that it cannot provide assistance in the matter; or if the grievant finds that the length of time the Faculty Senate Committee on Reconciliation plans or
takes with the case is excessive; or if the grievant is not satisfied with the recommendations of that committee, the grievant may pursue the issue as a formal grievance through the following procedure. Department heads or chairs, deans, directors, and other administrative faculty will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of the case.

**Step one:** The grievant shall provide a written description of the event or action on the faculty grievance form and relevant supporting documentation of the grievance within 30 calendar days of the date when the event or action should have been known that is the basis of the grievance to the immediate supervisor. Research faculty grievance forms are available on provost’s Faculty Forms page.

The supervisor meets with the grievant and provides a written response within five weekdays to the grievant citing reasons for action taken or not taken and the final decision. If the supervisor’s response is satisfactory to the grievant, that ends the matter.

If the response is not satisfactory to the grievant or the supervisor does not respond within five weekdays, the grievant will indicate “no resolution” on the faculty grievance form, return a copy of the form to the immediate supervisor and proceed to step two.

**Step two:** The grievant advances the written description of the event or action, relevant supporting documentation, research faculty grievance form and the written response of the immediate supervisor (or statement of non-response if the supervisor did not respond within five the weekdays at step one) to the next level administrator within five weekdays of receipt of the decision. The next level administrator is the department head. If the department head has a conflict of interest, he or she refers the matter is referred to the college dean. The administrator involved at this level is hereafter referred to as the second-level administrator.

Within five weekdays of receipt of the research faculty grievance form, the second-level administrator meets with the grievant and may request the presence of the immediate supervisor. The grievant may similarly request that a chosen representative from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the second-level administrator does not have legal counsel present.

The second-level administrator returns the research faculty grievance form and provides a written response and final decision to the grievant with copies to the immediate supervisor within five weekdays after the meeting. The decision of the second-level administrator takes precedence over the decision of the immediate supervisor. If the response is satisfactory to the grievant, that ends the matter. If the response is not satisfactory or if there is no response within five weekdays by the second level administrator, the grievant may indicate on the grievance form and return a copy to the second-level administrator and proceed to step three.

**Step three:** The grievant may advance the written description of the event or action, relevant supporting documentation grievance form and written responses of the immediate supervisor and
second-level administrator to the dean or equivalent senior-level manager within five weekdays of receipt of the decision in step two.

The dean will inform the immediate supervisor within five weekdays that the procedure has advanced to step three.

Within five weekdays of receipt of the grievance form, the dean meets with the grievant and may request the presence of the immediate supervisor. The grievant may similarly request that a chosen representative from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the dean does not have legal counsel present.

The dean shall return the grievance form and provide a written response and final decision to the grievant with copies to the immediate supervisor and second-level administrator within five weekdays after the meeting. The decision of the dean takes precedence over the decision of the second-level administrator. If the response is satisfactory to the grievant, the procedure is terminated. If the response is not satisfactory or if there is no response within five weekdays by the dean, the grievant may so indicate on the research faculty grievance form and return a copy to the dean and proceed to step four.

**Step four:** The grievant will advance the written description of the event or action, relevant supporting documentation, research faculty grievance form, and written responses of the immediate supervisor, second-level administrator, and dean to the executive vice president and provost within five weekdays of the decision of step four. The provost will make a decision and may wish to consult faculty members unfamiliar with the grievance for an opinion.

The decision of the provost is final and will be rendered to the grievant and immediate supervisor within five weekdays of receipt of the grievance.

The above time limits of the appeal process may be altered by extenuating circumstances and the agreement of both parties.

If the research faculty member is a member of an interdisciplinary research center, the center director as well as the department head and dean are copied on all correspondence.

### 6.12.3 Timeliness of Grievance and Procedural Compliance

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time when the event or action should have been known that is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their
duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution as satisfactory was accepted. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the chair of the Faculty Senate Review Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee of two research faculty appointed by the vice president for research and innovation and the chair of the Faculty Senate Review Committee is convened to rule on the question, as in disputes about the validity of issues qualifying for the grievance procedure. The special committee has the following options. It can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a significant procedural violation did occur. If the administrator committed a significant procedural violation, the grievance automatically qualifies for advancement to the next step in the grievance process. If the grievant committed a significant procedural violation, the grievance process ends at that point with the last proposed resolution established as the final disposition of the case.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

Information on the Faculty Senate Review Committee is in chapter two of this handbook and on the Faculty Senate website.

6.12.4 Valid Issues for Grievance
For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation, unreasonable merit adjustment or salary level, or excessive teaching load/work assignments; substantive violations of promotion procedures (see chapter six, “Research Professor Ranks”); reprisals; substantive error in the application of policy; and matters relating to academic freedom.

Issues not open to grievance: While most faculty disputes with the university administration may be dealt with by this grievance policy, the following issues may not be made the subject of a grievance: determination of policy appropriately promulgated by the university administration or the university governance system; those items falling within the jurisdiction of other university
policies and procedures (for example, complaints of unlawful discrimination or harassment, or an appeal related to the merits of a promotion decision); the contents of personnel policies, procedures, rules, regulations, ordinances, and statutes; the routine assignment of university resources (e.g., space, operating funds, parking, etc.); usual actions taken, or recommendations made, by administrators or committee members acting in an official capacity in the grievance process; termination of appointment by removal for just cause, non-reappointment, or abolition of position; or allegations of misconduct in scholarly activities.

Adjudication of disputes on the validity of issues qualifying for consideration under the faculty grievance procedures: If a university administrator rules that an issue does not qualify for the grievance process, the grievant may write to the chair of the Faculty Senate Review Committee within five weekdays of receiving such notification and request a ruling from a special committee consisting of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

6.12.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an agreement. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits.

If a faculty member is away from the assigned work location at the time the event or action that is the basis for a grievance is discovered, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant
obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

If a faculty member discovers there is a grievance about actions by an administrator above the level of the immediate supervisor that directly involve the faculty member, or with actions by an administrator not in the department that directly involve the faculty member, the grievant initiates the grievance process by seeking the mediation of the immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in usual fashion.

A grievance filed by a faculty member concerning an action of the provost is managed by the chair of the Faculty Senate Review Committee and a regular impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the university president for ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of the president of the university is dealt with by a special panel appointed by the provost in consultation with the president of the Faculty Senate.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.

6.12.6 Overview of the Formal Grievance Process for Research Faculty

Below is an abbreviated overview of the grievance process and deadlines. Refer to chapter six, “The Formal Grievance Procedure,” for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an agreement. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)
<table>
<thead>
<tr>
<th>Step One</th>
<th>Step Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within 30 days of event</td>
<td>1a.</td>
<td>Grievant submits written grievance to supervisor.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>1b.</td>
<td>The supervisor meets with the grievant and provides written response.</td>
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<tr>
<td></td>
<td>1c.</td>
<td>If the supervisor’s response is satisfactory to the grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>1d.</td>
<td>If supervisor’s response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
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<thead>
<tr>
<th>Step Two</th>
<th>Step Number</th>
<th>Description</th>
</tr>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>2a.</td>
<td>Grievant advances grievance form to the next-level administrator referred to as the second-level administrator.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>2b.</td>
<td>Second-level administrator provides written response.</td>
</tr>
<tr>
<td></td>
<td>2c.</td>
<td>If the second-level administrator’s written response is satisfactory to the grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>2d.</td>
<td>If the second-level administrator’s written response is not satisfactory to grievant, move to step four within 5 weekdays.</td>
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<tr>
<th>Step Three</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>3a.</td>
<td>Grievant advances grievance form to the dean or equivalent senior-level manager.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>3b.</td>
<td>The dean or equivalent senior-level manager meets with grievant; dean or senior-level manager may request immediate supervisor to be present.</td>
</tr>
<tr>
<td></td>
<td>3c.</td>
<td>The dean or senior-level manager provides a written response.</td>
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</table>
Within 5 weekdays 3d. If the dean’s or senior-level manager’s written response is satisfactory to grievant, that ends the matter.

3e. If the dean’s or senior-level manager’s written response is not satisfactory to grievant, move to step give within 5 weekdays.

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<tr>
<th>Step Four</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>4a.</td>
<td>The grievant advances grievance form to the provost.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>4b.</td>
<td>The provost may consult faculty members unfamiliar with the grievance for their opinion and provides a response in writing. The provost’s decision is final.</td>
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CHAPTER SEVEN
ADMINISTRATIVE AND PROFESSIONAL FACULTY

7.0 Employment Policies for Administrative and Professional Faculty
7.1 Categories and Definition of Administrative and Professional Faculty

The Virginia Tech Board of Visitors adopted modified titles, definitions, and qualification criteria for administrative and professional (A/P) faculty. The titles, definitions, and criteria recognize the professional training and experience required of a wide variety of positions at the university: “administrative” faculty who serve in senior executive roles and “professional” faculty members who serve as managers or professionals.

Administrative Faculty or Senior Administrators: Administrative faculty members are referred to as senior administrators to accurately reflect the nature of these appointments.

Senior administrators perform work related to the management of the educational and general activities of the institution at least 50% of their contractual time. Senior administrators typically serve in executive level leadership roles such as vice president, vice provost, dean, and assistant or associate vice president or dean. The organizational reporting relationship is usually not lower than three levels below the president or the next most senior position to the president.
**Qualifications:** Senior administrators must have an advanced degree or training and work experience at a level that equates to an advanced degree; a master’s degree is the typical minimum entry qualification. Many of these positions, particularly senior administrators in academic leadership roles, may require a terminal degree. Senior administrators regularly exercise discretionary actions.

**Managers or Professional Faculty:** Professional faculty are managers and professionals in a variety of roles and appointments. The “Professional” A/P faculty include managerial positions (significant managerial and budgetary oversight within a unit) and positions that provide direct services.

Professional faculty positions designated as continued appointment-track are not governed by policies outlined in this chapter. Policies applicable to University Libraries faculty on the continued appointment-track are described in chapter four and policies applicable to Extension faculty on the continued appointment-track are in chapter fourteen. The policies in this chapter apply to Extension agents who are A/P faculty members.

Managers (and directors) typically have responsibility for supervision and evaluation of a significant number of staff and/or professional faculty, and budgetary responsibility for their unit or a substantive program. Incumbents exercise discretion and independent judgment and perform managerial or directorial functions for at least 50% of their contractual appointment. Managers and directors typically report to a senior administrator and provide leadership and oversight for their unit or a significant program.

Professionals provide direct service to students, other university constituencies, or clients external to the university as part of the university’s missions of learning, discovery, and engagement. They may direct or provide support for academic, administrative, Extension activities, outreach, athletic, or other programs. Professional faculty may also provide vital university functions such as information technology, budget or finance, human resources, public relations, development, and architectural or engineering functions.

Professional A/P faculty regularly exercise discretion and judgment and take initiative in conducting their primary roles and assignments. Professionals include, but are not limited to, Extension agents, librarians (who are not in continued appointment-track positions), coaches, physicians, lawyers, engineers, architects, student or academic affairs professionals, development officers, public relations, human resources, or information technology, and financial specialists.

**Qualifications:** Professionals must have an advanced degree or training and work experience at a level that equates to an advanced degree; although a master’s degree is the typical entry qualification, this category also includes individuals with a bachelor’s degree and professional training or certifications critical to their fields. In some cases, individuals with substantial professional level experience or expertise that equates to the minimum educational qualifications may be considered for appointment. Professionals must regularly exercise discretionary actions.
The work must be intellectual and varied in character, in contrast to positions that carry out more standardized or routine tasks and activities.

Extension Specialists with Virginia Cooperative Extension funding, and 4-H Center Program Directors are A/P faculty members. Extension faculty who are on the tenure-track, are tenured, or have a continued appointment are not A/P faculty members.

### 7.1.1 Faculty Rank and Title

Members of the administrative and professional faculty who are managers or professionals have the nominal faculty rank of lecturer and a functional title appropriate to the position (e.g., lecturer and assistant dean of students). Professional advancement is recognized by salary adjustment and/or functional title advancement rather than promotion in faculty rank.

Administrative and professional faculty to whom initial ranks other than lecturer were assigned prior to July 1, 1983, retain such ranks.

Administrative faculty usually have a rank other than lecturer, may hold an academic rank in a college department, and may be tenured or have a continued appointment.

### 7.1.2 Faculty Rank

The rank of lecturer is generally reserved for A/P faculty appointments. A master’s degree or significant professional experience is the minimum expectation for appointment to the administrative and professional faculty. Tenure cannot be awarded at this rank. Promotion for administrative and professional faculty is usually recognized by changes in functional title rather than promotion in rank. Appointments are considered term and are renewable annually.

Members of the administrative and professional faculty whose credentials and professional development activities are like those of instructional and Extension faculty and who are involved in these missions of an academic department may be assigned a rank. Initial assignment of a standard faculty rank (assistant, associate, or professor) for non-tenure-track administrative and professional faculty is recommended using standard personnel appointment/review procedures and departmental/school promotion and tenure committee or personnel committee. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship. Departmental/school recommendations for rank are forwarded to the dean and subsequently to the provost for administrative approval.

Administrative and professional faculty who hold a standard faculty rank with an academic department are considered for promotion in rank by submitting their credentials through the usual department/school promotion process including consideration by the department/school, college, and university committees. The department head, chair, or school director works closely with the committee to develop reasonable guidelines for consideration of rank promotions for A/P faculty affiliated with the department and with the individual A/P faculty member so that the appropriate materials are submitted for committee consideration. Appeal of a negative promotion decision is...
managed in accordance with appeal procedures for college faculty. (See chapter three, “Appeals of Decisions on Non-Reappointment, Tenure, or Promotion.”) The assignment of, or change in, a standard faculty rank carries no aspect of tenure.

7.2 Policies Related to Administrative and Professional Faculty Appointments

7.2.1 Protection of Academic Freedom

The university recognizes the need to protect the academic freedom of administrative and professional faculty members when their responsibilities include instruction, direct support of the academic programs of the university, or an activity in which academic freedom is respected.

7.2.2 Initial Appointment and Reappointment

Search procedures for administrative and professional faculty positions are similar to those for instructional faculty positions. Faculty search resources are available on the Human Resources Faculty Recruiting Guidelines page. Please refer to that website for detailed information on the search process. Further guidance for searches involving senior administrative faculty positions (e.g., dean, vice president, or president) is included in other sections of this handbook.

Some administrative and professional faculty may be appointed on a “restricted” rather than “regular” appointment. The special conditions of temporary, restricted appointments are described in chapter two, “Restricted Appointments.”

Appointments to administrative and professional faculty positions are term appointments. No aspects of tenure or continued appointment are involved. Initial appointments to an administrative or professional faculty position are usually for a minimum of one calendar year or academic year, as appropriate. If the annual evaluation is positive, the faculty member can typically expect to continue employment. Important determinants in any reappointment decision are a productive and effective job performance and the continued need of the university for the Scope and level of services being provided.

To address budget reductions, and with a six-month written notice to the employee, the university is authorized to convert administrative and professional faculty on calendar year appointments to the traditional academic year appointment period, or to an alternate 9-, 10-, or 11-month appointment.

Appointment to an administrative or professional faculty position does not carry any aspect of tenure. Senior administrators who achieve tenure or continued appointment in an academic department retain their tenure or continued appointment. On occasion, requests are made by outside candidates, particularly for senior administrative appointments or administrative appointments in academic areas, for an appointment with tenure and rank in an academic department comparable to that held at the previous institution. Appointment with tenure requires review and approval by a subcommittee of the university promotion and tenure committee (see section 3.3 Procedures for Faculty Appointments with Tenure).
Review and approval by the department head or chair, the departmental promotion and tenure or continued appointment committee, the dean, the provost, and the president is required before a decision is made to extend a firm offer that includes the granting of tenure or continued appointment to a senior administrator or administrator in an academic area. Review and approval by the department promotion and tenure or continued appointment committee shall be sought before a decision is made to extend a firm offer of tenure or of a rank other than lecturer to an administrative or professional faculty.

7.2.3 Degree Verification

Prior to employment, Human Resources verifies the highest degree earned for salaried administrative and professional faculty members. Verification is conducted through the National Student Clearinghouse or other certified vendor. In cases where Human Resources is unable to complete the verification for any reason, the candidate is responsible for providing an original transcript to Human Resources within 30 days of notification by the university. Initial and/or continued employment is contingent upon verification of appropriate credentials.

Administrative or professional faculty who teach credit courses are responsible for providing an original transcript to the teaching department for verification of appropriate credentials in accordance with the faculty credentialing guidelines found in chapter two, “Qualification and Teaching Credentials for Instructors of Record,” and on the provost's Faculty Credentials page.

7.2.4 Academic Year Appointments for Administrative and Professional Faculty

Most administrative and professional faculty positions are 12-month appointments with the appointment period extending from July 1 to June 30. Some administrative and professional faculty positions are established as 9-, 10-, or 11-month appointments based on programmatic need.

Regular administrative and professional (A/P) faculty members on academic year appointment earn annual leave only during the period of their appointment at the same rate as regular A/P faculty members on calendar year appointment. That is, two days (16 hours) of annual leave credit are earned per month in accordance with leave regulations; after 20 years of continuous employment by the commonwealth, 18 hours of annual leave are earned per month.

7.3 Annual Evaluations

The supervisor is responsible for maintaining an up-to-date position description for each administrative and professional faculty member in the unit and for determining acceptable standards of performance. Goals and objectives are developed annually in consultation with the faculty member. These should relate closely to the functional title and position description and should become criteria for judging professional performance at the end of the performance cycle. All administrative and professional faculty members should complete an annual faculty activity report at a time determined by the appropriate administrator, but usually near the end of the academic or fiscal year, referencing their goals and objectives and citing their successes,
shortfalls, and future directions. Additional items to report are service to the university, creative scholarship, and other professional activities and recognitions during the year. The performance of each administrative and professional faculty member is evaluated annually in a discussion with the supervisor and by written response. The annual faculty activity report and evaluation are part of the basis for salary adjustments and other personnel matters. Timely submission of the annual activity report (FAR) is required for consideration for a merit adjustment.

7.3.1 Periodic Evaluation of Deans, Vice Presidents, and Directors of Major Organizational Units

In addition to annual reviews by the supervisor, periodic reviews (approximately every five years) are required for senior administrators, vice presidents, and directors of major organizational units.

Administrators serving in other senior leadership roles should also be considered for periodic review where appropriate and identified by the supervisor and president. The review is intended to be formative and to assist improvement for both the administrator and the department.

7.3.2 Senior A/P Academic Administrators Reporting to the Provost

The same general process as outlined in Policy 6105 “Periodic Evaluation of Academic Deans” has been adapted for the periodic reviews of other senior academic administrators and senior academic leaders who report to the provost such as the vice presidents for research and innovation, graduate education, outreach and international affairs, and student affairs, the executive vice provost, the vice provosts, associate provosts, or associate vice presidents, and others identified by the provost.

The periodic reviews occur every five years, are conducted by an appointed committee with diversified membership, and include an extensive survey and/or interview process. For periodic reviews of senior administrators reporting directly to the provost, the provost oversees the appointment of committee members and provides the charge to the committee, and the committee submits a confidential report to the provost with findings and recommendations. Reviews conducted for directors or administrators of major units are managed by the relevant vice president, vice provost, or associate provost to whom they report. The periodic review is used to inform the decision for reappointment.

The determination of participants, the schedule, and specific procedures for periodic review of academic administrators are the responsibility of the provost.

7.3.3 Reviews of the Provost, Administrative Vice Presidents, and Senior Administrators Reporting to the President, and Other Senior Non-Academic Administrators

The Administrative Evaluation and Development Program documents the process to be used for periodic evaluations and executive development for the vice presidents reporting directly to the president, or to the senior executive vice president and chief business operating officer, the president’s direct reports, and direct reports to the vice presidents. The vice presidents participate
in an external leadership assessment and development program appropriate to the stage of their career. The selected program must include an opportunity for 360-degree feedback, with responses shared with the president. Participation in the evaluation and development program is required within two years of the initial appointment and every five years thereafter. The president may also solicit feedback from other individuals and/or constituencies as may be appropriate to the administrator being reviewed. Preparation of an individual development plan and executive coaching for a limited period are also standard elements of the process. The president provides verbal and written feedback to the administrator.

The review process for those senior administrators who report directly to the president and direct reports to the vice presidents will follow a similar pattern, generally using internal assessment instruments and professional development resources.

The determination of participants for the Administrative Evaluation and Development Program, the schedule, and specific procedures for periodic evaluations of administrators reporting through the president are the responsibility of the president’s office.

The university president determines the schedule and review process for the provost, vice presidents, senior staff reporting to the president, and other non-academic administrators. Detailed evaluation program procedures can be obtained from the President’s Office.

Periodic assessments of all administrative vice presidents (executive, senior, and vice presidents) are completed every five years. Administrative vice presidents new to their role will have a periodic review within two years of assuming their new role.

The assessment will be comprised of a 360-assessment instrument, executive coach, and completion of a development plan. The president will initiate the review of vice presidents with a direct reporting line. The senior executive vice president and chief business operating officer initiates the review of vice presidents with a direct reporting line.

Assessments for other leaders and directors of major organizational units reporting to the president, the senior executive vice president and chief business operating officer, or administrative vice presidents are encouraged.

7.4 Salary Adjustments

Salary increases are based on merit and are not automatic. Recommendations for salary adjustments are approved by the appropriate supervisor, dean (where relevant), vice president, and president prior to approval by the Board of Visitors.

Merit encompasses more than adequate performance of assigned duties. Although no faculty member can simultaneously engage successfully in activities in all areas below, administrative and professional faculty should collaborate with their supervisor to develop a long-range plan to demonstrate a high level of competence in the areas below.
Performance: Administrative and professional faculty members have an obligation to maintain a high level of performance in performing their job-related duties and responsibilities. A high level of competence in the performance of one's duties is the major factor in any evaluation. Evaluations are based upon standards set by the supervisor with the participation of the faculty member and relate closely to the duties inherent in the functional title and position description. Expectations set annually are important criteria for judging professional job performance at the end of the performance cycle.

Service to the university: Historically, Virginia Tech depends on the administrative and professional faculty for service on a wide variety of committees and as leaders and support for important university projects and initiatives. Demonstrated participation in and leadership of departmental or university committees, special university-wide assignments, or similar activity on behalf of important university priorities is expected of those who seek high-level administrative positions.

Professional and scholarly activities: Administrative and professional faculty have an obligation to maintain a high level of professional competence and to stay abreast of developments in their field. Effective administrators also benefit from active involvement in the intellectual and scholarly development of one's field, which often leads to contributions to the profession.

Teaching in appropriate credit or non-credit programs: Many administrative and professional faculty at Virginia Tech contribute directly to academic programs by teaching undergraduate or graduate courses or becoming involved in continuing and professional education activities. (See below for information regarding the teaching of credit classes and overload compensation for administrative and professional faculty.)

Salary adjustments may also be recommended to address such issues as equity, increased responsibility, and retention for an especially meritorious employee, or completion of a doctorate.

7.5 Teaching Credit Classes and Overload Compensation for Administrative and Professional Faculty

Policy 4072, “Teaching Credit Classes and Overload Compensation for Administrative and Professional Faculty Members,” allows appropriately credentialed administrative and professional (A/P) faculty to teach graduate or undergraduate courses at the university if requested to do so by an academic program. The policy provides guidelines for A/P faculty members whose normal job responsibilities do not include teaching. To be eligible for overload compensation, the A/P faculty member must have full responsibility for teaching a class to be eligible for overload compensation. Occasional lectures, supervision of interns or practicum students, or other minor instructional support activities typically are not compensated.

Academic departments may employ full-time administrative and professional faculty to teach one course per semester. The A/P faculty member must hold at least the minimum credentials required for teaching courses at various levels in accordance with the Southern Association of Colleges.
and Schools Commission on Colleges (SACSCOC) expectations. It is the responsibility of the teaching department to verify and document appropriate credentials for all teaching faculty. (See chapter two, “Qualification and Teaching Credentials for Instructors of Record” or the provost’s Faculty Credentials page.)

The A/P faculty member may receive overload payment for teaching credit courses only when such teaching is not part of the usual expectation for the administrative and professional position. Teaching for supplemental compensation is limited by overall time and income restrictions defined in the consulting policy. (See sections in chapter two: “Consulting Activities”, “Technical Assistance Program”, “Outside Employment and External Activities Other Than Consulting.”)

The specific requested teaching assignment should be approved in advance by the faculty member’s own department head/chair or supervisor. The department head/chair or supervisor determines whether the teaching assignment is within the A/P faculty member’s usual job responsibilities, and therefore not eligible for additional compensation. The agreement may be multi-year and revisited periodically if the instructional assignment is expected to be on-going.

In approving or disapproving the teaching assignment, the department head/chair or supervisor considers the A/P faculty member’s ability to manage additional work outside of usual job expectations, whether the course occurs during normal hours of work, and whether scheduled absences and additional responsibilities will create undue disruption. The benefit to the A/P faculty member for professional development and contribution to the academic program is also considered.

Engagement of administrative and professional faculty in the instructional mission of the university is encouraged; however, teaching on an overload basis is not a right. Continued satisfactory performance in the primary position is essential and is the basis of the annual performance evaluation and merit adjustment.

7.6 Non-Reappointment, Reassignment, Removal, and Imposition of Sanctions Other Than Dismissal

Members of the administrative and professional faculty may be removed from their position by one of the following four procedures: (1) non-reappointment, (2) reassignment, (3) removal for just cause, or (4) abolition of position.

7.6.1 Non-Reappointment of Administrative and Professional Faculty on Regular Appointments

Monitoring the progress of newly appointed administrative and professional faculty members is the responsibility of the supervisor. An evaluation is made prior to the end of the first year of the appointment to ascertain that the faculty member is performing the assigned duties in a highly satisfactory manner. If the evaluation is positive, the faculty member can usually expect to be reappointed for another year.
Notice of non-reappointment for administrative and professional faculty on regular appointment is given in writing in accordance with the standards of notice in chapter two, “Retirement, Resignation, and Non-Reappointment.”

7.6.2 Non-Reappointment of Administrative and Professional Faculty on Restricted Appointments

Restricted appointments may be terminated for several reasons including discontinuation of funding, or a change in research or other program priorities, resulting in the need to terminate the services of an employee. Administrative and professional faculty appointments may be terminated in the case where there are insufficient funds or no further need for services. The date of termination for a restricted A/P faculty member is at least 30 calendar days from the date of notification. A proposed notice of termination because of insufficient funds or lack of need for services requires the approval of the department head, dean (or appropriate administrator), and the provost or president (or their designees).

7.6.3 Reassignment

The university may reassign administrative and professional faculty members at any time. Reassignment may involve a change in administrative title or supervisory responsibilities, reassignment to another position or department, transfer to a staff position, and/or reduction in salary commensurate with reduced responsibilities. Neither notice of non-reappointment nor removal for cause is required to effect a reassignment. The university's responsibility under reassignment is to make available a substitute position or duties reasonably commensurate with the person's education, experience, and performance. A reassignment that involves a geographic transfer of more than 50 miles is conducted in accordance with the geographical transfer policy. (See chapter two, “Geographical Transfer Policy.”)

Reassignment is preceded by a meeting of the supervisor with the faculty member to review the reasons for reassignment, which are presented in writing to the faculty member. This written review shall include a deadline for a response to the reasons for reassignment from the faculty member, which shall be no less than five working days after the written review. The response is made to the supervisor who may reconsider the decision to reassign or proceed with the proposed reassignment.

In cases of reduction in salary and/or transfer to a staff position, the proposed salary reduction or reassignment to a staff position must be reviewed and approved by the senior administrator. In these cases, the effective date of the reassignment shall be no sooner than 90 days following senior administrator approval, unless mutually agreed upon by all parties.

7.6.4 Dismissal for Cause

Members of the administrative and professional faculty may be dismissed for cause. Stated causes for dismissal shall be documented and shall include, but are not limited to, unacceptable or unsatisfactory performance; unethical conduct; misconduct that interferes with the capacity of the employee to perform effectively the requirements of the position; unsatisfactory attendance;
falsifying credentials or any records—including but not limited to vouchers, reports, insurance claims, time records, leave records, or other official state or federal documents; unauthorized removal or damage of records or property belonging to others; acts of physical violence; criminal convictions for acts of conduct occurring on or off the job that are plainly related to job performance or are of such a nature that to continue the employee in the assigned position would constitute negligence in regard to the agency's duties to the public, students, or to other state employees; or violation of university policies. With approval by the provost or the vice president for human resources, as appropriate, an A/P faculty member may be suspended with or without pay during an internal or external investigation of any act(s) that may lead to dismissal.

Dismissal for cause is preceded by a meeting of the supervisor and a next-level administrator with the faculty member to review the reasons for dismissal, which are presented in writing to the employee. The meeting requirement may be satisfied in ways other than a face-to-face on-campus session, if there is a likelihood of threat to the health or safety of students, other employees, or property. With approval of the provost or vice president for human resources, as appropriate, the supervisor may suspend the A/P faculty member with or without pay until the effective date of dismissal or until the employee is authorized to return to work.

The faculty member is given a minimum of three working days to respond to the reasons for dismissal. The response is made to the supervisor, who then makes a final decision and communicates it to the faculty member. The faculty member may invoke the applicable grievance procedure.

Filing a grievance does not constitute cause for dismissal.

7.6.5 Imposition of Sanctions Other Than Dismissal

Minor sanctions include, but are not limited to, verbal or written reprimand. As compared to severe sanctions, minor sanctions usually do not involve a financial loss or penalty.

A severe sanction generally involves a significant loss or penalty to a faculty member such as, but not limited to a reduction in title, responsibilities, and salary; or suspension without pay for a period not to exceed one year imposed for unacceptable conduct and/or a serious breach of university policy.

Routine personnel actions such as a recommendation for a below average or no merit increase, reassignment, or removal of an administrative stipend do not constitute “sanctions” within the meaning of this policy. A personnel action such as these may be a valid issue for grievance under procedures defined in chapter seven, “Valid Issues for Grievance.”

Process for imposing a minor sanction: If a supervisor believes the conduct of a faculty member justifies imposition of a minor sanction, the faculty member is notified in writing of the proposed sanction and provided an opportunity to respond. A faculty member who believes that a severe sanction has been incorrectly imposed under this section, or that a minor sanction has been
unjustly imposed, may file a grievance following procedures outlined in chapter seven, “Grievance Policy and Procedures for Administrative and Professional Faculty.”

**Process for imposing a severe sanction:** The conduct of a faculty member, although not constituting adequate cause for dismissal, may be sufficiently grave to justify imposition of a severe sanction.

Imposition of a severe sanction follows the same procedures as dismissal for cause.

**7.6.6 Abolition of Position**

Members of the administrative and professional faculty on regular appointments may be removed in the event of financial hardship within a department that cannot be alleviated by ordinary budgeting practices, or upon reduction of the specific services for which they were employed. A minimum of 90 calendar days’ notice is given in such circumstances. If an A/P faculty member on a regular appointment is separated involuntarily due to budget reduction, reorganization, or workforce downsizing, the faculty member may be eligible for severance in accordance with Policy 4245, “Severance Benefits Policy for University Employees.”

Administrative and professional faculty with tenure or continued appointment and whose A/P position is abolished return to their academic department.

**7.7 Grievance Policy and Procedures for Administrative and Professional Faculty**

The following procedure is provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by members of the administrative and professional faculty. The steps in the grievance process will, in part, be guided by the reporting relationships of the employees involved in the grievance. Step one and two administrators involved in responding to a grievance should consult with the vice president for human resources and/or the vice provost for faculty affairs who may involve additional parties as appropriate. Grievant, and those involved in responding to grievances, may consult with the Administrative and Professional Faculty Senate Vice President for additional information.

**7.7.1 Ombuds, Mediation Services, and Faculty Senate Committee on Reconciliation**

**Informal Dialogue:** It should be possible to resolve most faculty concerns or complaints through informal communication among colleagues working together in the academic enterprise. Accordingly, an A/P faculty member who feels there is a grievance is encouraged to take it to the immediate supervisor in the collegial spirit of problem solving rather than as a confrontation between adversaries.

**University Ombuds:** Any member of the university community may visit the university Ombuds Office. The Ombuds listens and explores options for addressing and resolving concerns or complaints. The Ombuds Office does not have the authority to make decisions or to reverse any
Communications with the Ombuds Office are considered confidential. The Ombuds Office will not accept legal notice on behalf of the university, and information provided to the Ombuds Office will not constitute such notice to the university. Should someone wish to make the university formally aware of a particular problem, the Ombuds Office can provide information on how to do so. The only exception to this pledge of confidentiality is where the Ombuds Office determines that there is an imminent risk of serious harm, or if disclosure is required by law.

To preserve independence and neutrality, the Ombuds Office reports directly to the president. The Ombuds Office does not keep permanent records of confidential communications.

**Reconciliation:** Reconciliation is useful if the individual feels the issue may be amenable to, but will require time for, negotiation or if the individual is unsure whether the concern is a legitimate issue for a grievance, or if personal relations between the parties involved in the matter have become strained. Information regarding the faculty reconciliation process is available on the provost’s Faculty Reconciliation page.

The Faculty Senate Committee on Reconciliation, which typically includes participation by one or more administrative and professional faculty members as members of the Faculty Senate Committee on Reconciliation, may conduct reconciliation between an A/P faculty member and the supervisor. Reconciliation may include fact-finding and engaging the appropriate parties in negotiating a resolution. Engaging the Faculty Senate Committee on Reconciliation is not required prior to filing a grievance.

For a potential grievance issue to qualify for consideration by the Faculty Senate Committee on Reconciliation, the A/P faculty member must contact the chair of the Faculty Senate Committee on Reconciliation within 30 calendar days of the date the grievant knew, or should have known, of the event or action that is the basis for the potential grievance.

Administrative and professional faculty members may also consult the Faculty Senate Committee on Reconciliation about serious disagreements with immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. If the chair of the Faculty Senate Committee on Reconciliation is unable to resolve the matter within 30 calendar days, the chair sends a letter to the A/P faculty member stating such, providing the appropriate information about the formal grievance procedure if the A/P faculty member should choose to pursue the matter, and documenting that the matter was brought forward within the prescribed 30-day period. A copy of this letter is provided to the vice president for human resources with a copy to the vice provost for faculty affairs when appropriate. The A/P faculty member has five weekdays after receiving the letter from the chair of the Faculty Senate Committee on Reconciliation to initiate a formal grievance, if so choosing, by following the
procedures below and providing a copy of the letter from the chair of the reconciliation team to the supervisor, validating the timeliness of the grievance.

**Mediation:** Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. A/P faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

**Role of Mediators:** Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

**Requesting Mediation:** Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step three. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

**7.7.2 The Formal Grievance Procedure**

The grievant may pursue the issue as a formal grievance through the following procedure. Supervisors and administrators will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of the case. (See chapter seven, “Valid issues for Grievance.”)

The number of steps in the process is determined by the reporting line of the grievant. Thus, if three steps do not exist between the grievant and the president, then the available number of steps is used.

The grievance must be well described, and the relief requested must be specified on the grievance form. For A/P faculty, grievance forms are available on the provost’s Faculty Forms page.

The Administrative and Professional Faculty Senate Vice President will maintain an active list of trained A/P faculty members who can provide consultation to an A/P faculty colleague who is preparing to file a formal grievance. Upon being contacted by an A/P faculty colleague who is
preparing to file a formal grievance, the trained consulting A/P faculty member will be able to
provide information on and answer questions about the formal grievance process, completion of
the A/P faculty grievance form, and available university resources. The consulting A/P faculty
member will not submit a grievance form for another A/P faculty member or serve on any panel
within the grievance process in a matter to which they served as the consulting A/P faculty
member.

**Step one:** The grievant must submit a written statement of the grievance to the step one
administrator (the director or department head/chair; for A/P faculty in Virginia Cooperative
Extension, the district director or appropriate step one administrator) and to the Administrative
and Professional Faculty Senate Vice President within 30 calendar days of the date identified, or
the grievant should have known, of the event or action that is the basis for the grievance. If
appropriate, the step one administrator will provide a copy of the grievance to the supervisor of
the grievant.

**Grievability Panel:** The Administrative and Professional Faculty Senate Vice President, within
ten weekdays of receiving a copy of the grievance form, will convene a grievability panel. The
panel consists of the Administrative and Professional Faculty Senate Vice President and two A/P
faculty senators. The panel meets to deliberate and determine the admissibility of the matter to
the grievance process. (See chapter seven, “Valid Issues for Grievance.”) A written report
summarizing the deliberation and documenting the ruling of the grievability panel will be provided
to all parties. The decision of the grievability panel is final. If the issue is deemed grievable by the
panel, the step one administrator provides a written response to the grievant within five weekdays
of receiving the grievability panel’s written response. Step one administrator’s written response
should cite reasons for action taken or not taken. If the written response of the director or
department head/chair is satisfactory to the grievant, that ends the matter.

If the grievability panel determines the issues presented by the grievant are not grievable, then
the process is concluded.

**Step two:** If the resolution of the grievance proposed in the written response by the step one
administrator is not acceptable, the grievant may advance the grievance to the step two
administrator (usually a dean or vice president) by checking the appropriate place on the
grievance form and sending it within five weekdays of receiving the written response. The step
two administrator for Extension A/P faculty (such as Extension agents) is the dean of the College
of Agriculture and Life Sciences.

Following receipt of the grievance form, the step two administrator or designated representative
meets with the grievant within five weekdays. The grievant may request that a chosen
representative from among the university general faculty be present. Unless the grievant is
represented by a member of the faculty who is also a lawyer, the step two administrator does not
have legal counsel present.
If the grievance involves a programmatic issue for an Extension A/P faculty member where responsibility for that program lies with a different dean, the designated step two administrator consults with the programmatic dean before rendering a decision.

The step two administrator gives the grievant a written decision within five weekdays after the meeting, citing reasons for the decision. If the step two administrator’s written response to the grievance is satisfactory to the grievant, it ends the matter.

Step three: If the resolution of the grievance proposed in the written response by the step two administrator is not acceptable, the grievant may advance the grievance to the step three administrator. The step three administrator is the vice president for human resources or the vice provost for faculty affairs. The grievant must advance the complaint to the step three administrator within five weekdays of receiving the written response from the step two administrator. If the grievant works in a college or academic vice president’s division, the step three administrator will provide a copy of the grievance to the executive vice president and provost.

Advancement of a grievance to step three includes consideration by an impartial Administrative and Professional Faculty Senate hearing panel unless the grievant petitions the step three administrator to bypass the hearing panel and rule on the grievance. If the step three administrator accepts the request to rule on the grievance, there is no subsequent opportunity for the grievance to be heard by a Administrative and Professional Faculty Senate hearing panel. If the step three administrator does not accept the petition, a Administrative and Professional Faculty Senate hearing panel is formed to review the grievance as outlined in these procedures. An Administrative and Professional Faculty Senate hearing panel may also be convened to determine whether a complaint may be grieved under university policy.

Within five weekdays, the step three administrator, or appropriate designated representative, acknowledges receipt of the grievance and forwards a copy of the “Hearing Procedures of the Committee on Administrative and Professional Faculty Grievances” to parties in the grievance process. The step three administrator also forwards a copy of the grievance immediately to the chair of Administrative and Professional Faculty Senate.

Hearing Panel: A grievance hearing for A/P faculty is conducted by an ad hoc panel selected by the Administrative and Professional Faculty Senate from the current A/P Faculty Senate membership, including Senators and Alternates. A hearing panel consists of three A/P Faculty Senators or Alternates, an alternate panel member, and the non-voting chair. The chair polls all appointees to ensure that they have no conflict of interest in the case. Either party may challenge one of the appointments, including the alternate. Other replacements are made only for cause. The alternate serves as a replacement panel member if the need arises.

To ensure uniformity in practice, the Administrative and Professional Faculty Senate serves as the non-voting chair of each hearing panel. If the Administrative and Professional Faculty Senate Vice President has a conflict of interest concerning a case, the chair appoints a replacement from among the Administrative and Professional Faculty senators who serve on CAPFA at- large to
serve as chair of the hearing panel. In the unlikely event that all A/P faculty senators and alternates have a conflict of interest concerning a case, the Administrative and Professional Faculty Senate Vice President, in consultation with the A/P Faculty Senate president, and an appropriate senior administrative official (president, provost, vice president for human resources), will appoint a non-voting chair and panelists from the A/P faculty at large.

**Hearings:** After the members of the hearing panel are appointed, the Administrative and Professional Faculty Senate Vice President requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Administrative and Professional Faculty Senate. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling can occur. The hearing is then reconvened as appropriate (and within the 45-day period required by this policy, unless agreed upon by both parties).

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak if requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsels are present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel.

**Findings and Recommendations:** The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Administrative and Professional Faculty Senate Vice President. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the step three administrator and parties to the grievance.

**Action of the Step Three Administrator:** The step three administrator meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant about the prospects for disposition of the case. Within 10 weekdays of that meeting the step three administrator sends to the grievant the decision in writing concerning the disposition of the grievance. If the step three administrator’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel, that ends the matter.
Step four: If the step three administrator’s decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the university president within 20 calendar days. The president’s decision is final.

7.7.3 Timeliness of Grievance and Procedural Compliance

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the date identified, or should have known, of the event or action that is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution is accepted as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the Administrative and Professional Faculty Senate Vice President in writing, who determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the Administrative and Professional Faculty Senate Vice President is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations, other than time limit issues, the Administrative and Professional Faculty Senate Vice President rules on the question, as in disputes about the validity of procedural issues qualifying for the grievance procedure. The Administrative and Professional Faculty Senate Vice President has the following options: The Administrative and Professional Faculty Senate Vice President can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a significant procedural violation did occur. If the step one or step two administrator committed a significant procedural violation, the grievance automatically qualifies for advancement to the next step in the grievance process. If the grievant committed a significant procedural violation, the grievance process ends at that point for that grievance with the last proposed resolution established as the final disposition of the case.

7.7.4 Valid Issues for Grievance

For this process, a grievance is defined as a complaint by an A/P faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are termination for cause; improperly or unfairly determined personnel decisions that result in an
unsatisfactory annual performance evaluation; unreasonable merit adjustment or salary level; excessive teaching load/work assignments; reprisals for activities protected by law or policy; substantive error in the application of policy; matters relating to academic freedom.

**Issues not open to grievance:** While A/P faculty disputes with the university administration may be dealt with using this grievance policy, the following issues may not be made the subject of a grievance: appropriate application of policy by the university administration or the university governance system; contents of university policies and procedures; the routine assignment of university resources (e.g., space, operating funds, parking, etc.); normal actions taken, or recommendations made, by administrators or committee members acting in an official capacity in the grievance process; those items falling within the jurisdiction of other university policies and procedures “Policy 1025 “Policy on Harassment, Discrimination, and Sexual Assault” for complaints of unlawful discrimination or harassment; “Policy 1026 “Policy on Title IX Sexual Harassment and Responsible Employee Reporting”, Faculty Handbook, chapter two “Allegations of Unprofessional or Unethical Conduct” for complaints related to unprofessional or unethical conduct; Faculty Handbook, chapter two ”Non- Reappointment” for complaints related to non-reappointment or abolition of position).

Allegations of unprofessional or unethical conduct against an A/P faculty member are addressed using processes outlined in chapter two, “Allegations of Unprofessional or Unethical Conduct.” Information on the Faculty Senate Committee on Ethics is in chapter two, “Faculty Senate Committee on Ethics,” and on the Faculty Senate website.

The Administrative and Professional Faculty Senate do not consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

Beyond the grievance process and the jurisdiction of other university policies and procedures available to manage complaints by A/P faculty members, additional sources of conflict resolution are available. A/P faculty are encouraged to seek reconciliation and mediation services for disputes. Reconciliation is offered through the Faculty Senate Committee on Reconciliation and mediation is offered through the conflict resolution program in Human Resources.

**7.7.5 Particular Concerns and Definitions**

Timelines stated in the grievance policy indicate the number of days within which the other party should receive notification. Electronic submission from a departmental office within the specified time frame is acceptable. This is immediately followed by submission by mail of the original form and any related materials.

Time limits are subject to an extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost's Faculty Forms page.)

The principals and the Administrative and Professional Faculty Senate Vice President, if necessary, negotiate extensions of time limits at step three. In case of disagreement, the
Administrative and Professional Faculty Senate Vice President rules on time extension and procedural questions or recommendations designed to expedite the proceedings while providing peer review of the grievance.

If an A/P faculty member is away from the assigned work location at the time the event or action is discovered that is the basis for a grievance, the 30-day period during which the grievant must meet with the supervisor or step one administrator to initiate the grievance process begins when the A/P faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the written grievance as prescribed in step one by mail or email attachment during absence from the primary work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when the university is open and those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave, the grievance process stops until such time as the grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that an A/P faculty member discovers there is a grievance about actions by an administrator above the level of the supervisor that directly involve the A/P faculty member, or with actions by an administrator not in the department/unit that directly involve the A/P faculty member, the grievant initiates the grievance process by seeking the intervention of the supervisor within 30 calendar days of the date when the grievant knew or should have known of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the supervisor, may file the grievance form for A/P faculty at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in usual fashion.

A grievance filed by an A/P faculty member concerning an action of either the provost, senior vice president and chief business officer, vice provost for faculty affairs, or the vice president for human resources is handled by the Administrative and Professional Faculty Senate Vice President and an impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the president for ruling. A grievance filed by a faculty member concerning an action of the
president of the university is dealt with by a special panel appointed by the provost in consultation with the chair of the Commission on Administrative and Professional Faculty Affairs.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the senior administrator in consonance with the hearing panel recommendations, or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.

7.7.6 Overview of the Formal Grievance Process for Administrative and Professional Faculty

Below is an abbreviated overview of the grievance process and deadlines. Refer to chapter seven, “The Formal Grievance Procedure,” for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost's Faculty Forms page.)

The validity of a grievance under university policy can be determined by CAPFA at any point in the process.

<table>
<thead>
<tr>
<th>Step One</th>
<th>Step Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within 30 days of event</td>
<td>1a.</td>
<td>Grievant submits written grievance to step one administrator (for Extension A/P faculty this is usually the district director) and Administrative and Professional Faculty Senate Vice President.</td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>1b.</td>
<td>CAPFA chair acknowledges in writing to grievant that copy of grievance has been received</td>
</tr>
<tr>
<td></td>
<td>1c.</td>
<td>Administrative and Professional Faculty Senate Vice President convenes a grievability panel to determine the admissibility of the issue to the grievance process per chapter seven, “Valid Issues for Grievance.” The grievability ruling will be</td>
</tr>
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documented and a written report on the deliberation sent to all parties concerned.

<table>
<thead>
<tr>
<th>Step Two</th>
<th>Step Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>2a.</td>
<td>Grievant submits written grievance to the step two administrator, usually the dean or vice president (for Extension A/P faculty, this is the dean of the College of Agriculture and Life Sciences). If the grievance involves a programmatic issue for an Extension A/P faculty member where responsibility for that program lies with a different dean, the designated step two administrator consults with the programmatic dean before rendering a decision.</td>
</tr>
<tr>
<td>2b.</td>
<td>Step two administrator meets with the grievant and provides a written response</td>
<td></td>
</tr>
<tr>
<td>2c.</td>
<td>If step two administrator’s response is satisfactory to grievant, that ends the matter.</td>
<td></td>
</tr>
<tr>
<td>2d.</td>
<td>If step two administrator’s response is not satisfactory to grievant, move to step three within 5 weekdays.</td>
<td></td>
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</table>

<table>
<thead>
<tr>
<th>Step Three</th>
<th>Step Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>3a.</td>
<td>Grievant advances grievance form to the step three administrator (the vice president for human resources or the vice provost for faculty affairs) who then, depending on</td>
</tr>
</tbody>
</table>
Within 5 weekdays

3b. Step three administrator acknowledges receipt of grievance and forwards copy to Administrative and Professional Faculty Senate Vice President.

Within 5 weekdays

3c. Administrative and Professional Faculty Senate Vice President acknowledges in writing to grievant that copy of grievance has been received from the step three administrator.

Within 15 weekdays

3d. Administrative and Professional Faculty Senate Vice President convenes a hearing panel that holds its initial meeting with both principals.

Within 45 weekdays

3e. The hearing panel concludes its work and makes recommendation to step three administrator and grievant.

Within 10 weekdays

3f. Step three administrator meets with grievant.

Within 10 weekdays

3g. Step three administrator notifies grievant in writing of the decision.

3h. If the step three administrator’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel that ends the matter.

3i. If the step three administrator’s decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the president within 20 calendar days.
### 7.8 Leave

Administrative and professional faculty are eligible for the following types of leaves: administrative leave, annual leave, disaster relief leave, educational leave, family leave, paid parental leave, leave without pay, military leave, sick leave, and special leave.

Members of the administrative and professional faculty who have tenure or continued appointment may, under certain special conditions, request study-research leave or research assignment, particularly when they are returning to instructional faculty status. All study-research leaves and research assignments require approval by the Board of Visitors. See chapter two, “Types of Leave and Leave Reporting.”

### 7.9 Consulting Activities for Virginia Cooperative Extension Faculty

A/P faculty members are eligible for consulting as outlined in the university’s consulting and outside employment policies. See chapter two of the Faculty Handbook.

Consistent with the university’s policy and procedures on consulting activities, additional restrictions may be imposed on the consulting activity of Virginia Cooperative Extension faculty members. These restrictions are imposed to give further assurance that consulting approval is not granted for that is the usual responsibility of faculty members within Extension.

It is recognized that the outreach responsibilities of Extension are broad and, thus, program assistance parameters are difficult to define. Consequently, the following procedures are designed to provide judgmental decisions by appropriate supervisory staff for consulting requests in ambiguous areas of program responsibilities.

The Request to Engage in External Activity should be submitted using the Disclosure and Management System. Typically, consulting activities do not involve university sponsorship.

The department head, chair, school director, or immediate supervisor reviews the Request to Engage in External Activity. If approval is granted, the request is sent to the college dean for approval. The director of Virginia Cooperative Extension must grant final approval. If not approved at any level, the request is sent back through the department head, chair, school director, or supervisor to the faculty member with an explanation for the action.

Decisions are on, but not limited to consistency with consulting and outside employment guidelines in chapter two; whether the consulting is within or outside usual Extension responsibilities; and whether the time required falls within the number of consulting days allowed.
CHAPTER EIGHT
GRADUATE ASSISTANTS

8.0 Policies for Graduate Assistants, Graduate Research Assistants, and Graduate Teaching Assistants
Consult the Graduate Student Catalog and Graduate School website for additional information.

8.1 Graduate Student Appointments

Policy 6210, “Management of Graduate Assistantships and Tuition Remission” is administered by the Graduate School, establishes the standards for the eligibility and management of graduate assistantships and associated benefits including tuition remission. Graduate assistantships are a unique form of university appointment that allow graduate students to gain valuable training and professional experience in teaching, research or administration while providing service to the university.

Since the responsibilities or requirements of graduate students vary by academic discipline, each department is required to define expectations for its students on assistantships. These graduate student appointments do not carry faculty status or other faculty rights or responsibilities.

Graduate Assistant: Graduate assistants (GAs) are graduate students who provide academic and program support. GA responsibilities may be administrative or academic in nature. Administrative responsibilities might consist of duties unrelated directly to teaching or research (such as academic advising, program planning, advising student groups, and assisting with the administration of student services offices). Academic responsibilities may include grading examinations, problem sets, and/or lab assignments, setting up displays for lectures or laboratory sections, and preparing or maintaining equipment used in laboratory sections.

Graduate Research Assistant: Graduate research assistants (GRAs) are graduate students conducting academically significant research under the direction of a faculty member, who is generally a Principal Investigator on an external grant or contract.

Graduate Teaching Assistant: Graduate teaching assistants (GTAs) may provide academic program support under the supervision of a faculty member. GTAs may assist faculty members in the department in teaching undergraduate courses, including laboratory teaching assignments, or in providing other appropriate professional assistance, including grading examinations, problem sets, and/or lab assignments, setting up displays for lectures and laboratory sections, and preparing or maintaining equipment used in laboratory sections.
8.2 Required Qualification and Teaching Credentials for Instructors of Record Including Graduate Students

If a GTA is assigned full responsibility for teaching an undergraduate course, the GTA must have documented teaching credentials or 18 hours of graduate-level course work in their teaching discipline, direct supervision by a faculty member experienced in the teaching discipline, regular in-service training, and planned and periodic evaluations. GTAs lacking this training are assigned to work under the supervision of a faculty member who is the instructor of record for the course. Graduate students who will be appointed as GTAs must complete the GRAD 5004 GTA workshop. The Graduate School’s approval is required before a graduate student is allowed to teach graduate courses.

See the provost’s Faculty Credentials page and chapter two in this handbook for “Qualification and Teaching Credentials for Instructors of Record”. Per the university’s regional accrediting body, the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), graduate assistants assigned as the instructor of record for baccalaureate/undergraduate courses must be qualified to teach and have the appropriate teaching credentials documented by the department or school. A master’s degree in the teaching discipline or 18 graduate semester hours in the teaching discipline, direct supervision by a faculty member experienced in the teaching discipline, regular in-service training, and planned and periodic evaluations are required.

8.3 Additional Employment by Graduate Students with a Full-Time Assistantship

Given individual circumstances, graduate students on a full-time graduate assistantship may, at times, wish to pursue additional employment. See section 2.4 of Policy 6210. Unless specified otherwise in the assistantship agreement, graduate students receiving full-time assistantships are not prohibited from seeking additional employment. In the interest of their professional development and maintenance of satisfactory academic progress, students seeking additional employment should consult with their academic advisors, and when appropriate their assistantship providers, regarding the fulfillment of their assistantship and graduate study responsibilities. The Graduate School must be notified in advance of any additional employment plan. The Graduate School should be consulted to assist with the resolution of any conflicts of interest that may arise. Attempted resolution of conflict occurs at the departmental level first, and then can be referred, if necessary, to the Graduate School and/or Office of the Ombudsperson in the Graduate School.

In evaluating the merits of additional employment, including outside employment, graduate students and their advisors should consider the following:

Employment by a company owned in whole or part by the faculty chair of the student’s dissertation or thesis committee presents the potential for serious conflicts of interest. In such cases, another faculty member of equal or greater rank must serve as chair or co-chair of the advisory committee.
It is inappropriate for any student to receive remuneration directly from the external funding organization while also being employed as a graduate assistant or wage earner on a contract with that same organization.

It is inappropriate for any student to work for an employer who is in direct competition with a current funding source. International graduate students on assistantships may be prohibited from any additional employment by their specific visa status.

CHAPTER NINE
INSTRUCTION-RELATED

9.0 Instruction-Related Policies
See Office of the University Registrar website

9.1 Assignment of Academic Responsibilities
Assignments of teaching load and academic advising are the responsibility of the department head or chair and may vary from one term to the next depending on the departmental requirements. Assignments should involve consultation with the faculty member, and in cases involving non-routine assignments—such as those requiring extensive travel—consultation is required. Ultimately, authority rests with the department head or chair to make the final assignment. Although the usual load for those engaged only in teaching is 12 didactic hours, the loads vary widely and are usually adjusted to permit time for other scholarly activities—for outreach which is related to the mission of the university and the faculty member’s disciplinary expertise, and for faculty development related to the quality of instruction. A didactic hour is defined here as one contact hour in a lecture course or 0.60 hour for each contact hour in a course designated as a laboratory course.

Faculty members are expected to be available two weeks prior to the first day of classes and two weeks following commencement. The discretion of the department head or chair is recognized in assigning duties during periods when the university is not in session. Faculty members are expected to inform their department heads or chairs of their whereabouts during such periods.

Instructors with distinctive assignments and work schedules will have these responsibilities conveyed in the terms of faculty offer letter at the time of appointment.

9.1.1 Special Authority Conferred to the University Registrar During States of Emergency
Special, time-limited authority, as delegated with Presidential Policy Memorandum No. 312, may be granted to the university registrar during periods when the university is operating under a state
of emergency declared by the president of the University. This authority enables the university registrar to evaluate and implement impartial standards and guidelines related to grading.

9.1.2 Summer and Winter Sessions
Teaching loads during the summer and winter sessions are tightly controlled. Summer and winter teaching appointments are the responsibility of the department head or chair. (See chapter two, “Summer and Winter Appointments.”)

9.1.3 Independent Study and Undergraduate Research
The courses designated as Undergraduate Independent Study and Undergraduate Research are generally unique educational experiences between an instructor and a student. The student, by way of the faculty member, is required to receive prior approval for such studies by the instructor’s department head or chair and by the dean. Undergraduate students are limited to 12 hours of combined Independent Study and Undergraduate Research to be counted toward completion of the degree (unless specifically required by the program check sheet). Courses designated as Graduate Independent Study/Special Study require approval of the instructor’s department head or chair only. The student, by way of the faculty member, is required to receive prior approval for such studies. Approval forms are available in the colleges. Usually, these courses do not count in the teaching load of a faculty member.

The instructor of record for each Independent Study and/or Undergraduate Research course is required to provide a significant amount of supervision to the student via appropriate contact hours as defined by Policy 6901, “Definition of a Credit Hour”. A contract between the student and faculty member should be developed and must include reference to specific contact hours with the faculty member as well individualized work. Additional information can be found on the Office of the University Registrar’s website.

9.1.4 Graduate and Professional Program Standards and Policies
Each graduate and professional degree-granting program in the university is responsible for the conduct of the program and designates a faculty member to serve as liaison with the appropriate college dean(s) and the vice president and dean for graduate education. Additional information can be found on the Graduate School website. Further, each graduate degree-granting program formulates and retains a current policy statement that spells out criteria governing its program. Copies are filed with the appropriate college dean(s) and the vice president and dean for graduate education. Policy statements address faculty participation on graduate student advisory committees (thesis and dissertation advisors; advisory committee membership); admissions procedures and requirements; and management of graduate students (orientation/advising; manuals, guides, handbooks; assistantships—selection procedures, obligations; evaluation of satisfactory progress towards the degree).

9.2 Scheduling of Classes
The Office of the University Registrar coordinates the preparation of the timetable of classes and disseminates this information. The department head or chair or a designated scheduler prepares

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proposed class schedules in response to a call from the university registrar. The university registrar reconciles the material provided with the approved catalog of university courses, established scheduling patterns and allocations, and requests of other departments. Individual professors address scheduling issues through the department head or chair or the designated scheduler. The timetable of classes is available via Hokie-SPA.

The university registrar assigns classrooms. Moving the location of courses is possible only with the approval of the department scheduler and the university registrar. Enrollments may not exceed the posted room capacity. Commonwealth of Virginia fire code specifications do not allow students to be seated in the aisles or on the floor.

9.3 Registration for Classes

The registration period for each term occurs during the regular preceding term. New and transfer students register for the fall semester during online summer orientation academic advising. Students who enter the university for the first time in the spring semester or a summer term register in the usual manner.

The university registrar works with each department to amend course offerings by increasing the capacity of the section within limits for the assigned classroom; creating new sections with times subject to availability of suitable classrooms; and canceling sections for which the demand is too small to justify keeping the section.

Undergraduate classes with fewer than 15 students and graduate classes with fewer than six are reviewed by the department head or chair and the academic dean and canceled unless there are compelling reasons for keeping the class. In the summer and winter terms, the department head or chair and the director of summer and winter sessions review undergraduate classes with an enrollment of fewer than 10 and graduate classes with fewer than eight. Unless there are compelling reasons to offer the course, it is canceled. The registrar’s office requires that departments notify enrolled students of any change or cancelation of a course section. This notification should be as timely as possible for students to make alternate plans.

Students register via Hokie-SPA submit course requests during the published pre-registration period. After departments make adjustments based on course requests, completed schedules are made available to students via Hokie-SPA. Students may adjust their schedules before the end of the preceding term and in the first five days of the term of the registration during the add/drop period.

9.3.1 Drop-Add/Period

At the beginning of the term, students may add courses through the end of the fifth day of classes and drop courses through the 30th day of classes. During the summer, students may add courses through the end of the third day of classes and drop courses through the end of the fifth for each part of the term.
During the winter term, students may add courses through the first day and drop classes through the first day of the term.

Dropping or adding courses becomes necessary if a student has an incomplete schedule, changes curriculum, fails a course in the previous term, or fails to pay fees on time, which removes the student from all classes.

A professor may require a student who processes changes during the drop/add period to show a printed copy of the class schedule from Hokie SPA before being admitted to the class. The names of students who have properly added the course immediately appear on the instructor’s class listing available via Hokie SPA. Faculty should not add (register) students in Canvas (Learning Management System).

Students who are properly registered will automatically be added to the learning management system daily during the add period.

9.3.2 Force-Add Requests
Force-add transactions are final solutions for critical scheduling problems in required courses. The force-add request requires approval by the course instructor or designated departmental representative. (Students may check with the department for departmental policy.) If a force-add request is approved, the student must retain the approval form copy to verify enrollment with the instructor. An “add” processed through the force-add process overrides all other courses on a student’s schedule and may create schedule conflicts. Do not process force-adds above the physical capacity of the scheduled room; doing so will not guarantee relocation of the course. Enrollments may not exceed the posted room capacity.

Commonwealth of Virginia fire code specifications do not allow students to be seated in the aisles or on the floor.

9.3.3 Class Rolls
Up-to-date class rolls are available to instructors via Hokie SPA. To obtain access to the class roll and Google Group capability, a faculty member must be the instructor of record in Banner. The instructor of record is expected to inform students whose names do not appear on the displayed class roll. A student should contact the academic dean for assistance to correct inconsistencies. Graded work should not be returned to these students until their names are officially added to the class roll.

9.4 Textbooks and Other Instructional Materials
The University Bookstore is responsible for providing textbooks and related teaching supplies to the university community. Each department has a person designated as the departmental bookstore representative. This person serves as the main contact between the bookstore and the instructor. Pursuant to the federal Higher Education Authorization Act, Public Law 110-315 (HEOA 2008), the Code of Virginia §23 1-1308 amended in 2018, and [Policy 6400, “Policy on University textbook access”](#).
Textbook Sales, administrators, faculty, university bookstores, and publishers are “to ensure that students have access to affordable course materials by decreasing costs to students and enhancing transparency and disclosure with respect to the selection, purchase, sale, and use of course materials.” Provisions of the law require publication of textbook requirements prior to registration. Requests to the bookstore for textbooks and other instructional materials are routed through the department’s bookstore representative.

By law, university “guidelines shall ensure that faculty textbook adoptions are made with sufficient lead time to university-managed or contract-managed bookstores so as to confirm availability of the requested materials and, when possible, ensure maximum availability of used textbooks.” To this end, the University Bookstore must be notified of the selection of textbooks and other materials for any fall semester class no later than April 15. The deadline for spring semester is October 15 of the year immediately preceding the spring semester.

Before a textbook may be adopted, the faculty member must confirm whether the faculty member intends to use all items ordered—particularly individual items sold as a part of a bundled package. If the faculty member does not intend to use each item in the bundled package, the faculty member is required to notify the bookstore. The bookstore then orders the individualized items if the publisher makes them available and if their procurement is cost effective for both the institution and the students. In addition, the faculty member affirmatively acknowledges the bookstore’s quoted retail price of textbooks selected for use in each course.

Faculty members are encouraged to limit their use of new edition textbooks when previous editions do not differ in a substantive way as determined by the appropriate faculty member. Publishers are to document the substantive differences in any revised publication of texts.

Before adoption of a particular textbook, the respective department determines that a copy of the textbook is on reserve in the University Libraries during any period that the textbook is to be used. Additional information on the federal textbook requirements and guidelines may be found on the University Registrar’s HEOA Textbook Provision page.

In accordance Section 23.1–1308 Code of Virginia the University has adopted guidelines for the use of low-cost and no-cost open educational resources in courses offered at the university. Such guidelines may include provisions for low-cost commercially published materials. These guidelines are available on the University Libraries Open Education: OER Overview page.

Faculty members should not engage in direct sale of instructional materials to students. The Code of Virginia §23 1-1308 states that, “No employee of a public institution of higher education shall demand or receive any payment, load, subscription, advance, deposit of money, services or anything, present or promised, as an inducement for requiring students to purchase a specific textbook required for course work or instruction. However, such employee may receive (i) sample copies, instructor’s copies, or instructional material, not to be sold; and (ii) royalties or other compensation from sales of textbooks that include such instructor’s own writing or work.” See also Policy 13010, “Conflict of Interest”, and Policy 6400, “Policy on University Textbook Sales.”
### 9.4.1 Faculty-Authored Course Materials

A faculty member teaching a course may not receive a royalty and/or other fees beyond direct cost of production and sales for any material used as part of class activity, except for material that has received an independent external review, that has been copyrighted, and a portion of the copyright is owned by a publisher other than the author. Faculty accused of abusing the distribution of classroom material for personal financial gain are subject to review by the Committee on Faculty Ethics.

### 9.5 Grading Systems

**“A” to “F” system (undergraduate students):** The majority of course enrollments by undergraduate students at the university are graded on the traditional A-F basis, with a 12-point plus/minus grading scale. The grades “A” through “D-” represent passing grades and “F” is a failing grade. The grade of “A” should be assigned to students who meet the learning objectives outlined for the course at a level of comprehension and performance deemed excellent. The grade of “F” should be used for those students who have not demonstrated acceptable achievement with regard to the learning objectives of the course of study. An instructor may choose not to use the plus/minus system in the assignment of grades.

**“A” to “F” system (graduate students):** The grading system for graduate students is similar to the A-F system with “D” as the lowest passing grade.

**Pass/Fail system (undergraduate students):** A pass/fail grading system is available to encourage students to enrich their academic programs and explore more challenging courses outside their major without the pressures and demands of the regular grading system. The pass/fail grading option is available to all undergraduates who have completed a minimum of 30 credit hours at Virginia Tech and have a cumulative Virginia Tech grade point average (GPA) of 2.0 or above.

The following restrictions apply:

- for students in a four-year program, the total maximum allowable credits for pass/fail shall not exceed 12 semester hours, exclusive of courses offered only pass/fail
- for students in a five-year program, the total maximum allowable credits for pass/fail shall not exceed 12 semester hours, exclusive of courses offered only pass/fail, or 10\% of the required hours for graduation completed at Virginia Tech—whichever is greater
- a student may not enroll for more than two courses per semester on a pass/fail basis—including physical education activity courses and required courses offered on a P/F basis only
- courses may not be changed from A-F to the P/F basis beyond the last day to drop classes without penalty
- courses may not be changed from P/F to A-F beyond the last day to resign without penalty

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for students in a four-year program, the total maximum allowable credits for pass/fail shall not exceed 12 semester hours, exclusive of courses offered only pass/fail.

For courses offered only on a pass/fail basis, the 30-hour and 2.0 GPA requirement does not apply. Any courses taken beyond the number of hours required for graduation also may be taken pass/fail, except that no more than two courses may be taken on the P/F option per semester.

Under the pass/fail grading system for undergraduate students, a “P” is granted for earning a “D” or better in the course; otherwise, an “F” is given. The “P” or “F” is recorded on the student’s transcript and credit given if the course is passed; if the course is failed, the “F” is considered as equivalent to an “F” received under the A-F grading system and is included in calculation of the GPA. The GPA is unaffected by a “P.” Once credit is received for a course taken on pass/fail, the course cannot be repeated under the A-F grading system.

Pass/Fail system (graduate and veterinary medicine students): A limited pass/fail grading system is available to encourage graduate students to explore courses outside their major. Subject to approval of the major professor, graduate students may take an unlimited number of hours of graduate course work (5000- and 6000-level) on a pass/fail basis, if outside the department and not on the plan of study. These courses may not be used to satisfy minimum degree requirements. All courses on the plan of study, including supporting courses, must be taken on a letter grade (A-F) basis except for those courses offered on a pass/fail basis only.

Under the pass/fail grading system for graduate students, a “P” is granted for earning a “C-” or better in the course; otherwise, an “F” is given. The GPA is unaffected by a “P.” Grades of “F” are counted in the calculation of the GPA.

Satisfactory/Unsatisfactory system (school of medicine students): All Virginia Tech Carilion School of Medicine courses have a grade mode of “S” for Satisfactory or “U” for Unsatisfactory.

Year 3 medical clerkship grading scale includes Honors (H), High Pass (HP), Pass (P) and Fail (F).

Audit grade (undergraduate students): A student may choose to audit a course, without the necessary prerequisites, to enhance one’s educational experience. Permission of the course instructor is required, in accordance with Policy 6360, “Auditing Courses,” and Policy Memorandum 250, “Assignment of an Audit Grade for Undergraduate Courses.” An audit is a mechanism for a student to reserve a seat in a course, with no performance evaluation required. If the student or the instructor expects evaluation of course work, then the student must enroll either for the P/F option or for a letter grade. If the instructor of record wishes to restrict the participation of auditing students in selected activities, then that is stated in the syllabus. Students are assessed the same rate of tuition and fees for audited courses as for courses taken for credit. Audited courses do not count toward full-time enrollment.
An unsatisfactory audit should be left blank in the grade column. In the case of graduate students, an e-mail should be forwarded to the graduate school requesting deletion of the course from the student's record.

The “I” grade (Incomplete): The “I” grade signifies incomplete work but does not affect a student's GPA. It is assigned at the discretion of the instructor only. The “I” may be used when a student is unable to take the final examination during examination week, but the instructor may wish to confirm the legitimacy of the request with the Schiffert Health Center or the student's academic dean. Except for certain laboratory courses, “I” grades must be removed by the end of the student's first subsequent semester of enrollment or one calendar year from the date of the original “I” grade. An official change-of-grade must be made in Hokie SPA by the instructor to remove an “I” grade and submitted to the department of the course. Incompletes not removed during the designated time are changed to “F” and calculated in the student's GPA. It is expected that a Documentation for Assignment of an Incomplete Grade(I) for Undergraduate Students form, available on the University Registrar’s website, be submitted to the college’s associate dean as record of the Incomplete grade contract between the faculty member and student.

The "NG" grade (No Grade): The "NG" grade is given when a student's name appears on the class roll, but the student has never attended class or submitted work for grading.

The “X” grade (Continuing Course): The “X” mark shows that pursuit of the project begun in the course will be continued. The “X” does not compute in the student’s GPA. The “X” may be assigned only for courses pre-established as eligible for this treatment. Changes from the “X” to the final grade must be submitted on change-of-grade cards; the regular grade marked on a grade sheet for an “X”-eligible course will process to that term’s enrollment only.

The “EQ” grade: The “EQ” grade is reserved for graduate students enrolled in research and thesis (5994), or research and dissertation (7994). The awarding of this grade shows that the enrollment has been reviewed and the credits are to be sent to the grade report system. Failure to assign an “EQ” grade will result in the computation of the credits as failing.

The “NR” grade (Not Reported): The “NR” (not reported) grade is automatically entered when an instructor fails to award a grade to a student. The “NR” grade computes as an “F.”

The “W” grade (Course Withdrawn): The “W” (withdrawn) grade is given to an undergraduate or graduate student who has applied the course withdrawal policy to a course. The “W” grade is automatically awarded based on the course option of “W.” A regular grade cannot be awarded if a student has applied the withdrawal policy or “W” option to the course.

Mid-term grade reports: Mid-term grade reports are issued for first-term undergraduates and first semester transfer students for the purpose of informing them about their progress early in
their first academic year. Courses that are oriented toward freshmen should be designed to include at least one substantial graded assignment in time for the mid-term grade report.

**Projected grades for the graduating students, spring term:** Projected grades for graduating students—all levels—must be submitted by the published tentative grade entry deadline in the spring semester. All students are completed for spring term based on the projected (tentative) grades received. Failure to submit tentative grades results in the student's non-completion and non-receipt of diploma at the college or department ceremony. Entry of tentative grades follows the same process as the end of term entry via Hokie SPA.

## 9.6 Course Grading

The instructor of record has sole responsibility for assigning final course grades and may not delegate the task to other colleagues or teaching assistants. Department heads or chairs may ask instructors in their department to explain unusual profiles of grades or schemes of evaluation.

Faculty are expected to adhere to principles of professionalism, fairness, and clear communication when assigning grades. This includes consistent treatment of all students in the class; clear criteria—communicated directly to the class—about the basis on which course work is evaluated and grades are assigned; timely return of graded work to the student; sufficient feedback through the grading process for the student to improve performance on future assignments; and attention to fair and reasonable measures of course content and student performance.

During the term (i.e., before final grades are assigned), the grading process is not only a record of evaluation for work completed, it is also an important device for providing information to the student about potential work improvements in the future. Grading is a teaching tool that provides specific feedback to students. Faculty should keep this in mind when designing assignments and course work.

Students have the right to see their grades for a course and to lodge a grade appeal if they believe a grade was assigned unfairly. (See chapter nine, “Undergraduate Student Appeals” and “Graduate Student Appeals.”)

The U.S. Department of Education stipulates that posting of grades using even a portion of the student identification number, is considered a violation of the Family Educational Rights and Privacy Act (FERPA). FERPA protects the confidentiality of educational records and prohibits distribution of that record unless with the student’s written consent. Faculty may not post any grades as a class listing using any portion of the student identification number, either via paper or electronically (This policy applies whether the student identification is the Social Security number or a generated identification number).

### 9.6.1 Syllabus and Performance Expectation

Each semester on the first day of classes, faculty are expected to provide students with a course syllabus that includes course objectives, topical outlines, expected performance for which grades
will be assigned, and the instructor’s attendance policy, if any. The syllabus should also include a statement on the honor system and its application to the course, reference to accommodations for students with disabilities, and information regarding office hours and how the instructor can be reached directly or through the departmental office during normal working hours. Further information regarding the undergraduate honor system and the graduate honor system is located later in this chapter. Further information regarding accommodations for students with disabilities is available on the Services for Students with Disabilities website.

An explicit statement concerning prerequisites for the course must be included on the course syllabus or assignment sheet. The instructor should call attention to the prerequisites during the first week of classes. Before the official drop-add deadline, the instructor may require specific students without prerequisites to drop the course. The student who is granted permission to enroll without prerequisites should be informed that course expectations and grading practices are the same for all students regardless of whether prerequisites were satisfied or waived.

The syllabus is a very important document because it provides explicit information to the student about course content, schedule, grading scale, and expectations of the instructor. The instructor should design the syllabus as a useful means for setting the tone of the course. Substantial changes in the syllabus constitute modifications in the structure or content of the course, which should be communicated clearly and in writing to students in a revised syllabus. These might include changes in the grading scale, significant departures from the schedule, or modifications of assignments.

All written work, with the exceptions noted below, should be given at such time that it may be graded and then returned during a regularly scheduled class meeting. To the extent feasible, instructors should not schedule major assignments or tests for the last three calendar days of scheduled classes or reading day. Students should be allowed time to prepare for their final exams and benefit from feedback on material relevant to exams.

**Common exceptions include:** due dates for term papers and project reports may be set at the instructor’s discretion, if the student will not be held responsible for the subject matter therein on the final examination; if a lab course or other course does not warrant a final examination during the exam period, but if the department and/or instructor requires that there be a final examination, the exam should be given during the last regularly scheduled laboratory or class period; final examinations for master’s and doctoral candidates, if approved by the vice president and dean for graduate education.

### 9.6.2 Class Attendance

Class meetings are an integral part of most courses and the central component of many. Therefore, both faculty and students are expected to meet at all regularly scheduled times, except for cancellations announced on a university-wide basis by appropriate authority.

If a faculty member cannot meet a class, departmental procedures should be followed so that appropriate measures are taken to provide for the missed class.
If a student cannot attend a class, they may notify their instructor(s) directly or contact the Office of the Dean of Students, whose staff can provide advocacy through its absence verification process. The Office of the Dean of Students considers absence verification for any of the following reasons: illness or death of a family member or friend; off-campus medical appointments or hospital admission; court subpoenas; military orders; and observances of religious, cultural, ethnic, meaning-making, or faith-based beliefs.

Staff members send an absence verification notice to the college dean, who then forwards the verification to the instructor(s). If upon a good faith evaluation an instructor believes that accommodating an absence negatively affects the course of study, students can contact the Office of the Dean of Students for continued advocacy and guidance. Students are responsible for making arrangements with the instructor as soon as possible to complete any work missed due to absence. If this work differs from the original exam or assignment, it must be appropriately related to course objectives and no more difficult than the original.

Faculty determine their attendance policy, including whether they will accommodate absences and how they will do so. However, in accordance with the Virginia Tech Principles of Community, faculty are encouraged to accommodate students when the observance of religious, cultural, ethnic, meaning-making, or faith-based beliefs conflict with academic requirements. Students who choose to request an excused absence directly from their instructor(s) due to a religious observance should do so during the first two weeks of classes or as soon as they become aware of the need for an accommodation.

Policy 5600, “Authorized Closings,” defines the process followed with the university is affected by inclement weather, natural disasters, emergencies, and other conditions that may cause operations to be suspended or curtailed. University employees should consult Policy 4305, “Authorized Closings Leave and Compensation Policy.” During Authorized Closings,” for specific expectations in the event of a closure and information about supervisor/employee responsibilities, leave usage, and compensation.

9.6.3 Final Examinations
Instructors must adopt an appropriate means for evaluating and measuring student performance relative to the course objectives. A final examination schedule is displayed on Hokie SPA in the timetable of classes and the student registration module for each academic term and final exams, if used, must follow this schedule unless the dean of the college has granted special permission. The method of evaluation must be made known to students in the course syllabus at the beginning of the term. (See chapter nine, “Syllabus and Performance Expectation.”) Faculty members will make available to students any final graded material at least through the following academic term. Faculty members are required by the Virginia Public Records Act, 42.1-82, et seq. of the Code of Virginia to retain all work completed by students for grades in a course (includes, but is not limited to: exams, quizzes, tests, and term papers) for one full year after the end of the semester.
A student with conflicting examinations or with three or more examinations within 23 hours may reschedule an examination with permission of the student’s college dean at least ten days before the beginning of the examination period and by arrangement with the appropriate instructor.

A re-examination in one course, in which the final grade is C- or below, may be authorized when the student was enrolled in the course during the senior year final term and a satisfactory re-examination in the course would qualify the student for graduation. A re-examination request must be made, and the exam must be completed by the student as soon as possible, but no later than one academic term after the original examination in the course. Re-examination approval by the instructor, the student’s department head or chair, and the student’s college dean is required, with consideration given to class performance and completion of assigned work.

9.6.4 Undergraduate Student Grade Appeals

The university provides a process for student appeal of a grade. If a student feels that a grade was calculated incorrectly or was assigned in a prejudiced or capricious manner, the student must first discuss the matter with the instructor. If discussion between the instructor and the student does not resolve the issue, the student then has the option of requesting a formal appeal of the grade to the department head or chair who examines the student’s allegation, discusses the matter with the instructor, and makes every effort to resolve the matter at the department level. In the unusual circumstance that resolution does not occur at the departmental or divisional level, the student may appeal to the instructor’s college dean. The dean reconciles the matter by whatever mechanism is most appropriate for that college and that case.

The decision of the college dean is final in undergraduate appeals.

The student must make a grade appeal as soon as possible, but no later than the end of the next academic term of the regular academic year (i.e., fall or spring).

9.6.5 Graduate Student Grade Appeals

Graduate education is a complex activity involving a high order of student-faculty interaction and collegial relationships.

It follows that the evaluation of the graduate student’s progress is, and must be, dependent in large part on the judgment of the graduate student’s major professor, augmented by the collective judgment of the members of their assigned committees. The university, through the agency of the graduate school, defines minimal entrance standards and prescribes general rules governing eligibility for continuation. But the crucial agency in student evaluation is the department in which the student’s work is centered, and the crucial evaluator is the faculty advisor.

It is important, therefore, that each graduate student be fully informed, not only of the university’s expectations, but of the department’s expectations as well. Each department shall prepare, in outline form, a statement for each of its graduate degrees. The statement should cover course requirements, the nature and timing of oral and written examinations, and the evaluation that is
given to the thesis. A copy of each departmental statement should be on file in the graduate school and made available to each student at the time of matriculation.

Most disputes over evidence of unsatisfactory progress are informally discussed and reconciled at the departmental level. Discussions of this kind occur among the student, the major professor, and the other members of the advisory committee. Nonetheless, from time-to-time serious questions arise regarding both the status of a graduate student (whether in a given course or as a candidate for the degree) and the basis of the evaluation that placed the student’s status in jeopardy. On these occasions it is important that the university provides full opportunity for the student’s grievance to be reviewed in a judicious manner.

The procedures for a formal graduate student appeal are described in the Graduate Catalog or may be obtained from the graduate school.

9.6.6 Student Academic Complaints
Virginia Tech seeks to create a productive learning environment for undergraduate, graduate, and professional students. The Statement of Principles of Ethical Behavior calls for faculty to “foster honest academic conduct and to assure that our evaluations of students reflect each student’s true merit.” Thus, when an undergraduate, graduate, or professional student believes they have suffered negative consequences due to an unfair or capricious decision related to academic policy, the student should be empowered to raise concerns and to seek appropriate resolution.

A student who believes an academic decision violates university academic policies and procedures may file a complaint with the appropriate department or unit head. Academic decisions do not include decisions regarding admission to the university, scholarship or financial aid awards, undergraduate honor system, graduate, veterinary medicine or school of medicine honor codes, or any grading decision or allegations of professional misconduct unrelated to a student’s academic standing or performance.

The student academic complaint process is found in Policy 6125, “Administrative Policy Governing Student Academic Complaints.”

9.6.7 Change of Grade
A change in grade is authorized only under unusual circumstances. Faculty submit a change of grade via Hokie SPA. The change of grade process requires the instructor’s signature and the electronic approval of the department head or chair and dean for all grade changes—including removal of “I” grades. Grade change requests should carry a statement regarding the circumstances necessitating the change, which includes a description of the circumstances for an original award of an “I” grade. It is improper to permit a student to improve a grade by doing extra work unless all students in the class are given the same opportunity.
9.6.8 Final Grade Reports
Final grades are reported via Hokie SPA. Two methods of entry are available—direct entry or upload from an external data file. Grades must be submitted within 48 hours of the last final examination on the published schedule. Student grade reports are generated from these submissions and displayed via Hokie SPA.

Faculty may not post grades, either via paper or electronically, using even a portion of the student identification number. Pursuant to the Family Educational Rights and Privacy Act (FERPA), using a portion of the student identification number in conjunction with the course grade is not allowed without the written permission of the student. Faculty may wish to remind students that grades are available via Hokie SPA within 48 hours of the end of the term.

9.7 Instruction-Related Responsibilities

9.7.1 Office Hours
As a part of their teaching responsibilities, faculty members are expected to provide several regularly scheduled office hours each week for consultation with students. These hours should be reasonably spaced over the week at times mutually convenient to the instructor and students. Although a specific number of office hours is not stated in university policy, faculty members should ensure that they are readily available, both through office hours and by message at other times during the normal workweek. Information about office hours and how to contact the faculty member through the department office should be included on the course syllabus.

The instructor should encourage students in need of counsel to seek clarification about their work. Those in need of non-academic or personal counseling outside the purview of the faculty members’ professional capabilities may be referred to the Cook Counseling Center.

9.7.2 Tutoring
Faculty members and graduate teaching assistants do not accept fees for tutoring students enrolled in their classes, either on a group or single-student basis. They are free to tutor for payment otherwise under university consulting policies.

9.7.3 Students with Disabilities
The university, as a federal aid recipient and state agency, is required to provide opportunities and reasonable accommodation to all identified students with disabilities. Section 504 of the Rehabilitation Act, the Americans with Disabilities Act, the Virginians with Disabilities Act, and Policy 4075, “University Accommodations of Persons with Disabilities,” provide guidelines and requirements for colleges and universities in providing academic assistance. Accommodation means more than the removal of architectural barriers and the provision of auxiliary services such as note takers, readers, and interpreters for the deaf. It means reasonable accommodation must be made in the instructional process to ensure full educational opportunity. For faculty, this means that teaching strategies and methods, including web page design and distance learning, as well as instructional policies, must be sensitive to the laws and the needs of students with disabilities and responsive to the university’s legal obligations.
Students with disabilities may self-identify and may qualify for accommodations through Services for Students with Disabilities (SSD). Students must present medical or extensive psychoeducational documentation of physical, medical, psychological, or learning disabilities to SSD. Accommodations for students with disabilities are established by the SSD, in accordance with medical and professional information in the student’s record, legal precedent, and national standards for services for students with disabilities. Faculty are urged to include a syllabus statement that encourages the student with a disability to disclose their need for accommodation to the professor as early in the semester as possible. Examples of inclusive disability syllabi statements are found on the Services for Students with Disabilities page. Contact SSD for more information regarding accommodation and services.

9.8 The Virginia Tech Honor Code Pledge
The Virginia Tech honor code pledge for assignments is as follows: “On my honor as a Virginia Tech student, I have neither given nor received unauthorized assistance on this assignment.”

The pledge is to be written out on all graded assignments at the university and signed by undergraduate, graduate, and professional students. The honor pledge represents both an expression of the student’s support of the honor code and an unambiguous acknowledgment that the student has, on the assignment in question, abided by the obligation that the honor code entails. In the absence of a written honor pledge, the honor code still applies to an assignment.

9.8.1 The Undergraduate Honor System
The undergraduate honor code defines the expected standards of conduct in undergraduate academic affairs. The honor code cultivates a culture of academic honesty and integrity on campus. It embodies a spirit of mutual trust and intellectual honesty that is central to the very nature of the university and represents the highest possible expression of shared values among the members of the university community. Policy 6000, “Undergraduate Honor Code”, provides the framework for honor code maintenance, revisions, and procedures for resolution for alleged academic misconduct cases.

The fundamental beliefs and ideals underlying the honor code are: trust in a person is a positive force in making that person worthy of trust; every student has the right to an academic environment free from the injustices caused by any form of intellectual dishonesty; and the honesty and integrity of all members of the university community contribute to its academic and intellectual vitality.

Details of the undergraduate honor code are available on the Office of Undergraduate Academic Integrity website.

9.8.1.1 Faculty Participation in the Undergraduate Honor System
The support of faculty is essential to cultivating a culture of academic integrity. Faculty members are encouraged to support the undergraduate honor system and are expected to abide by the procedures designed for the effective implementation of the undergraduate honor code.
Faculty are expected to adhere to policy pertaining to the reporting and adjudication of violations of the honor code. Initiating formal procedures when academic misconduct is suspected is a necessary and obligatory component of a faculty member’s duties. Any suspected violations of the honor code should be reported promptly, in writing, to the director of the Office of Undergraduate Academic Integrity. Forms of this purpose are available from all department offices, the undergraduate honor system office, and the Office of Undergraduate Academic Integrity website. A faculty member involved in a case is also expected to cooperate with undergraduate honor system personnel, attend hearing panels, faculty-student resolution meetings, and to maintain confidentiality.

In addition, the undergraduate honor system offers the following guidelines to faculty:

Faculty are encouraged to describe the prohibited behavior and the consequences of such activity to students, as well as to openly discuss academic integrity with students in their courses early and throughout the semester.

When an alleged violation is detected, the suspected student(s)’ paper should not be collected until the test is completed. However, any evidence that would be necessary in an investigation should be collected immediately. The test should be graded without prejudice and the alleged violation should be reported to the undergraduate honor system. Please provide the original assignment in question in the submission of evidence. Grades should not be adjusted in a course to compensate for suspected dishonesty.

If a professor suspects that a student or students are cheating, it is permissible to speak with the suspected student(s)—after the test or other work has been completed—and indicate these suspicions. However, it is not permissible to penalize or berate the student(s) or to take any other action that might affect the student(s).

Faculty members are not required to proctor quizzes, tests, and examinations. Faculty are expected to personally administer the examination and to remain within reasonable proximity of the examination room to answer questions that may be raised by the students. However, it is not a compromise of the undergraduate honor system to stay in the room or visit frequently, when a test is being given. In fact, precautionary measures in the spirit of reducing the opportunity for academic misconduct are advisable, especially in large classes. Seats should be spaced in examination rooms whenever possible. Alternate test forms may be used. In rare cases, such extreme measures as requiring ID when a test is handed in may be necessary to prevent organized “paid substitutes” from taking tests for other students.

Faculty are encouraged to speak with the director of the Office of Undergraduate Academic Integrity to obtain information designed to prevent academic misconduct.

The faculty, along with the students and other university personnel, share the responsibility of cultivating a culture of academic integrity and honesty through upholding the undergraduate honor code.
9.8.1.2 Undergraduate Honor Code Statement in Course Syllabi

All undergraduate course syllabi shall contain a section that states and refers students to the honor code procedures available on the Office of Undergraduate Academic Integrity website. The minimum required statement is, “As a Hokie I will conduct myself with honor and integrity at all times. I will not lie, cheat, or steal, nor will I accept the actions of those who do.” Additional information about the expectation of academic integrity in a particular course may be appropriate.

Each student who enrolls at Virginia Tech is responsible for abiding by the honor code. A student who has doubt about how the honor code applies to any graded assignment is responsible for obtaining specific guidance from the instructor before submitting the assignment for evaluation. Ignorance of the rules does not exclude any member of the university community from the requirements and expectations of the honor code. For additional information, please see Office of Undergraduate Academic Integrity website.

9.8.1.3 Undergraduate Honor Code Definitions of Academic Misconduct

Commission of any of the following acts shall constitute a violation of the undergraduate honor code. The list is not, however, exclusive of other acts that may reasonably be said to constitute academic misconduct.

**Cheating** includes intentionally using unauthorized materials, information, notes, study aids, or other devices or materials in any academic exercise, or attempts thereof.

**Plagiarism** includes the copying of the language, structure, programming, computer code, ideas, and/or thoughts of another and passing off the same as one's own original work or attempts thereof.

**Falsification** includes the statement of any untruth, either verbally or in writing, with respect to any circumstances relevant to one’s academic work or attempts thereof.

**Fabrication** includes making up data and results, and recording or reporting them, or submitting fabricated documents, or attempts thereof.

**Multiple submission** includes the submission for credit—without authorization of the instructor receiving the work—of substantial portions of the same work (including oral reports) previously submitted for credit at any academic institution or attempts thereof.

**Complicity** includes intentionally helping another to engage in an act of academic misconduct or attempts thereof. Violation of university, college, departmental, or faculty rules includes the violation of any course, departmental, college, or university rule relating to academic matters that may lead to an unfair academic advantage by the student violating the rule(s).
9.8.1.4 Undergraduate Honor Code Sanctions

Instances of academic misconduct represent behavior of an especially serious nature. Sanctions assigned for academic misconduct are responses to student behavior that will often have an impact on a student’s course grade. Sanctions assigned in instances of academic misconduct should convey the message that the behavior serves as a destructive force within the academic community. However, a wide range of sanctions can be employed in order to strike an appropriate balance between sending a message of accountability and enhancing a student’s moral and cognitive development.

The undergraduate honor system is empowered with assigning and implementing sanctions for academic misconduct. A faculty member may recommend sanctions for academic misconduct to the undergraduate honor system. Most cases of academic misconduct should result in an F* as the student’s final course grade. An F* sanction indicates that a student failed the course due to an honor code violation. However, a faculty member may recommend more severe or less severe penalties to the undergraduate honor system if the circumstances warrant. Examples of other sanctions that may be assigned include lowered final course grade, reduction of points on an individual assignment, zero on the assignment, and completion of the academic integrity education program. With the approval of an honor system hearing panel, the sanctions of suspension and expulsion may also be assigned. Faculty are strongly encouraged to consult the undergraduate honor system prior to making recommendations on the appropriate sanction.

9.8.1.4.1 Grade Adjustments for Suspected Academic Misconduct

Grades may not be adjusted in a course to compensate for suspected academic misconduct.

When an alleged violation of the undergraduate code occurs, the incident should be reported to the honor system by submission of a violation report form. Sanctions for academic misconduct will be assigned through the Undergraduate Honor System.

The faculty, along with the students and other university personnel, share the responsibility for cultivating a culture of academic integrity and honesty through upholding the undergraduate honor code.

9.8.2 Graduate and Professional Student Honor Systems

9.8.2.1 Graduate School Honor System

Detailed information concerning the graduate honor system applicable to all graduate students is found in the graduate honor system constitution, published in the Graduate Catalog. The graduate honor system constitution describes the rights and responsibilities of students as well as faculty with regard to the honor code.

9.8.2.2 Virginia Maryland College of Veterinary Medicine

The honor system for students in the College of Veterinary Medicine is described in the Virginia-Maryland Regional College of Veterinary Medicine student honor code.
9.8.2.3 **Virginia Tech Carilion School of Medicine**

The honor code for students in the Virginia Tech Carilion School of Medicine (VTCSOM) is described in the VTCSOM Student Handbook.

9.9 **Classroom Conduct**

Maintaining a good learning environment in the classroom is an important part of a faculty member’s responsibility as a teacher. The teacher should endeavor to create a classroom atmosphere that is comfortable and welcoming of all students, including women and members of minority groups. Disruptive classroom conduct on the part of some students may be distracting, annoying, or intimidating to other students and should not be tolerated by the teacher.

As much as possible, the teacher should endeavor to create a classroom environment in which there is active participation on the part of most of the students, rather than the domination of the class by a few individual students. This may require different teaching strategies such as the use of small groups or teams, as well as different approaches to the structure of classroom presentations. Assistance for faculty who are trying to improve the learning environment of the classroom is available through the Center for Excellence in Teaching and Learning.

Faculty have the prerogative of deciding the classroom conduct and the appropriate dress of their students as long as these actions do not infringe upon the students’ rights as guaranteed in principles underlying the section in the Student Code of Conduct. It is the faculty member’s obligation to ensure that the classes following find a clean and orderly space.

9.10 **Teaching Evaluation**

Good teaching evaluation processes are essential for maintaining the quality of academic programs, for reviewing the job performance of faculty members with respect to the instructional mission of the university, and for designing effective faculty development initiatives. All of the colleges have processes of teaching evaluation, which are used in promotion and tenure decisions and in annual performance evaluations.

9.10.1 **Student Evaluation of Courses and Faculty**

The university expectation is that all faculty members will be evaluated in all courses taught each year. More information about this matter is available from departmental offices and from the academic deans. Student evaluation of courses and instructors is an integral component of a good teaching program. While specific procedures vary across the colleges, in general, committees in each college are responsible for designing appropriate evaluation procedures and for receiving such evaluations. Faculty members should ensure that their college’s procedures for conducting student teaching evaluations are followed in a way that is absolutely free of intimidation or influence by the teacher’s presence.

Student Perceptions of Teaching (SPOT) system was developed to provide a centrally supported, university-wide method for collecting student feedback regarding courses and instruction. The SPOT questionnaire is designed for use across all university departments; as such, it focuses on
issues with broad pedagogical significance. It is not intended to stand-alone in providing evidence regarding teaching effectiveness. Rather, it provides one form of information regarding the quality of courses and instruction that may be integrated and interpreted with other forms—such as instructor-developed course-specific questionnaires, peer observation of teaching, and instructor self-assessment—for purposes of instructional development and/or evaluation.

9.10.2 Peer Evaluation of Courses and Faculty
Good teaching evaluation includes more than the student perception of instruction. The university expectation is that in-depth peer evaluation of teaching will be conducted periodically for all faculty members and at least twice during the probationary period for tenure-track faculty.

Colleges, departments, and individuals wishing assistance in devising evaluation forms may consult the Center for Excellence in Teaching and Learning, where a variety of such forms are available. Faculty members may find such evaluations helpful in revealing information that leads to improvement of classroom presentation, evaluation of students, and student response to their classes.

9.11 Student Record Policy
In response to the Family Educational Rights and Privacy Act (FERPA), a statement of policy on the maintenance and disclosure of student records was adopted by the university. This policy protects the privacy of student records; the specific policy document is available from the university registrar’s Student Privacy (FERPA) page.

9.11.1 Academic Records
Names of current and former students, that are not marked suppressed or confidential, may be selected and released to non-university entities only on the basis of class level (e.g., freshman, senior), major, or place of residence.

Pursuant to the Code of Virginia § 23.1-405, student and former student addresses (both physical and VT email) and phone numbers should not be released to non-university entities regardless if they are marked suppressed or confidential or not.

The protection of academic records, which exist in enrollment management and in the college and departmental files, is covered by this policy. This includes the student’s right to review these records.

Responses to telephone inquiries are limited to the following information: whether the student is currently enrolled; dates of enrollment; degree(s) earned if any, date, major, and honors received; address and telephone number. The Office of the University Registrar must provide official certification of these items. Special note: no information, including directory information, may be released if a student has marked all or part of their record suppressed or confidential.
Grade reports may not be released to parents, guardians, or any other person without prior written approval from the student. Students may not have access to financial aid information about their parents or guardians without written approval from the parent or guardian.

The university may withhold transcripts, certificates, registration materials, or any other information about a student’s record if financial obligations are unmet. The university also reserves the privilege of withholding materials if violations of university regulations have not been cleared.

9.11.2 Lecture Recording

Lecture recordings should be handled in a manner that ensures a student(s) personally identifiable information isn’t released outside of FERPA requirements. The following guidelines should be considered when using lecture recording:

- Faculty should not upload recordings of a class session where the students are the focus in anyway in the recording, either by name or by image, to a public site.
- Faculty who wish to record lectures for use in later semesters may do so by recording the course in such a way that the students’ identity in the course is never revealed.
- Faculty may use recorded lectures that identify a student(s), such as names viewable in a zoom session or student’s presenting for a portion of the course, only if they are shared through Canvas ONLY with that course section.

9.12 Undergraduate Student Advising

Undergraduate advising at Virginia Tech is a collaborative process between student and advisor, leading to the exchange of information that encourages the individual student to make responsible academic and career decisions. The university is committed to effective advising by recognizing and supporting the needs of both students and advisors. Each undergraduate student is provided information and assistance to aid the student in making academic and career decisions. Each advisor is provided with the necessary tools to respond to student needs and the opportunity to be recognized for exemplary advising.

Statement of university responsibility: The university shares responsibility for successful advising. Senior leaders will: review the advising process to assess the impact of recommendations implemented; provide information for students, advisors, parents, and other constituents that clearly explain responsibilities and expectations related to advising; make information available about advising for all new faculty and appropriate staff; collect and disseminate information that contributes to effective advising; assist students in clarification of academic and long term goals; support initiatives that enhance the use of technology in advising; support Web-based interactive advising support systems for students, advisors, parents, and other constituents; and support a Virginia Tech plan that effectively assesses, recognizes, and rewards advising in the annual professional evaluation.
Statement of student responsibility: The student shares responsibility for developing an advising partnership with the advisor. Over time, this partnership results in increased responsibility for the student.

The student will: communicate goals, needs, wants, and concerns to the advisor in a respectful and sincere manner; keep abreast of their own academic progress and requirements related to their academic programs; make, keep, and be prepared for appointments with the advisor; inform the advisor of changes in plans and/or circumstances that might impact academic performance; know departmental procedures regarding changing advisors; and bring concerns regarding quality of advising to the attention of the advisor.

Statement of advisor responsibility: The advisor shares responsibility for developing an advising partnership with undergraduate students. The advisor will: communicate with students and delivering individualized and accurate information in a professional and sincere manner; be informed of and provide accurate information about current academic policies and procedures; keep appointments and be available for assistance; provide appropriate referrals, contacts, and information; do appropriate follow-up with students; and seek out and take advantage of opportunities for professional development.

9.13 Identifying and Referring the Distressed Student

The college years can be stressful for students. In the contemporary climate of competition and pressure, some students adequately cope with these stresses, but others find that stress becomes unmanageable and interferes with learning. In some cases, these students may even disrupt the learning of others.

Identifying the distressed student: Many students initially seek assistance from faculty. A student in distress may display: excessive procrastination and very poorly prepared work, especially if inconsistent with previous work; infrequent class attendance with little or no work completed; dependency (e.g., the student who hangs around or makes excessive appointments during office hours); listlessness, lack of energy, or frequently falling asleep in class; marked changes in personal hygiene; impaired speech and disjointed thoughts; repeated requests for special consideration; threats to others; expressed suicidal thoughts; excessive weight gain or loss; behavior that regularly interferes with effective class management; frequent or high levels of irritable, unruly, abrasive, or aggressive behavior; inability to make decisions despite repeated efforts to clarify or encourage; bizarre behavior that is obviously inappropriate for the situation; or may appear overly nervous, tense, or tearful.

Guidelines for interacting with the distressed student: Talk to the student in private. Express concern and be as specific as possible in stating your observations and reasons for concern. Listen carefully and repeat the essence of what the student has told you so that your attempts to understand are communicated. Avoid criticizing or sounding judgmental. Consider the Cook Counseling Center as a resource and discuss referral with the student. If the student resists
referral and you remain uncomfortable with the situation, contact the Cook Counseling Center or the Office of the Dean of Students to discuss your concern.

**Referring the distressed student to Cook Counseling Center:** Suggest that the distressed student call or come in to make an appointment. Give him or her the Cook Counseling Center’s phone number (540-231-6557) and location (240 McComas Hall). It is usually more effective to assist the student by calling for an appointment with the student present. When you reach the center’s receptionist, identify yourself as a faculty member and ask for an appointment for the student. The student’s name and Tech ID number are required for the appointment. Write down the appointment time, date, and name of the counselor for the student. If you feel the situation is an emergency or urgent enough to require immediate attention, tell the receptionist that the student needs to see a counselor immediately. It may be necessary for you to walk the student to the center. If you are concerned about the student, but unsure about the appropriateness of a referral, call the center for a consultation.

**Receiving the assistance of the Office of the Dean of Students:** The dean of students offers several guides and videos that may be helpful in identifying and interacting with the distressed student.

Responding to Students in Distress, which is available online or a print copy may be requested by calling the Office of the Dean of Students at 540-231-3787 or by sending an email request to dean.students@vt.edu.

Assisting Students: A Faculty and Staff Resource Guide may be obtained by calling the Office of the Dean of Students at 540-231-3787, or by sending an email request to dean.students@vt.edu. The listing is available in two formats—a re-positional sticker, or a 4x6-inch card that includes contact information for student affairs departments able to assist with distressed students.

The Office of Dean of Students partners with faculty and staff members to support students for whom there may be concern. Concerns may be shared by phone at 540-231-3787, email dean.students@vt.edu, or face-to-face contact with staff in the Dean of Students Office. After regular business hours, contact Virginia Tech Police at 540-231-6411 for connection to the dean of students’ on-call staff member.

The Office of the Dean of Students also offers an additional tool for faculty members to use in sharing concerns about a student. This online reporting system should not be used for emergencies. The Dean of Students Reporting System is available through the Hokie SPA menu. This system closely parallels the academic advising system already used by faculty. As always, matters needing immediate attention should be directed to the Virginia Tech Police at 540-231-6411.
10.0 Policies for Research, Creative and Scholarly Activities
Research at the university is classified as departmental research, core research, and/or sponsored research. Individual research projects may receive funds under one or more of these categories, as described below.

10.1 Principal Investigator Guidelines
A principal investigator (PI) bears responsibility for the intellectual leadership of a project. The PI accepts overall responsibility for directing the research, the financial oversight of the award’s funding, as well as compliance with sponsor terms and all relevant federal, state, and university regulations, policies, and procedures. Additional information and PI guidelines are maintained by the Office for Research and Innovation and can be found on the Office of Sponsored Research (OSP) Principal Investigator Resources page.

10.2 Research Classifications
10.2.1 Departmental Research
Research supported by departmental operating funds and/or through adjustment of teaching responsibilities is called departmental research. In this category, faculty are free to pursue research to enrich their teaching, scholarship, and greater understanding of their discipline.

10.2.2 Core Research
Core research focuses primarily on the needs of Virginia and is funded by state and federal appropriations through the instructional division and Virginia Cooperative Extension /Agricultural Experiment Station. There are six core research sub-programs:

- agriculture and forestry research
- coal and energy research
- environmental and water resources research
- industrial and economic development research
- veterinary medical research, and
- supporting research

Faculty, who believe their research relates directly to one or more of the sub-programs and is applicable to problems or concerns of the commonwealth, should contact their department head or chair about procedures for securing core research support.
10.2.3 Sponsored Research

Sponsored research is supported through awards funded by external sponsors resulting from proposals submitted, on a project-by-project basis, by university faculty. Such proposals are submitted to state and federal agencies, corporations, and private foundations. Through sponsored research, faculty obtain the resources needed to conduct expanded research programs and may receive additional months of salary support. Research time is charged when the work activity and work reported are during the same period.

Sponsored awards add stature to the recipient and the university; thus, faculty members are encouraged to seek such support. Restrictions for sponsored research include that the research must not constitute undue competition with commercial testing and research laboratories or with private consultants, and that it is compatible with the primary mission of the university. Questions about the appropriateness of a specific research project should be directed to the department head or chair, dean’s office, or to the Office for Research and Innovation.

10.3 Preparation of Proposals for Sponsored Projects

The Office of Research and Innovation assists faculty in obtaining research sponsorship. Policies, procedures, and pre-award contacts are available on the Office of Sponsored Programs (OSP) website. Faculty are encouraged to explore research sponsorships by viewing funding opportunities on the Office of Research and Innovation website. Office of Research and Innovation personnel consult with faculty regarding research support and help faculty locate programs and individuals at government agencies, industry, and private foundations.

Most funding agencies have their own scientific and technical priorities and funding restrictions. Therefore prior to writing a formal proposal, faculty are encouraged to review their proposal concept with the appropriate person at the agency to which the proposal will be submitted. Faculty may wish to discuss proposal preparation with the appropriate member of their college dean’s staff. Before final budget preparation, an OSP official must review the proposed budget. The OSP official provides information and guidance about university policies for cost sharing, budgetary matters, confidentiality, publication, and intellectual property undertakings.

Faculty should be aware that some agencies limit the number of proposals, frequency of institutional proposal submission or the total dollar amount of proposals that can be submitted by an institution in response to a research sponsor’s solicitation. Some sponsors also limit the number of active awards for a given program by institution. Additional guidance for these programs, along with deadlines and procedures for submitting internal notices of intent for these solicitations or program notices are available on the Research and Innovation Limited Submissions page.

The required process for submitting a sponsored project proposal is on the OSP website, Procedure 20002, Proposal Submission. Each proposal requires considerable processing. Deadlines for submitting proposals to OSP in advance of agency deadlines are also available on the OSP website.
10.4 Laboratory Services and Facilities

Several colleges and departments maintain shops and facilities for design, fabrication, maintenance, and repair of specialized equipment. The Office of Research and Innovation can assist faculty in locating an appropriate facility.

Environmental Health and Safety (EHS) must be consulted before any laboratory is established in a university facility. The EHS staff will determine if the proposed laboratory meets all necessary facility and laboratory requirements. The EHS staff ensures that all personnel who will be working in the laboratory are familiar with the various university policies, procedures, and publications that cover laboratory operations. These may include chemical hygiene plans, laboratory safety manuals, safe handling, use, and disposal of Biosafety Level 2 (BSL-2) or Biosafety 3 (BSL-3) agents, or when applicable, lab licensing and radiation safety manuals approved by the Radiation Safety Committee.

Research involving biohazardous agents, including recombinant and/or synthetic nucleic acid molecules, and select agents and toxins (SATs) is governed by regulations established (1) the Centers for Disease Control and Prevention [CDC] and (2) the U.S. Department of Agriculture Animal and Plant Health Inspection Service (USDA APHIS). Acquisition and use of biohazardous agents cannot occur without prior notification and review by the university’s designated responsible official (the biosafety officer in EHS), and review and approval of proposed uses of those materials by the Institutional Biosafety Committee (IBC). Inspection and authorization by CDC and USDA APHIS are required for labs where biohazardous agents are proposed to be stored and used.

Research and teaching animals may be housed and maintained in college herds or flocks, in departmental or researcher-maintained housing (also known as satellite areas) or is designated centralized animal vivaria managed by Animal Resources and Care Division (ARCD) personnel. Researchers who want to house animals in new areas or facilities not currently used for that purpose must request inspection by the Institutional Animal Care and Use Committee (IACUC) to ensure housing is consistent with applicable regulations and standards and receive approval of the space before animals are ordered and housed in the new facility/area.

10.5 Research Involving Human Subjects, Animal Subjects, and Biohazardous Agents

The Virginia Tech division of Scholarly Integrity and Research Compliance (SIRC) provides administrative support to the university’s compliance committees responsible for reviewing and approving research involving humans, animals used in teaching and research, recombinant DNA, dual use research of concern, and biohazardous agents. SIRC ensures institutional compliance with applicable federal laws, regulations, and guidelines by providing training to researchers, staff, and students, and by performing post-approval monitoring of approved protocols. SIRC supports four compliance review committees with federally mandated membership composition including faculty peers and community members, that review each research protocol to ensure scientific
quality, ethical treatment of research subjects (animal and human), and compliance with related federal and state research regulations.

10.5.1 Research with Human Subjects
The [Virginia Tech Institutional Review Board (IRB)](https://www.vt.edu/about/virginia-tech/irb/) has general oversight responsibility for the university’s compliance with its federal-wide assurance with the Office for Human Research Protections in the U.S. Department of Health and Human Services, the ethical principles established in the Belmont Report, and human subjects protection regulations in the Code of Federal Regulations title 45, part 46 (45 CFR 46) and 21 CFR 50. All research with human subjects, as defined in 45 CFR 46and 21 CFR 50, conducted by Virginia Tech faculty, staff, or students, regardless of funding source (including non-funded research), must be reviewed and approved by the IRB before research is initiated and subjects are recruited. In accordance with federal law, the Virginia Tech IRB has the authority to approve, disapprove, or require modifications in protocols before approval is granted. For studies that the IRB deems to be greater than minimal risk, the investigator must seek continuing IRB review, at least annually, or as determined by the IRB. Continuing review materials must be reviewed and approved by the IRB before the study’s expiration date. No changes may be made to an approved nonexempt protocol until an amendment application is approved by the IRB. Investigators must seek research determinations from the Human Research Protection Program for all proposed research projects, which fall into one of the following categories: Not human subjects research, exempt, expedited or full-board review. [Policy 13040, “Virginia Tech Human Subjects Research Policy,”](https://www.vt.edu/about/virginia-tech/policies/human-subjects-research-policy/) establishes requirements for research involving human participants. These requirements are intended to protect the rights and welfare of human research subjects recruited to participate in research activities.

The [Privacy and Research Data Protections program (PRDP)](https://www.vt.edu/about/virginia-tech/privacy-and-data-protections/) has oversight of privacy and confidentiality protections of research data in collaboration with Virginia Tech information security and related policy stakeholders. The PRDP collaborates with researchers, the IRB, University Libraries, and university IT resource owners on data use and storage opportunities to facilitate secure storage and use of personally identifiable information and protected health information. PRDP provides guidance to researchers regarding compliance with regulatory requirements such as HIPAA, GDPR, FERPA, PCI-DSS, and related state, federal, and international privacy laws.

10.5.2 Teaching and Research with Animals
The [Institutional Animal Care and Use Committee (IACUC)](https://www.vt.edu/about/virginia-tech/animal-care-and-use-committee/) has oversight responsibility for Virginia Tech’s compliance with its approved animal welfare assurance on file in the National Institutes of Health Office of Laboratory Animal Welfare, its approved research facility registration with USDA Agriculture, Animal, and Plant Health Inspection Service, the Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals, the PHS principles for the use and care of vertebrate animals used in testing, research, and training, the federal Animal Welfare Act and animal welfare regulations, and accreditation by AAALAC International. All proposed research and teaching use of vertebrate animal species, regardless of funding source (including non-funded research), must be reviewed and approved by the IACUC before animals are acquired.
and activities initiated. In accordance with federal law, the Virginia Tech IACUC has the authority to approve, disapprove, or require modifications in protocols before approval is granted. No changes may be made to an approved protocol until a protocol amendment application is approved by the IACUC. Researchers and instructors must provide annual continuing review information and as requested. In accordance with federal regulations, protocols can only be approved for a three-year period, after which a renewal protocol must be submitted for review and approval by the IACUC. Per federal law, every six months the IACUC must inspect areas where animals are housed or used (e.g., labs where animals may be taken) and review the animal program. Policy 13035, “Virginia Tech Animal Research Policy,” establishes requirements governing the use of animals in research and training. These requirements are intended to safeguard and ensure the humane treatment of animals used in research and training.

10.5.2.1 Animal Resources and Care Division (ARCD)

The Animal Resources and Care Division (ARCD) within the Office of Research and Innovation has oversight responsibility for the provision of adequate veterinary care as defined in federal regulations and other standards (e.g., PHS Policy, the Guide for the Care and Use of Laboratory Animals, the Guide for the Care and Use of Agricultural Animals in Research and Teaching) that address the use of animals in research and teaching activities conducted under IACUC approved protocols. The Attending Veterinarian delegates the responsibilities for the daily provision of veterinary care, including emergency care provided on weekends, holidays, and after normal business hours, to trained and experienced ARCD clinical veterinarians and veterinarians employed by the Veterinary Teaching Hospital within the Virginia- Maryland College of Veterinary Medicine. Delegated veterinarians use professional judgement to provide veterinary care that encompasses but is not limited to preventive medicine; disease surveillance, diagnosis, treatment, and control; surgical and perioperative care; appropriate use of anesthesia, analgesia, and euthanasia; and animal well-being. Delegated veterinarians are responsible for the management of clinical records and addressing animal health or welfare issues related to procedures conducted under IACUC approved protocols.

ARCD personnel manage the daily operations of multiple animal care facilities (a.k.a. vivaria) that house a variety of species utilized under IACUC approved protocols. ARCD personnel provide daily husbandry and care procedures in accordance with applicable regulatory, institutional, and accreditation standards.

10.5.3 Laboratory Research

The Institutional Biosafety Committee (IBC) provides compliance review and oversight of research and instructional activities that involve the use of infectious agents, federally-designated select agents, recombinant and/or synthetic nucleic acids, gene editing systems, genetically modified organisms, genetically engineered organisms, transgenic organisms, gene transfer, gene therapy, biologically derived toxins, and the culturing and/or manipulation of human and/or non-human primate material, including cell lines from vendors. Oversight by the IBC is not limited to specific funding sources and includes non-funded research. In accordance with the NIH Guidelines, the Virginia Tech IBC has the authority to approve, disapprove, or require modifications in protocols.
before approval is granted. Protocols are approved for a period of three years, after which a renewal protocol must be submitted for review and approval by the IBC. No changes may be made to an approved protocol until an amendment application is approved by the IBC. The IBC coordinates its activities with Environmental Health and Safety (EHS), specifically the biosafety officer (who is also the designated responsible official for select agents and toxins), and other lab safety professionals. Policy 13030, “Virginia Tech Recombinant DNA and Biohazard Research Property,” establishes requirements for the safe, secure, and compliant use of recombinant or synthetic nucleic acid molecules and/or biohazardous materials. These requirements are intended to protect university personnel, the public, and the environment.

The Institutional Review Entity (IRE) provides guidance in identifying, as well as compliance review and oversight for, activities confirmed to be life sciences Dual Use Research of Concern (DURC) performed at Virginia Tech and/or performed by Virginia Tech employees. DURC is defined in the US government Institutional Life Sciences DURC Policy (USG Policy) as activities involving at least one of the agents and/or toxins listed in Section 2.1.1 of the USG Policy, and which produces, aims to produce, or can be reasonably anticipated to produce, one or more of the effects listed in Section 2.1.2 of the USG Policy. Any activities involving the use of one or more agents or toxins listed in the USG Policy must be submitted to the IRE for evaluation. As defined in the USG Policy, there are no exempt quantities of botulinum neurotoxin, and all use of the toxin needs to be evaluated by the IRE for DURC potential. The Institutional Biosafety Program (IBP) is the administrative office for the IRE. The Associate Vice President for Research and Innovation/director of SIRC is the Institutional Contact for dual use research.

10.6 Ownership and Control of Research Results

The university asserts its right to the results of research funded wholly, or in part, with university resources. University ownership of intellectual properties is covered in Policy 13000, “Policy on Intellectual Property.” University ownership rights, as defined in the Policy on Intellectual Property, may extend to all permanent, visiting, or research faculty, staff, wage employees, and students.

The faculty principal investigator or project leader is expected to manage the university’s ownership of research results and material (including all data) that best advance the standard routes of publication, presentations, and other usual means of dissemination of research results for that particular field. Creation of intellectual property (IP) must be disclosed to the university by submitting an IP disclosure form, which is available on the Virginia Tech Intellectual Properties (VTIP) page or by contacting the License team within the Office of Research and Innovation. Invention Disclosures should be made as soon as possible after creation (i.e., before publication or other public discussion) to protect the potential value and utility of the IP.

As project leader, it is the responsibility of the faculty principal investigator to preserve the research material and results in the manner that is customary to the field. This includes all notebooks and files (independent of whether they are in analog or digital format), computer files, samples, specimens, prototypes, etc. germane to the veracity and validity of the research claims. Sponsored research projects may require additional document retention based on sponsor...
requirements or fulfillment of the project’s data management plan, included in the original proposal. All research data, results, and related materials must be retained as required by state law and in accordance with the retention requirements of the Library of Virginia’s state records management program. The faculty principal investigator is also responsible for complying with any additional applicable regulations regarding data retention for specific records.

Additional requirements concerning ownership and control of research data, results, and related records are set forth in Policy 13015, “Ownership and Control of Research Results.”

10.7 Financial Conflicts of Interest Related to Sponsored Research

Virginia Tech recognizes the value and necessity of engaging with outside entities to translate research into beneficial products. Transparency and appropriate management of these relationships promotes objectivity in research and safeguards the interests and reputation of Virginia Tech and its employees.

To ensure compliance with state law and federal regulations, and to provide consistent institutional policies and practices in relation to all research sponsors, investigators engaged in sponsored activities research must take training and disclose financial interests related to their institutional responsibilities as described in Policy 13010, “Conflict of Interest.” The Research Conflict of Interest Program is responsible for assessing and implementing management strategies for investigator financial conflicts of interest. The program also administers the university’s system for outside activity and financial interest disclosure.

Once an Investigator discloses a financial interest to the university, the Research Conflict of Interest program determines whether the financial interest could directly and significantly affect the design, conduct, or reporting research. If so, the situation represents a financial conflict of interest (FCOI) and the program must ensure that a plan to manage the financial interest is developed and implemented prior to the start of the research. The management plan is designed to mitigate the conflict, promote research objectivity, and promote academic and professional protection of graduate students and postdoctoral scholars, respectively. If needed, the Management Plan Advisory Committee (MPAC), a standing committee of the university, will make recommendations to the Research Conflict of Interest program director regarding how the financial conflict of interest should be managed to ensure that sponsored research will be objective and free from bias to the extent possible.

There is a particular significance to financial conflict of interest processes when a faculty member has a financial interest in a small business that is pursuing SBIR/STTR funding in collaboration with Virginia Tech. Note that use of university resources on behalf of a small business is not permitted unless Virginia Tech is performing the scope of work authorized through the subaward from the small business to Virginia Tech and that subaward is fully executed before work begins. Only the documented subawarded work is authorized to be performed using Virginia Tech resources. University personnel cannot support the small business funding application whatsoever, including developing a budget or proposal on behalf of the small business.
involvement of the university in such activities occurs only to the extent that Virginia Tech is an intended subawardee in the research, in which case typical involvement of Virginia Tech researchers and research administrators is permissible. University personnel cannot provide any pre- or post-award support to the small business or make arrangements/handle reimbursements for small business travel. Note that rights to intellectual property cannot generally be assigned to an entity other than Virginia Tech except as permitted pursuant to Policy 13000, “Policy on Intellectual Property”. See chapter two for additional information regarding disclosure and management of potential conflicts of interest or commitment.

10.8 Classified and Controlled Unclassified Research
The U.S. government occasionally seeks the expertise of Virginia Tech faculty to engage in classified or controlled unclassified research. Faculty must realize that working in classified or controlled unclassified research requires that they relinquish opportunities to disseminate the knowledge gained in this effort without prior approval from the sponsor. However, the university does recognize that individual investigators may wish to work in areas that have classified or controlled unclassified aspects and/or cannot conduct the research in compliance with applicable federal statues and executive orders without access to classified or controlled unclassified information. To accommodate this need, the university has a continuing compliance and security program administered by the Office of Export and Secure Research Compliance in accordance with government regulations. Virginia Tech policy and procedures for complying with U.S. export and sanctions laws in research and other university activities are set forth in Policy 13045, “Export Control, Sanctions, and Research Security Compliance Policy.”

10.9 Special Circumstances for Theses and Dissertations
The university may withhold the publication of theses and dissertations for up to one year for the purpose of obtaining a patent or for other proprietary reasons. To exercise this option for a thesis or dissertation, an electronic thesis/dissertation (ETD) approval form must be completed and signed by the thesis or dissertation author and by the advisor, with a request that the thesis or dissertation be withheld from public release.

In cases where theses or dissertations contain classified or controlled unclassified, including export-controlled information, students and faculty advisors will consult with the Office of Export and Secure Research Compliance in the Office of The Vice President for Research and Innovation as well as the Graduate School. Theses or dissertations containing classified or controlled unclassified information cannot be submitted to the Graduate School through the normal ETD process.

10.10 Publication of Research
The final step to complete a research project is to share the knowledge gained with the professional/scientific community. Barring special circumstances (e.g., classified research, DURC), the university’s expectation is that research results will be shared with the scientific community through peer- reviewed journals, books, reports, or other public mechanisms. Department heads or chairs can help determine how best to complete and publish the results of
10.11 Scholarly Integrity and Misconduct in Research

As stated in Policy 13020, “Policy on Misconduct in Research,” Virginia Tech endorses the highest ethical standards for the conduct of all scholarly pursuits to ensure public trust in the integrity of results. The university requires that all affiliated persons (including faculty, staff, researchers, and students) conduct activities with integrity. The university is committed to fostering an environment that promotes responsible conduct of research, training, and all other scholarly activities. Scholarly integrity is characterized by honesty, transparency, personal responsibility, excellence, and trustworthiness. All persons engaged in scholarly pursuits at the university are expected to conduct their scholarship in accordance with their respective field’s scholarly expectations and best practices.

The university recognizes that deception in research erodes the credibility of an institution and the confidence of those who might benefit from the research. The university takes all reasonable and practical steps to foster a research environment that promotes the responsible conduct of research and research training (and activities related to that research or research training), discourages research misconduct, and deals promptly with allegations or evidence of possible research misconduct. Policy 13020, “Policy on Misconduct in Research,” establishes expectations for integrity in research, outlines prohibited practices, and describes the procedure for handling allegations of research misconduct. These requirements are intended to protect the integrity of research produced by university personnel and associates.

10.11.1 Definitions

Misconduct in research (or research misconduct) means fabrication, falsification, plagiarism in proposing, performing, or reviewing research, or in reporting research results.

Fabrication is making up data or results and recording or reporting them.

Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.

Plagiarism is the appropriation of another person’s ideas, processes, results, or words, including those of a student, colleague, or mentor, without giving appropriate credit.

Research misconduct does not include honest error, differences in opinion, or disputes over authorship except those involving plagiarism. While the following activities are considered detrimental research practices and are subject to other university policies and supervisory oversight, they are not included in the legal definition of research misconduct: issues relating to sexual harassment, personnel management, fiscal errors, poor or incomplete record keeping, misrepresentation of study findings, and abuse or improper procedures with laboratory animals or human subjects.
10.11.2 Activities Covered

Policy 13020, “Policy on Misconduct in Research,” applies to allegations of research misconduct (fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results) involving a person who at the time of the alleged research misconduct was employed by, was an agent of, or was affiliated by contract or agreement with the university and was engaged in research under the auspices of the university at the time of the occurrence of the alleged research misconduct. Any student engaged in sponsored research is also covered by this policy.

Misconduct in non-research activities and other ethical violations are covered by separate policies. Ethical misconduct of faculty, including self-plagiarism (sometimes referred to as “text recycling”), is covered in chapter two, “Professional Responsibilities and Conduct,” which describes the principles of ethical behavior. Violations of ethical conduct by graduate students are guided by the constitution of the graduate honor system, which is available on the graduate school website. Professional students in the Virginia Maryland College of Veterinary Medicine or the Virginia Tech Carilion School of Medicine must consult the honor code for their college/school. Violations of ethical conduct by undergraduate students are guided by the university’s honor system, as outlined on the Office of Undergraduate Academic Integrity website. Standards of conduct and performance, as well as procedures for dealing with alleged violations of unacceptable conduct and grievance procedures, are available on the Human Resources, Resources for Employees page.

10.11.3 Procedures for Reporting, Investigating, and Resolving Misconduct in Research

The university has established detailed procedures for reporting, investigating, and resolving misconduct in research. Those procedures are available in Policy 13020, “Policy on Misconduct in Research.” The research integrity officer is responsible for overseeing the procedural process. Any questions regarding the policy or procedures should be addressed to the research integrity officer in the Office of the Vice President for Research and Innovation.

10.12 Removal of a Principal, Co-Principal, Lead Investigator, or Equivalent

Funding agreements are legal contracts between the sponsor and the university rather than an individual, thereby obligating the university to ensure compliance with any and all applicable policies, regulations, or specific conditions as stipulated in the funding agreement. Removal of an investigator from a sponsored project may be necessary or warranted under unusual circumstances such as incapacity (unable to carry out the responsibilities as an investigator), misuse of funds, failure to comply with university and sponsored programs’ policies or state or federal regulations, failure to disclose or appropriately manage a significant conflict of interest, established cases of research misconduct (see Policy 13020, “Policy On Misconduct in Research”), or in response to a request by the sponsor of the project.
Policy 13025, “Removal of a Principal, Co-Principal, Lead Investigator or Equivalent,” governs the removal of a principal, co-principal, lead investigator, or the equivalent. Funding agencies and sponsors vary in their requirements; the terms of the specific contract with a sponsor guide the university’s actions whenever this policy is invoked. This policy applies to investigators who hold identified responsibilities as principal, co-principal, lead investigator, or equivalent (hereafter referred to collectively as the investigator).

10.13 Effort Certification and Salary Charges to Sponsored Grants and Contracts

10.13.1 Effort Certification

The purpose of effort certification is to confirm after the end of the reporting period that salaries and wages charged to each sponsored agreement are reasonable in relation to the actual work performed. Policy 3105, “Effort Certification,” describes the procedures for required effort certification in accordance with federal regulations. Individual investigators, departments, and other university administrators have specific responsibilities under the policy for certifying effort, monitoring compliance, and assuring that only allocable charges are made to grants and contracts. Federal audits have made clear that only effort directly related to a project can be charged to that project and salary expenditures on behalf of the project must occur during the effort reporting period. The university takes its obligations to comply with federal regulations very seriously; failure to comply may mean severe financial penalties and/or loss of opportunity for future grants from the federal sponsor. To be consistent and fair to all sponsors, the same kind of accountability applies to non-federal grants and contracts.

Salary costs for faculty, staff, and graduate and professional students are one of the largest cost categories for sponsored projects. Internal controls over salary costs include procedures to ensure that salary costs comply with federal regulations and Policy 3240, “Costing Principles for Sponsored Projects.” That is, all salary costs charged to a sponsored project must be reasonable for the work performed, necessary for the performance of the project, allowable per sponsor and university policies, and allocable to the project.

Effort certification is particularly complex for instructional faculty members who manage multiple responsibilities simultaneously, seamlessly moving from class to supervising graduate and professional students, to conducting research and developing the next proposal in the same day or week. Indeed, most instructional faculty members are engaged in teaching, administrative tasks, or other duties in addition to their work on sponsored projects, even during the summer. Yet only activities directly related to a sponsored project may be charged to that grant or contract; institutional activity is supported by other, non-sponsored funding (or may be uncompensated during the summer).

If the faculty member (regardless of type of appointment) has responsibilities for competitive proposal writing or participation in well-defined, regular teaching or administrative duties (e.g., committee work, hiring, advising, tenure review), a 100% allocation of the salary to sponsored projects is prohibited during the effort reporting period in which such activity occurs.
Incidental, inconsequential non-project activity performed rarely may be considered de minimis and need not be part of full load for purposes of effort reporting.

Proposal writing for new competitive awards and competitive renewal awards may not be charged to sponsored projects, nor would such proposal writing be considered de minimis activity. Preparation of non-competitive, continuation award proposals (progress reports) may be charged to the applicable sponsored project.

Faculty members who receive summer salary from sponsored projects must certify the effort expended on those projects during the summer period. Work done on the sponsored project during the academic year cannot be counted toward summer effort on the project.

Failure to follow the provisions of Policy 3105, “Effort Certification”, may subject the individuals and departments responsible for the violation(s) to administrative and/or disciplinary actions in accordance with university disciplinary procedures.

If effort reports are not completed and returned in a timely manner, salary costs associated with uncertified grant activity may be removed and charged to a departmental account.

Following appropriate notice, faculty members with delinquent or improperly completed effort reports may be placed on a suspension list by the Office for Sponsored Programs and denied eligibility for OSP services, including but not limited to proposal preparation, account set-up, and budget transfers, until effort reports are up to date and properly completed and certified.

Certification of effort reports that are known to be materially inaccurate may expose the individual who completed the reports to personal disciplinary actions.

10.13.2 Summer Research Appointments for Nine-Month Faculty Members

Faculty members on academic year (nine-month) appointments are permitted to earn up to three months of additional salary for effort related to sponsored projects, subject to sponsor policies and appropriate internal approvals. Summer funding may be accomplished by research extended appointments or as summer wages.

Policy 6200, “Policy on Research Extended Appointments,” outlines the requirements and procedures for faculty members to extend their nine-month appointments to 10-, 11-, or 12-month appointments depending on the availability of sponsored funding for additional months of salary and full fringe benefits. Although the sponsored funding supports the extended employment contract, salary must be charged to reflect a reasonable estimate of effort throughout the entire appointment period, not just the summer. Given the continuation of some typical university responsibilities during the summer, such as meeting with graduate students, attending professional conferences, or preparing future grant proposals or coursework, faculty members should have a mixture of sponsored and institutional funding to support their summer activities. This can be accomplished by making appropriate charges to the project during the academic
year and deferring some institutional funding to the summer period. Faculty members on research extended appointments earn annual leave proportional to the length of their appointment, and they must record the use of annual leave whenever used during the appointment period (all 10, 11, or 12 months). There is no payout for accrued annual leave at the time of reconversion to the base academic year appointment or at the time of separation from the university.

Instead of research extended appointments, academic year faculty members may receive support from sponsored grants and contracts as summer research wage payments, without full fringe benefits. This would typically be the case for faculty members with one or two months of “summer salary” included in the funded grant project. For those with three full months of funding, project effort during the academic year may be charged to the grant (with attendant changes in the fringe benefit rate), thereby allowing departmental salary savings to support non-project related responsibilities during the summer. Faculty members certify their effort across the entire summer period, and some flexibility is allowed if the overall effort and salary charges during the period are consistent.

10.13.3 Compliance Issues for Research Faculty Members
As described above, a research faculty member with regular, well-defined responsibilities for new proposal preparation, teaching, or administrative duties is prohibited from charging 100\% of salary to sponsored projects during an effort reporting period in which such activity occurred, unless those activities are specifically allowed on the sponsored project.

Research faculty members are typically on standard 12-month appointments, which earn and accrue annual leave by university policy. Use of annual leave is recognized as an acceptable charge to a sponsored project when such leave is part of the standard university appointment.

10.14 Policy on Intellectual Property
Publicly (state) supported universities have the multiple missions of teaching, research, support of the public interest and fostering of economic development of the area/state in which they are located. Scholarly activities in a university setting create intellectual properties (IPs). IP includes research papers, books, software programs, new inventions, journal articles, etc.

The university’s mission includes dissemination of IPs in the most efficient and effective manner possible. The identification and optimization of opportunities for the industrial/commercial utilization of some IPs is also part of this mission, as is the protection of the ownership rights of both the individuals and the university.

While many IPs are best disseminated by publication and placing in the public domain, there are a significant number that are most effectively handled by protection under the IP laws (i.e., patenting and copyright) and licensing (or other transfer) to private sector entities, with attendant financial considerations.

Timely disclosure of IPs to the University (pursuant to Policy 13000, “Policy on Intellectual Property”) is critical to preserving potential value of certain IPs while enabling Virginia Tech to
deliver on its mission to ensure impact of research, discovery, and scholarly output. Policy 13000, “Policy on Intellectual Property,” outlines intellectual property (IP) ownership criteria, resolution of ownership questions, and responsibilities of university employees concerning the disclosure and potential assignment of intellectual properties. Policy 13000 also sets forth the authority and responsibility of the Intellectual Property Committee (IPC), the chair of which is the senior vice president for research and innovation or designee. Membership of the IPC is set forth in the bylaws of the University Council.

CHAPTER ELEVEN
FACULTY BENEFITS

11.0 Faculty Benefits
Below is an overview of required and optional benefits available to faculty members. Contact the Division of Human Resources for information and to make changes to benefits. In the event of any changes in third-party benefits, vendor information is immediately available in the “Benefits” section of the Human Resources website.

11.1 University Provided Benefits
Required benefits are mandated by federal, state, or university regulations and are detailed in this section.

11.1.1 Group Life Insurance
Participation in the group life insurance program is required of all full-time and part-time salaried faculty. The university pays the monthly premium for the group life insurance.

Coverage is effective on the first day of employment. The amount of the insurance is determined using the annual salary rounded up to the nearest thousand dollars; then doubled. Thus, if the salary is $49,400, the amount of insurance is $100,000. In cases of accidental death, the insurance is four times the rounded annual salary. In the example above, the insurance payout would be $200,000.

A faculty member who leaves the university may convert the term insurance policy to a private policy if the request is made within 31 days after termination. Eligibility to make this conversion will depend upon individual circumstances. Contact the Human Resources Service Center for detailed information.

Faculty members who have reached their earliest reduced retirement eligibility will have continued The mandatory life insurance coverage continues for faculty members who meet retirement eligibility requirements after they separate from the university. The life insurance
amount will decrease by 25% percent on January 1 after one full calendar year of separation. The face amount will continue to decrease by 25% percent each January thereafter until the face amount is equal to half of the final salary (or one-fourth of the original face amount). All accidental death and dismemberment insurance terminates at separation.

The life insurance program is administered through the Virginia Retirement System and is underwritten by Securian Financial. Per IRS requirements, life insurance in excess of the established excludable limit, in a calendar year, is taxable to current employees and those eligible for retirement upon separation. This benefit is not optional.

### 11.1.2 Long-Term Disability Insurance

Virginia Tech faculty who enroll in the Optional Retirement Plan (ORP) will be placed in Virginia Tech’s faculty sick leave plan. Faculty who enroll in the Virginia Retirement System (VRS) will choose between the Virginia Tech faculty sick leave plan or the Virginia Sickness and Disability Plan (VSDP). Election of a disability plan is required within 60 days of employment. No election results in defaulting in VSDP.

#### 11.1.2.1 Virginia Tech Faculty Sick Leave Long-term Disability Plan

Long-term disability insurance provides income replacement based on 60% percent of the pre-disability salary after a six-month waiting period if the employee is deemed disabled. These benefits may be offset by Social Security and federal retirement (if applicable). The maximum and minimum monthly benefits are outlined in the contractually negotiated amounts with the applicable vendor and are available on the “Benefits” section of the Human Resources website. In addition to paying a monthly benefit, a retirement contribution of 10.4% percent (8.5% percent for faculty members hired on or after July 1, 2010) of base salary is paid into the Optional Retirement Plan for those faculty members receiving disability benefits. The Standard Life Insurance Company underwrites the program. This benefit is not optional, and the faculty member pays a monthly premium based on salary amount and contractually negotiated rates, which is approximately .25 percent of the employee’s salary.

#### 11.1.2.2 VSDP Plan

Long-term disability insurance provides income replacement based on 60% of the pre-disability salary after a six-month period if the employee is deemed disabled. These benefits may be offset by Social Security and federal retirement (if applicable). The maximum and minimum monthly benefits are outlined on the “VSDP” section of the Virginia Retirement System (VRS) website. The premiums are covered by the employer.

### 11.1.3 Faculty Retirement

All eligible faculty are required to participate in either the Virginia Retirement System (VRS) plan or a defined-contribution Optional Retirement Plan (ORP). Faculty have 60 days from the date of
appointment to choose either the Virginia Retirement System or an ORP. If no choice is made, the retirement default is the VRS Hybrid Plan (or other applicable whichever VRS plan option into which the faculty member might be grandfathered). Defaulting into the Virginia Retirement System also defaults the faculty member into the Virginia Sickness and Disability Program.

Part-time salaried faculty members working half time, or more are eligible to participate in either the university’s defined contribution ORP or the Virginia Retirement System to the extent permitted by VRS.

11.1.4 The Virginia Retirement System

All VRS contributions are subject to applicable compensation and contribution limits per the Internal Revenue Code (IRC). Defined benefit vesting is the minimum length of service members need to qualify for a future retirement benefit. Vesting is dependent upon plan participation. If members are not vested, employer-paid contributions are forfeited upon retirement or leaving employment. See Virginia Retirement System website for plan details.

VRS Plan 1: Faculty members who have Virginia state service prior to July 1, 2010, and have five years of VRS or ORP service prior to January 1, 2013 (and still maintain an account balance in their retirement account) will be considered for VRS Plan 1.

VRS Plan 2: Faculty members who have Virginia state service before July 1, 2010, and did not have five years of service as of January 1, 2013, or have Virginia state service between July 1, 2010, and December 31, 2013 (and still maintain an account balance in their retirement account) will be considered for VRS Plan 2.

VRS Hybrid Plan: Faculty members hired after January 1, 2013, with no previous Virginia state service or faculty members hired after January 1, 2013, and closed out or rolled over a previous Virginia state retirement account will be considered for participation in the VRS Hybrid Plan.

The VRS Hybrid Plan is a qualified plan under Internal Revenue Code (hereinafter “IRC”) section 401(a) and contains both a defined benefit portion and a defined contribution portion. The employee and the employer both make contributions to fund the defined benefit portion of the Hybrid Retirement Plan. The employee contributes 4% percent of their creditable compensation. The employer's contribution is based on an actuarially determined calculation. The employee is required to contribute 1% percent to the defined contribution portion of the Hybrid Retirement Plan and will receive a 1% employer match to the defined contribution plan. The employee also has the option to voluntarily contribute up to an additional 4% percent in .5% percent increments to receive the maximum 2.5% employer match to the defined contribution plan. Employees can increase or decrease their voluntary contributions on a quarterly basis. The employee’s voluntary contributions will be made to the state deferred compensation plan which is qualified under IRS code section IRC section 457(b). The employer must match the first 1 percent of voluntary contribution with a corresponding contribution of 1% of the employee's creditable compensation.

Each of the employee’s additional voluntary contributions will be matched by the employer.
All VRS contributions are subject to applicable compensation and contribution limits per the IRC. Defined benefit vesting is the minimum length of service members need to qualify for a future retirement benefit. Vesting occurs when a member has at least 60 months of service credit. If vested, faculty members are eligible for the defined benefit as early as age 60. If members are not vested, employer-paid contributions are forfeited upon retirement or leaving employment.

Defined contribution vesting is the minimum length of service members need to be eligible to withdraw contributions. Vesting is based upon the length of participation in the plan. Upon retirement or leaving employment, members are eligible to withdraw a percentage of employer contributions based upon the following schedule:

- After two years, members are 50 percent vested and may withdraw 50 percent of the employer-defined contribution plan contributions.
- After three years, members are 75 percent vested and may withdraw 75 percent of the employer-defined contribution plan contributions.
- After four or more years, members are 100 percent vested and may withdraw 100 percent of employer-defined contribution plan contributions.

11.1.5 Optional Retirement Plan

Optional Retirement Plan (ORP), a qualified retirement plan under IRS code section 401(a) plan, contributions are subject to applicable compensation and contribution limits per the IRC.

Within 60 days of the date of appointment, eligible faculty may select the Optional Retirement Plan (ORP) in lieu of the defined benefit Virginia Retirement System or the Hybrid Plan. The ORP contributions rates are as follows:

- For faculty members hired before July 1, 2010, the university contributes 10.4% percent of base salary to the 401(a) ORP account. No employee contribution is required.
- For faculty members hired on or after July 1, 2010, the university contributes 8.5% percent of base salary, and the employee contributes 5% five percent of their base salary to the ORP.

Benefits at retirement are based on contributions, and net earnings market performance. The faculty member can choose from several investment options. The ORP is qualified under IRS code section 401(a). ORP contributions are subject to applicable compensation and contribution limits per the IRC and vesting is immediate. Investment risks selections are made and risks are borne by the employee, with risks varying based on the types of funds selected investment selection. Fidelity and TIAA are the providers current designated record keepers for the plan Virginia Tech's ORP.

11.1.6 Voluntary Transitional Retirement Program for Faculty with Tenure or Continued Appointment

Tenured faculty members (or those with a continued appointment in University Libraries or the Virginia Cooperative Extension) who are at least 60 years of age and have at least 10-20 years
of full-time service at Virginia Tech are eligible for the university’s voluntary transitional retirement program. The program allows the university to make it possible for long-term faculty to remain actively involved in the life of the institution while reducing their professorial responsibilities as they transition towards full retirement. Further details of the program are provided Policy 4410, “Voluntary Transitional Retirement Program for Tenured Faculty.”

11.1.7 Short-Term Disability Income Protection

Faculty members on regular appointments who select the Virginia Tech Faculty Sick Leave Plan, in lieu of the Virginia Sickness and Disability Program (VSDP), are provided with 1040 hours (based on 1 FTE) of sick leave at the time of hire. This equates to six months of income protection, i.e., short-term disability coverage. After short-term disability, is exhausted, the faculty long-term disability program outlined in chapter eleven, “Long-Term Disability Insurance,” takes effect and provides disability income to age 65 or for five years if over age 60 at the onset of disability.

This benefit is not available to faculty in restricted positions. Faculty in restricted positions accrue five hours of sick leave per pay period. Beginning July 1, 2012, all of Virginia Tech’s restricted faculty members who are not enrolled in the Virginia Sickness and Disability Program (VSDP) will be covered under a short-term disability plan administered by the Standard Insurance Company third party short-term disability plan vendor.

Restricted faculty members who accrue sick leave each pay period will automatically be enrolled in the Standard Insurance Company third party short-term disability plan vendor. These employees will continue to accrue sick leave and will not be required to pay any additional premium for the coverage.

The Standard Insurance Company third party short-term disability plan vendor provides allows employees who are on approved short-term disability leave to collect up to 60% of their regular salary for up to six months, after the initial seven-day waiting period. Employees who are still considered disabled after six months will transition into the faculty long-term disability plan.

Alternatively, faculty members on regular or restricted appointments who enroll in the Virginia Retirement System may consider the Virginia Sickness and Disability Plan (VSDP), which provides short-term disability for six months and long-term disability to age 65 or later depending on age at the time of disability. There is a one-year waiting period from the date of appointment under VSDP to be eligible for the short- and long-term disability benefits. Beginning September 1, 2017, per VRS directive, the election for coverage under VSDP is irrevocable. Therefore, if faculty members on restricted appointments had previously elected coverage under VSDP then later convert to regular faculty appointments, on or after September 1, 2017, the applicable VRS directive disallows VSDP opt-out election. Their previous election for disability benefits are provisioned in the VSDP as outlined above.

Faculty members who default into the VRS plan will be placed in the VSDP.

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11.2 Types of Leave and Leave Reporting

Several types of approved leave, with or without salary, are available to faculty members. Unapproved absence from assigned duties, not covered by an approved or earned leave, is subject to a subsequent adjustment in pay.

11.2.1 Leave Reporting

Salaried faculty and staff use the university leave and time worked reporting system to record all types of leave. A summary of leave policies and detailed procedures to complete the report is available on the Human Resources Leave page.

Calendar year faculty are required to submit leave reports in a timely manner during any leave period in which leave is used and are to submit leave periods six and 12 for financial reporting purposes. A department head or chair may require that all faculty in the department submit monthly leave reports.

Regular calendar year faculty members are eligible to donate annual leave hours to the leave sharing program. Only full-time and part-time salaried staff employees may be recipients of leave sharing. When college faculty members are absent during the academic year to attend meetings or consult about research funding, etc., and when these absences take fewer than five days, the department head or chair is the principal approving officer and is responsible for ensuring the adequate coverage of the duties of the absent colleague. An absence of up to two weeks is managed entirely within the college and requires the approval of the department head, chair, and dean. But absences beyond two weeks must be forwarded through the department head, chair, and dean to the provost for review and approval. A determination is made about the necessity of a leave of absence without pay or a change of duty station with pay for university approved activities away from the home location. (See chapter two, “Change of Duty Station and Special Leave.”)

11.2.2 Educational Leave

Leaves of absence on partial salary (not to exceed one-half salary) may be granted to faculty members for educational purposes. Such leaves are granted for formal educational advancement ordinarily leading to an advanced degree from another institution, which is of demonstrable benefit to the university and to the faculty member.

The leave is granted only if satisfactory arrangements can be made for effective continuation of the relevant program. Only that fraction of a position not supported by the partial salary of the leave is available for the appointment of a replacement faculty member during the period of the leave. Educational leave is ordinarily granted for periods of one year or less. If the program of study is completed, or if the faculty member ceases active participation in that program before the ending date of the approved leave, the faculty member immediately returns to full employment or resigns employment. With the recommendation of the department head, chair, and dean (or appropriate administrator) application is made to the provost or executive vice president and chief operating officer, depending upon the reporting structure.
On approval of educational leave with partial pay, the faculty member must sign a memorandum of agreement, which obligates the faculty member to return to full employment in the university for a period twice the time of the approved leave or to repay the university the salary received plus interest. If a leave recipient returns to the university, but resigns before completing that obligation, the salary repayment is prorated.

Policies governing advanced study at Virginia Tech without leave are covered in chapter two, “Advanced Study at Virginia Tech.”

### 11.2.3 Military Leave

Military leave is available to all faculty members, including those on restricted, wage, or adjunct appointments. Faculty members are eligible for leave with pay for 1521 days including an additional day for a physical in a federal fiscal year (October 1 through September 30) for military duty, including training, if they are members of any reserve component of the Armed Forces or the National Guard. Fifteen-Twenty-one days of paid military leave plus an additional day for a physical is the maximum allowable for one tour of duty, even when that tour encompasses more than one federal fiscal year. Employees may use accrued annual leave to continue their pay while on military leave. Employees are granted unconditional leave without pay for the duty indicated in their military orders that is not covered by military leave with pay. To qualify for military leave, faculty members must furnish their department head, chair, and Human Resources with copies of their orders.

Employees are reinstated to their previous positions or to positions comparable to their previous positions provided that certain conditions are met. Requests for reinstatement must be made to Human Resources and should state that the individual is seeking reinstatement to employment upon return from military service. If the military leave was for a period of 31 to 180 days, the employee must apply for reinstatement within 14 days of discharge. If the military leave was for a period of 181 days or more, the employee must apply for reinstatement within 90 days of discharge. Contact Human Resources for guidance and a full description of military leave benefits and conditions, and reinstatement.

### 11.2.4 Administrative Leave

If a faculty member is called for jury duty, subpoenaed, or summoned to appear in court, this absence may be charged to administrative leave, except when a defendant in a criminal or civil case. This leave should be requested before it is taken. Any time spent in court as a defendant in a criminal or civil case must be charged to annual leave, compensatory leave, or leave without pay. Faculty members receive full pay for administrative leave, provided a copy of the subpoena or other supporting document accompanies the leave report.

Administrative leave with pay is not granted for more time than actually required for the purpose for which it is taken. Any additional administrative leave taken on the same day must be charged to leave without pay or appropriate leave balances and reported in the monthly leave report.
Faculty members are granted administrative leave to attend work-related hearings as a witness under subpoena or regarding a personal claim. Administrative leave may be used when called to serve on councils, commissions, boards, or committees of the commonwealth. If a faculty member is serving as an official representative of the university, then administrative leave is not used. The service time is treated as part of the faculty member’s regular work hours.

11.2.5 Annual Leave and Holidays

Instructional and research faculty members on academic year appointments do not earn or accrue annual leave. Regular administrative and professional (A/P) faculty members on an academic year (AY) appointment earn annual leave only during the period of their appointment and at the same rate as regular A/P faculty members on a calendar year (CY) appointment. Faculty members on a calendar year appointment earn two days (16 hours) of annual leave per month in accordance with leave policies; after 20 years of continuous employment by the Commonwealth, 18 hours of annual leave are earned per month. Faculty members on a research extended appointment earn annual leave proportional to their appointment. However, unused annual leave will not be compensated at the time of reconversion or separation for a faculty member on a research extended appointment or restricted appointment.

All faculty members who earn annual leave are expected to record the appropriate leave type on the monthly leave report if they do not work during the academic breaks. Approval of the department head, chair, or supervisor is required in advance of using annual leave.

Faculty members on calendar year regular appointments, may carry forward accrued annual leave to a maximum of 36 days (288 hours) at the beginning of each leave year or may be paid up to the maximum on termination of employment. After 20 years of service, the maximum accrued leave carried forward or paid upon separation becomes 42 days (336 hours).

Annual leave must be earned before it is used. Holidays observed by university faculty members are New Year’s Day, Martin Luther King Jr. Day, Memorial Day, Juneteenth, Independence Day, Labor Day, Thanksgiving Day and the day following, Christmas Day, the four days comprising winter break between December 25 and January 1, and other holidays that the governor may designate. If faculty members are required to work on these days due to extenuating circumstances as determined by the supervisor, or if they are designated as emergency personnel, they may use compensatory leave at a later date, but compensatory days do not accrue as earned annual leave.

The university closes between December 25 and January 1 each year. Twelve-month faculty (and those on research extended appointments earning leave), research faculty, and administrative and professional faculty must use annual or other appropriate leave balances to cover the days not worked, with the exception of the official faculty holidays or other holidays that the governor may designate.

Faculty members with accrued annual leave who temporarily change their status (for example, going on leave without pay or changing to a part-time appointment for a short period of time)
should contact Human Resources to discuss their options and indicate their preference for either payout of their leave balance or retention of their leave balance until they resume full-time status. Calendar year faculty on study-research assignment earn annual leave at a rate that is half their usual annual leave earnings.

Regular calendar year faculty members are eligible to donate annual leave hours to the leave sharing program. Under state policy, only full-time and part-time salaried staff employees may be recipients of leave sharing.

### 11.2.6 Sick Leave

Faculty members whose appointments began on or after September 1, 1981, are subject to this policy. Eligible faculty members have immediate protection of 26 weeks of sick leave. On return from sick leave, re-accrual to a maximum of 26 weeks takes place at the rate of one week of sick leave for each two weeks of full-time work. Isolated minor illnesses extending over a maximum of 10 days are managed at the department level with the cooperation of faculty colleagues for the covering of necessary duties. Sick leave must be recorded for absences exceeding 10 days in duration. Faculty members are strongly encouraged to record use of sick leave, even when the occurrence is less than 10 days. Faculty members are also encouraged to apply for leave under the federal Family and Medical Leave Act for any absence greater than five workdays. The ability to document an incident the onset of illness can provide critical financial protection for faculty members who ultimately need long-term disability. Provision is made for prorated sick leave usage when partial resumption of duties can be undertaken. However, re-accrual does not begin until full-time service resumes. Faculty members whose appointments began on or after September 1, 1981, are subject to this policy.

Faculty members whose appointments began before September 1, 1981, had the option of selecting the above policy or continuing coverage under the previously existing sick leave policy. Under that policy, sick leave is accrued at the rate of 15 days (120 hours) per calendar year with no maximum accrued limitation. Sick leave credit does not occur for service of less than a full pay period—one-half month; leave cannot be granted before it is earned. This also applies to all faculty members on a restricted appointment have coverage under this previously existing sick leave policy.

Faculty members in full-time restricted salary positions receive 10 hours per month of sick leave. Faculty on part-time restricted appointments earn sick leave based on their percentage of employment.

In 1999, state employees in regular or restricted positions, who were participants under the Virginia Retirement System (VRS), could choose to enroll in the Virginia Sickness and Disability Program (VSDP). VSDP provides employees with a minimum of 64 hours of sick leave and 32 hours of family/personal leave annually. These hours are replenished each year, but do not carry over. In addition, VSDP provides salary continuation during periods of short-term disability up to six months and long-term disability to age 65 or later depending on age at the time of disability.
Beginning September 1, 2017, per VRS directive, the election for coverage under VSDP is irrevocable. Therefore, if faculty members on restricted appointments had previously elected coverage under VSDP then later convert to regular faculty appointments, on or after September 1, 2017, the applicable VRS directive disallows VSDP opt-out election.

The sick leave plans do not provide compensation for unused sick leave upon termination (some employees are exempted under old plans).

Under all policies, sick leave may be used for illness, accidents, and pregnancy-related conditions. Faculty under the first two plans may use family sick leave for family emergencies. (For more information on leave for family emergencies and pregnancy-related conditions, see chapter eleven, “Family and Medical Leave Act” and “Family Leave.”) The university may require certification of the medical necessity of the period of absence from work due to illness, accident, or pregnancy-related condition. Certification, when required, is requested from the attending health care provider and/or a health care provider designated by the university.

Faculty on academic year appointments are not covered during the period of a summer appointment under any sick leave policy. Faculty positions are not released for replacement purposes because of sick leave. The dean’s authorization is required when replacement becomes necessary.

Full details of all sick leave policies and procedures, including eligibility, are available from Human Resources.

11.2.7 Family Sick Leave
The university recognizes that faculty members have family responsibilities that may make extraordinary claims on their time, making it difficult to fully fulfill their responsibilities. Department head, chair, deans, and other supervisory personnel are urged to be as flexible as possible within existing university policy in responding to the need for leave or temporary adjustment of duties for family-related reasons.

Paid sick leave is available for pregnancy-related medical conditions, childbirth, and recovery. The length of time charged to sick leave varies and is based on the recommendation of a physician. Sick leave may also be used for family emergencies. Leave for this purpose is restricted to a total of 10 days (80 hours) during a calendar year for absence necessitated by the serious illness or death of a family member or any individual residing in the same household. Use of such leave must be recorded through the regular leave reporting system so that total usage during the period can be monitored. Restricted faculty may use 80 hours of their earned sick leave or annual leave for these purposes.

11.2.8 Family and Medical Leave Act (FMLA)
Federal law (Family and Medical Leave Act) guarantees employees a minimum period of 12 workweeks of leave during a year for family care if they have been employed at Virginia Tech for at least 12 months and if they have worked at least 1,250 hours during the previous 12 months.
The time frame for calculating a year is measured forward from the date the employee is approved for FMLA. Accrued sick and annual leave may be used, as appropriate; the use of paid leave should be concurrent with the approved FMLA period (i.e., run concurrently). The remainder of the 12-workweek leave period is leave without pay. The faculty member may request a longer period of leave without pay as suggested in the following section, which requires approval of the department head, chair, dean or vice president, and senior administrator. Adjunct faculty are eligible for unpaid leave under FMLA if they meet the minimum employment requirements.

Eligible faculty are granted unpaid family or medical leave for one or more of the following: birth of a child; placement of a child with the faculty member for adoption or foster care; the care of an immediate family member (child, spouse, parent) who has a serious health condition; or a serious health condition that makes the faculty member unable to perform the position’s function. Prior to leave approval, the department head, chair, or supervisor may require documentation of the health condition necessitating care of a family member by the employee or the employee’s own health condition.

The period of up to 12 workweeks of family leave for purposes of birth or adoption may be taken intermittently or on a reduced schedule if the faculty member and department head, chair, or supervisor agree, and it does not create an undue hardship on the program or project. In the case of medical leave because of a faculty illness or illness of a family member, leave may be taken intermittently or on a reduced schedule when medically necessary. The department head, chair, or supervisor may require documentation of such medical necessity. The department head, chair, or supervisor may reassign responsibilities or transfer the faculty member to another position with the same salary to accommodate the intermittent or reduced leave schedule.

On return from leave, the faculty member returns to the same position or an equivalent position with the same benefits and salary at the time leave was taken. There is no accrual of additional sick or annual leave during the leave without pay period taken, or service toward the minimum six-year requirement for consideration for research-study leave. However, if the requested amount of leave extends beyond the term of appointment of a restricted faculty member or wage/adjunct employee and reappointment is not anticipated, the department head, chair, or supervisor is not required to maintain the position of the faculty member on leave beyond the original termination date. The request for family or medical leave shall not constitute sufficient reason for non-reappointment, termination, or other retaliatory action.

Eligibility for family leave for the purpose of birth or adoption expires at the end of the 12-month period beginning on the date of birth or placement. The faculty member gives the department head, chair, or supervisor at least 30 days’ notice regardless of reason, whenever practicable. If leave is requested for care of a family member, documentation of the serious health condition necessitating care by the faculty member may be required.

Benefits are continued for full-time employees in accordance with state personnel policies and the federal Family and Medical Leave Act of 1993. Contact Human Resources for detailed information on which benefits are continued and for what period. The procedures for requesting
FMLA are available from Human Resources. Unlike some other leave types, the employee and medical professionals must complete specific forms.

11.2.9 Additional Leave Benefits for Faculty on Regular, Salaried Appointments

The Governor of Virginia’s Executive Order Number 12 (2018) provides eight (8) weeks (320 hours) based on 1 FTE of paid parental leave to employees who have been employed by the commonwealth for a minimum of twelve (12) consecutive months for regular and restricted faculty appointments. Eligible employees will receive paid parental leave following the birth, adoption, or foster placement of a child younger than 18 years of age. The paid parental leave policy is in addition to other leave benefits available to commonwealth employees, such as Virginia Sickness and Disability Program leave (VSDP), sick leave, annual leave, and leave under the federal Family Medical and Leave Act (29 U.S.C. §§ 2601-2654). If both parents are eligible employees, each shall receive parental leave which may be taken concurrently, consecutively, or at different times within six (6) months following the birth, adoption, or foster placement of the child. Further information about this program is available from the Division of Human Resources.

In addition, faculty members on regular, salaried appointments wishing or requiring an extended period of time for child or family care may be granted leave without pay for up to one year (academic year or calendar year depending on type of appointment) thereby guaranteeing their job during the period of leave. A second year of leave without pay may be requested and approved in unusual cases. (See chapter eleven, “Leave Without Pay,” for terms and conditions.) Sick leave and accrued annual leave, if appropriate and applicable, may be used prior to leave without pay.

It is in the university’s interest to help employees combine new parenthood (or other temporary extraordinary family obligations) and employment when possible and preferred by the faculty member over a full leave from the university. Regular faculty members who find that they cannot carry on their usual university duties in the usual manner and fulfill their family obligations at the same time may request consideration for part-time employment at proportional pay. Assigned responsibilities for a part-time load vary depending on the needs of both the individual and department. Expectations for learning, discovery, engagement, and committee assignments should be discussed in advance with the department head, chair, or supervisor. The department head, chair, or supervisor may require the faculty member to be assigned different responsibilities or transferred to another position at the same salary to accommodate the intermittent leave or reduced schedule.

Probationary faculty on the tenure or continued appointment track who are moving to part-time status for the purposes of child or family care receive an extension of the mandatory tenure or continued appointment review date, consistent with sections in chapter three, “Extension of Pre-Tenure Probationary Period (Extending the Tenure Clock),” and chapters four and fourteen, “Extending the Continued Appointment Clock.”
Department heads, chairs, and supervisors should be sensitive and responsive where possible in establishing work hours, course and committee scheduling, and other aspects of employment for faculty members who are new parents or who are experiencing temporary extraordinary family obligations.

A one-year probationary period extension is automatically granted to either parent (or both if both parents are tenure-track or continued appointment-track faculty members) in recognition of the demands of caring for a newborn child or a child under five newly placed for adoption or foster care. The request should be made within a year of the child’s arrival in the family.

An extension of the probationary period may also be approved on a discretionary basis for other extenuating non-professional circumstances that have had a significant impact on the faculty member’s productivity, such as a serious personal illness or major illness of a member of the immediate family. (See chapter three, “Extension of Pre-Tenure Probationary Period (Extending the Tenure Clock),” and chapter four and fourteen, “Extending the Continued Appointment Clock.”)

### 11.2.10 Leave Without Pay

Faculty members wishing to take leave from their duties without salary may request such leave from the provost or executive vice president and chief operating officer, depending upon the reporting structure, on the recommendation of the department head, chair, or supervisor and the dean (or appropriate administrator). The period of requested leave cannot exceed two years. The request must be made with sufficient notice to allow time to secure a qualified replacement. The request should include the reason for the leave, whether for personal reasons or because of an opportunity for further professional development.

When leave approval is granted, a date is specified by which any request for extension of the leave or notification of intent not to return to the university at the conclusion of the leave is required. The granting of the leave or of any extension is dependent on the interests of the university and those of the faculty member. Consult with Human Resources to determine what benefits may be purchased.

### 11.2.11 Disaster Relief Leave

Department heads, chairs, and supervisors may grant release time to faculty when they are formally called to provide disaster relief services because of their specialized skill or training. Release time for faculty is not recorded in the leave system. For audit purposes, a record of time off should be noted in the faculty member’s departmental file, along with the written request.

### 11.3 Optional Benefits Programs Offered to Employees

There are several insurance plans and benefits programs, including, but not limited to, health insurance, retirement, disability, and life insurance, available for faculty members. Some have a portion of the premiums paid by the university; others are the employee’s responsibility.
11.3.1 Health Insurance

Health insurance is an optional program available to all full-time and eligible part-time faculty and staff members. Coverage is offered for the member’s spouse and for eligible dependents through the end of the calendar year that they reach age 26. Employees may participate in the state employees’ health insurance plans by contacting the Human Resources Service Center.

For employees who work at least .75 FTE the employer pays a major portion of the employee’s health care premium. Employee plus one and family coverage is also available under this plan. Employees whose FTE is between .50 and .74 are eligible to enroll in a health care plan, however the employee pays 100% of the premium.

Newly eligible employees (newly hired or rehired) must request enrollment within 30 calendar days to enroll in a health plan and/or flexible spending accounts (FSA) offered by the state. If the enrollment action is received within the 30-day calendar timeframe, coverage will be effective the first of the month coinciding with or following the date of employment. The 30-day countdown period begins on the first day of employment. For employees whose employment starts on the first day of the month, and who have completed an application within 30 calendar days, the coverage will begin on their date of hire.

Status changes to an eligible position have up to 60 calendar days to enroll in a health plan offered by the state. The 60-day countdown period begins on the date of the status change. Coverage will be effective on the first of the month following receipt of the request or following the event, whichever is later. When the later date is the first of the month, changes are effective that day.

Enrollment or enrollment changes cannot be made outside of the open enrollment period unless there is a qualifying mid-year event such as marriage, divorce, birth, or adoptions. Enrollment must be made within 60 calendar days of the qualifying event.

Open enrollment is usually held during the month of May each year for employees desiring to enroll or to make changes in their health care program. Any enrollment or changes made during open enrollment are effective on July 1.

11.3.2 Health Flexible Spending Account

Salaried faculty members who work at least 20 hours per week (.50 FTE) are eligible to enroll in the commonwealth’s health flexible spending account (FSA), which allows them to set aside part of their income on a pre-tax basis and then use that money to pay for eligible out-of-pocket health care expenses for themselves, a spouse, and dependents. The minimum that may be set aside is $10 per pay period; the annual maximum is established by the IRS and may change from year to year. A monthly pre-tax administrative fee does apply.

New faculty (with the exception of transfers from other state agencies) must request enrollment within 30 calendar days to enroll in the health FSA. Each year during open enrollment in the spring, faculty may renew FSA accounts or elect to enroll for the first time. Changes made during open enrollment are effective the following July 1. Certain qualifying mid-year events may be
made outside the open enrollment period if the request for change is made within 60 calendar days of the qualifying event. Contact the Human Resources Service Center about specific qualifying mid-year events for family status change.

11.3.3 Dependent Care Flexible Spending Account
Salaried faculty who work at least 20 hours per week (.50 FTE) are eligible to enroll in the commonwealth’s dependent care flexible spending account (FSA), which allows them to set aside part of their income on a pre-tax basis to pay for eligible dependent care expenses throughout the coverage period for the care of a child, disabled spouse, elderly parent, or other dependents who are physically or mentally incapable of self-care so that the faculty member (and spouse) can work or actively seek work. The minimum that may be set aside is $10 per pay period; the annual maximum is $5,000 per year established by the IRS and may change from year to year. A monthly pre-tax administrative fee does apply.

Faculty employees (with the exception of transfers from other state agencies) must request enrollment within 30 calendar days to enroll in the dependent care (FSA). Each year during open enrollment in the spring, faculty may renew FSA accounts or elect to enroll for the first time. Changes made during open enrollment are effective the following July 1. Certain qualifying mid-year events may be made outside the open enrollment period if the request for change is made within 60 calendar days of the qualifying event. Contact the Division of Human Resources Service Center about specific qualifying mid-year events for family status change.

11.3.4 Tax-Deferred Investments/Deferred Compensation/Cash Match
These programs offer opportunities for employees to invest a portion of their salaries and/or wages on a pre-tax or post-tax basis. Full-time or part-time salaried faculty and staff may be eligible for the employer-paid cash match program. Contact the Human Resources Service Center for detailed information. Information is also available on the Human Resources website under Human Resources Retirement page.

11.3.5 Optional Term Life Insurance
Optional term life insurance for the faculty member, the spouse, and children is available through the optional term life insurance program. If you apply for optional term life insurance within 31 days from the date of employment, you may receive all options, up to a maximum death benefit of $400,000, without medical underwriting. Coverage may be applied for outside of the 31 days, but medical underwriting will be required. The coverage is provided by Securian Financial.

11.3.6 New York Life Insurance Company
New York Life Insurance Company offers a guaranteed issue whole life insurance. After the initial enrollment period in 2015, only new hires and those who initially elected to take at least a minimum $5,000 policy will be allowed to add to their coverage on a guaranteed basis. New York Life whole life insurance is an optional program available to full-time faculty and staff members who meet eligibility requirements.
Employees can purchase a minimum $5,000 to a maximum $100,000 of death benefit on a guaranteed issue basis. Spouses, domestic partners, children, and grandchildren are eligible for a minimum $5,000 and maximum $25,000 of death benefit with no medical questions if the employee participates.

**11.3.7 Long-Term Care Insurance**
Genworth Life Insurance Co. offers long-term care insurance coverage, under the Commonwealth of Virginia Voluntary Group Long Term Care Insurance Program, which assists with costs related to long-term care services such as nursing home care or at-home care to assist with bathing, eating or other activities of daily living which may not be covered by most medical plans. Participant-paid coverage provides a monthly benefit allowance for covered long-term care expenses. Employees do not have to be a VRS member to be eligible, and family members may also apply for coverage.

**11.3.8 Legal Resources**
Legal Resources is an optional benefit that may be purchased which provides comprehensive legal services and representation for the employee, spouse and dependent children paid at 100% percent for the most often-needed legal services. Other services are offered at a 25%-percent discount. New employees may enroll within 60 days of employment and all other changes to coverage may be made during open enrollment, which for this benefit is annually during the month of September.

**11.3.9 Aflac**
Aflac offers several supplemental insurance plans that pay cash benefits to help with expenses due to injury or illness. The cost of these plans will vary based upon the level of benefits purchased. The benefits are pre-determined and paid regardless of any other insurance that an individual may have. Aflac offers the following plans: accident plan, cancer plan, critical care, hospital protection, and short-term disability. Aflac is an optional program available to faculty and staff members on at least a half-time appointment.

New hires may enroll within 30 days and all other changes may be made during open enrollment, which for this benefit is held annually during the month of September.

**11.3.10 Accidental Death and Dismemberment Insurance**
Accidental death and dismemberment insurance is an optional program available to faculty and staff members on at least half-time appointment. The policy is with Zurich.

Accidental death and dismemberment insurance is available in multiples of $5,000, in a range of benefits from $10,000 to $250,000. The employee pays the entire premium. Coverage is effective on the first day of the month following the month in which the application is received by Human Resources. An employee may enroll at any time in this program.
This coverage has full 24-hour, 365-days-a-year protection against accidents occurring during business or pleasure. The insurance includes accidents whether on or off the job, occurring in or away from the home, or traveling by public or private transportation. The benefits provided under this plan are payable in addition to other insurance that may be in effect at the time of accident. There are no geographical limits on this coverage. This policy also provides travel-assist coverage at no additional cost.

11.3.11 Employee Assistance Program
The Employee Assistance Program (EAP) is a counseling and referral service available to faculty and staff to help deal with a range of problems that might have an impact on their work lives as well as personal lives. The EAP provides confidential short-term intervention, assessment, and referral services for benefitted employees. Employees may self-refer to the EAP. A supervisory referral can be made when a work performance or work site problem exists. Supervisors must consult in advance with Employee Relations in Human Resources on appropriate ways to address the issue with the employee.

The Employee Assistance Program is part of the health benefits program provided by the Commonwealth of Virginia, which contracts with a provider of mental health and behavioral management services. The contract provides employees with several free counseling sessions with a mental health professional certified by the approved EAP contractor. The cost of additional services, beyond the specified number of free sessions, is the responsibility of the employee.

With appropriate approvals by senior administrators, an employee may be referred for a mandatory fitness-for-duty examination in cases where the employee poses a hazard or risk to self or others, or if a determination of the employee’s medical or psychological fitness to perform the essential job functions is needed. A supervisor who is considering a mandatory EAP referral must first have the approval of the vice president for human resources or designee, as well as the relevant vice president or designee for faculty.

11.3.12 Charitable Deductions
Payroll deduction may be made for participation in the Commonwealth of Virginia Campaign (CVC), which provides contributions to many national, state, and local social and health charitable organizations, including several local United Way organizations.

11.4 Special Programs
All employees are covered against job-related illness/injury by the Commonwealth of Virginia Worker’s Compensation. Employees who lose their job through no fault of their own are eligible to apply for unemployment insurance through the Virginia Employment Commission.

11.4.1 Unemployment Insurance
All employees of the university are covered by unemployment insurance. If for some reason employees become unemployed by no fault of their own, they may qualify for this insurance. If
employees lose their jobs, they should contact the Virginia Employment Commission immediately to file an unemployment claim.

11.4.2 Severance Benefits
The university provides severance benefits for eligible faculty who are involuntarily separated due to budget reduction, agency reorganizations, or workforce downsizings for reasons unrelated to performance or conduct. Faculty hired on restricted appointments funded from sponsored contracts or grants, or term appointments with a specified ending date, regardless of funding source, are not eligible to receive severance benefits. Non-reappointments and voluntary resignations for any reason are not deemed “involuntary separation” for purposes of the severance policy.

11.4.3 Workers’ Compensation Program
All employers are required to provide protection to their employees for job-related injuries, illnesses, or loss of life. The purpose of the workers’ compensation program is to ensure that all university employees with injuries or illness arising out of and during the course of employment with the university are offered fixed, certain, and speedy relief. The Commonwealth of Virginia workers’ compensation services are provided by Managed Care Innovations, LLC, Workers’ Compensation Department, P.O. Box 1140, Richmond, VA 23208-1121.

11.4.3.1 Reporting Work-Related Injuries
In the event of a job-related injury or illness, Policy 4415, “Workers’ Compensation,” provides procedures the employee and supervisor should follow. An injured employee is required to report an accident or illness to the direct supervisor as soon as possible. Once an employee reports a job-related injury, the supervisor must file the employer’s accident report within 24 hours of the occurrence. A claims adjuster from Managed Care Innovations, LLC, the university’s worker’s compensation carrier, will be assigned to handle the claim.

CHAPTER TWELVE
VIRGINIA TECH CARILION SCHOOL OF MEDICINE FACULTY

12.0 Virginia Tech Carilion School of Medicine (VTCSOM) Faculty
Tenure track and tenured faculty members, see chapter three for policies pertaining to faculty members employed by Virginia Tech who are on the tenure track or tenured. “Employment Policies for Tenure-Track and Tenured Faculty.”

Virginia Tech will grant tenure to faculty members with appointments in the Virginia Tech Carilion School of Medicine who are employed by the university through a department in the VTCSOM
and whose promotion and tenure materials have been reviewed and found to meet the rigorous departmental, VTCSOM, and university standards.

VTCSOM faculty members are of two types: faculty employed by the university or faculty employed by other entities (in most cases the Carilion Clinic). At all times, regardless of employer, faculty members providing instruction, academic support, or performing academic duties or roles as a VTCSOM faculty member are governed by the university’s policies and procedures.

All faculty members employed by Virginia Tech, fully or in part, are subject to employment policies stipulated in the Faculty Handbook. Faculty members with assigned duties in the VTCSOM, but not employed by Virginia Tech, are subject to the employment policies of their employer(s), but the VTCSOM has sole responsibility for assigning duties, including discontinuation of assignment, in accordance with governance procedures stipulated in VTCSOM bylaws.

12.1 Virginia Tech Carilion School of Medicine Faculty Appointments

Regular* Faculty: A member of the faculty may have a primary appointment to the VTCSOM in a tenure-to-title track or non-tenure-to-title track. Ranks are assistant professor, associate professor, or professor.

Regular* Primary: A primary appointment includes a substantial commitment to the mission of the VTCSOM with regular engagement in teaching and service to the VTCSOM, and the pursuit of scholarship in medicine.

Instructional Faculty: Instructional faculty members have an appointment to the VTCSOM in the rank of adjunct assistant professor, adjunct associate professor, adjunct professor, clinical preceptor, instructor, or senior instructor.

VTCSOM Faculty Appointments and Ranks

<table>
<thead>
<tr>
<th>Regular* Appointment</th>
<th>Appointment Description</th>
<th>Rank</th>
</tr>
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<tbody>
<tr>
<td>Tenure-to-Title Track</td>
<td>Primary appointment within the medical school on the tenure-to-title track; possess a substantial commitment to the mission of VTCSOM, regularly engage in teaching and service to VTCSOM, and pursue scholarly activities in medicine.</td>
<td>Eligible for promotion as experience and accomplishment warrant to the following ranks: Assistant Professor, Associate Professor, Professor</td>
</tr>
<tr>
<td>Non-Tenure-to-Title Track</td>
<td>Primary appointment within the medical school on the non-tenure-to-title track; possess a substantial commitment to the mission of VTCSOM, regularly engage in teaching and service to VTCSOM, and pursue scholarly activities in medicine.</td>
<td>NA</td>
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<table>
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<tr>
<th>Instructional Appointment</th>
<th>Appointment Description</th>
<th>Rank</th>
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<tbody>
<tr>
<td><strong>Adjunct</strong></td>
<td>Current or previous appointment with another academic institution; defined role in teaching or mentoring medical students. Must possess a doctoral or other terminal degree. Appointments are typically for up to three years and may be renewed. Ineligible for tenure-to-title, but eligible for reappointment.</td>
<td>Assistant Adjunct Professor Associate Adjunct Professor Adjunct Professor</td>
</tr>
<tr>
<td><strong>Clinical Preceptor</strong></td>
<td>Faculty members who teach medical students primarily in a clinical setting. Clinical Preceptors are physicians with a MD, DO, MBBS, or equivalent degree. Appointments are typically for up to three years and may be renewed. Ineligible for tenure-to-title, but eligible for reappointment and promotion.</td>
<td>The Clinical Preceptor title does not change, even with prolonged service, unless a promotion is granted.</td>
</tr>
<tr>
<td><strong>Instructors and Visiting Faculty</strong></td>
<td>Instructors are faculty members who may not have doctoral level degrees but have instructional roles with students. Senior instructors are faculty members with doctoral degrees and have a significant instructional role with students. Ineligible for tenure-to-title, but eligible for reappointment and promotion. Visiting faculty members are individuals who are applying for a faculty position, but for whom the opportunity to instruct medical students is anticipated before the faculty appointment process is completed. Appointment as Senior Instructor or Instructor may be up to three years. The appointment as a Visiting Instructor is for no more than six months. Ineligible for tenure-to-title, but eligible for reappointment and promotion.</td>
<td>Instructor Senior Instructor Visiting Instructor</td>
</tr>
</tbody>
</table>
*Note: the term “regular” for VTCSOM faculty appointments is distinct from the use of the same term in chapter two of this handbook where it is used to distinguish faculty appointments with opportunity for renewal from those appointments that are “restricted” and that have an end date such as research faculty whose salaries are paid from external funding, visiting professorships or other temporarily available faculty positions.

12.2 Tenure-to-Title Track Faculty Appointments

Tenure-to-title is the conferring of permanent appointment to VTCSOM. Tenure-to-title is recognition by the VTCSOM of service and accomplishment of the faculty member and represents the expectation of continued exceptional service and accomplishment by the faculty member.

Tenure-to-title is awarded in recognition of a body of accomplishment in teaching, clinical care (if relevant), and scholarship, and in acknowledgment of service to the missions of VTCSOM. As the criteria for tenure-to-title are virtually identical to criteria for promotion, tenure-to-title typically is awarded at the time of promotion.

Tenure-to-title is granted at the discretion of the VTCSOM without any right to, interest in, or expectation of any compensation or guarantee for compensation or future employment and is granted only in the VTCSOM to individuals who are not employed by Virginia Tech.

Once conferred, tenure-to-title is subject to review by the department and school committees on appointment, retention, promotion, and tenure (to title) and can be rescinded for imposition of a severe sanction or dismissal for cause.

Each VTCSOM department shall establish and communicate written guidelines for promotion and tenure-to-title for all applicable categories of appointment. Departmental guidelines must be consistent with VTCSOM and all relevant university promotion guidelines.

12.3 Department and VTCSOM Evaluation for Tenure-to-Title and/or Promotion in Rank

The tenure-to-title and/or promotion in rank dossier is reviewed at three levels: (1) by an appropriately charged departmental committee and the department head or chair, (2) by an appropriately charged VTCSOM-level committee and the dean, and (3) by the provost. The department head or chair and dean make separate recommendations to the subsequent review levels. The provost reviews VTCSOM committee and dean recommendations and makes recommendations to the president. The Board of Visitors grants final approval.

Each department will establish a committee and process with appropriate faculty representation to evaluate candidates for promotion and/or tenure-to-title sent by the chair of the department. The department chair may chair the committee or remain separate from the committee’s deliberations and subsequently receive its recommendations. A faculty member may not participate in the evaluation of a spouse, family member, or other individual with whom the faculty member has a close personal relationship.
The VTCSOM committee reviews the candidates recommended by the departmental committee and/or chair. The VTCSOM committee makes a recommendation on each candidate to the dean. The division of the vote at both the departmental and VTCSOM levels is conveyed to the provost and remains confidential.

If requested by the dean, the VTCSOM committee reviews cases receiving negative recommendations by both the departmental committee and the head or chair. The purposes of the review are to verify that the recommendations are consistent with the evidence, reflect VTCSOM standards, and consider the goals, objectives, and programmatic priorities of the VTCSOM and university.

12.4 Conflicts of Commitment and Interest
In addition to university policies, VTCSOM faculty members are, as appropriate, subject to the Standards for Commercial Support as promulgated by the Accrediting Council for Continuing Medical Education (AACME).

12.5 Additional Policy Obligations
Individuals with appointment to the VTCSOM faculty are subject to all relevant and appropriate sections of the Virginia Tech Faculty Handbook and university policies. Including Faculty Handbook section 2.11, Professional Responsibilities and Conduct; and section 3.6, “Imposition of a Severe Sanction or Dismissal for Cause”.

CHAPTER THIRTEEN
EMERGENCY PREPAREDNESS

13.0 Virginia Tech Emergency Management
Introduction
——540-231-4873
——oem@vt.edu
——emergency.vt.edu

Students look to the person at the front of the room for leadership, anticipating that the instructor will know what to do if an emergency occurs. This chapter provides a framework for faculty to prepare for such occurrences. For additional information, please contact Virginia Tech Emergency Management (VTEM) at 540-231-4873 or oem@vt.edu.

13.1 During Any Emergency
Preparing to Lead
Students look to the person leading the class for direction, especially in an emergency.
• Review basic emergency preparedness during the first week—10 minutes of pre-planning can save lives. Contact Virginia Tech Emergency Management at 540-231-4873 or oem@vt.edu if you need assistance. Visit emergency.vt.edu for additional resources.

• Remind students to update emergency contact information on Hokie SPA and to sign up for VT Alerts at alerts.vt.edu.

• Download the HOKIE READY preparedness app.

• Dial 911 to report any emergency from the classroom, lab, office, or other location.

• Individuals with disabilities—who self-identify—may provide information on special assistance needs if an emergency occurs. They could need assistance leaving a building during an evacuation.

• In an emergency, lead by example and follow emergency procedures.

13.1.1 Know your environment

• Know the spaces in which you work, instruct, and conduct research. Identify two or more exit routes from each one in case you need to evacuate.

• Be familiar with the Emergency Action Plan Building Annex for each building you frequent.

• Become weather aware. Make it a habit to check the forecast each day so you know when severe weather is likely.

13.1.2 Know what to do in an emergency

• Become familiar with the information in this chapter. Keep it with you as a reference.

• Consider how you would take different protective actions in your office, teaching, and research spaces.

• Become Hokie Ready. Review the preparedness material on VTEM’s web site (https://emergency.vt.edu/ready.html) and consider what steps you can take to ensure your personal safety and to help create a resilient university community.

13.1.3 Have the tools you need to receive and disseminate information

• Sign up for VT Alerts, (https://subscribe.alerts.vt.edu/). Set an annual calendar reminder to verify your contact information in the system.

• Make it a habit to bring a charged cell phone to class, your lab, or other work location.

• In your cell phone or in hardcopy, maintain a list of important contact numbers (e.g., department leadership, lab supervisors).

• Download the Hokie Ready app (https://emergency.vt.edu/programs/HokieReadyApp.html).

13.2 Preparing Students

Ensuring students have basic emergency preparedness information will prime them to follow your lead if an emergency occurs. Ten minutes of preparedness can save lives! During the first week of the semester, review the following items with your students:

• What to do in an evacuation;
• What to do when instructed to Shelter-in-Place;
• What to do when instructed to Secure-in-Place;
• Remind students of VT Alerts and the Hokie Ready app.

13.3 During an Emergency

Project a calm demeanor. Lead by example and follow emergency procedures or take protective actions as instructed by VT Alerts or emergency personnel. Students and bystanders will take their cues from authority figures.

Report the emergency as soon as you can do so safely. Dial 9-1-1 from the classroom, lab, office, or any other campus location. Not all VOIP phones will work during power outages. Interior emergency phones (blue wall boxes) will work during power disruptions to the building.

13.2-4 Reporting an Emergency

Dial 911 for police, fire, or emergency medical services. Remain calm—you actions will influence others. When communicating with the 9-1-1 dispatcher:

- Provide your location—the more precise, the better. Tell the dispatcher you are at Virginia Tech, give the street address, building name, and room number.

- In case you are disconnected, give your full name and the telephone number from which you are calling, in case you are disconnected.

- Describe the nature of the emergency clearly and accurately.
- Do not hang up the telephone. The dispatcher may need additional information or may be needed to provide you with further assistance.
- If possible and safe to do so, have someone else meet emergency personnel outside of the building.

13.3 Prepare

In addition to your daily class materials, carry:

- A charged cell phone. Make sure you have signed up for VT Alerts in advance.
- A list of important telephone numbers (i.e., department leadership, lab supervisors if applicable, etc.).

13.4-5 Medical Emergency

- Create space for the affected individual(s) and emergency personnel
- Do not move an injured person before responders arrive unless they are at greater risk by remaining
- Call 911
- Have someone meet and direct emergency personnel to the site
• **9-1-1** dispatchers can give you instructions to help. Such as: Only those trained properly should provide first aid or CPR or bleeding control techniques.

### 13.5.6 Secure-in-Place

The intent of securing in place is to put barriers between yourself and an assailant and to deny them access to you. Virginia Tech will send a VT Alert advising you to secure in place if an active, potentially violent, incident is occurring that requires you to act. To secure in place:

- **Remain calm**
- **If indoors, inside:** lock the room door and/or place a barricade between yourself and the violence or danger.
- **If outdoors, outside:** seek safety in an interior space in the nearest unlocked building. Lock and/or barricade the door. If buildings are locked, move away from the danger or leave campus if it is safe to do so.
- Turn off lights and any A/V equipment, silence phones (but keep them on), draw blinds, and move away from windows and doors.
- Await further instruction from VT Alerts and/or emergency personnel.
- **DO NOT** leave until VT Alerts and/or emergency personnel provide instructions lifting the Secure-in-place alarm “All Clear” is instructed by first responders.

### 13.6.1 Controlling Entry to a Secure Location

If there is any doubt about the safety of the individuals inside the room or building, the area needs to remain secure. Allowing someone to enter a secure location may endanger you and others who are already safe. Use good judgement before opening a secure door. Factors to consider: If there are individuals outside the secured door who wish to get in, consider several factors to determine if it is safe:

- Can you see the area outside the door to determine that someone is not lying in wait or that the person attempting to gain access if the individual is under duress or might they be lying in wait? If you have a description of the subject, consider similarities such as:
  - Compare the person wanting entry to the description provided by the secure-in-place alert. Consider age, race, clothing description, height, weight, sex, hair, and eye color.
  - If occupants of a secure location decide to let a person in, consider the following: How quickly can the area be re-secured? Have the person leave anything he or she is carrying (a backpack, laptop case, package, etc.) on the ground, outside of, and away from, the secure area.
  - Have the person lift up their shirt, coat or jacket until the waistline is visible and rotate 360 degrees to see if they might be concealing a weapon.
- Remember, always use your best judgement. There are exceptions to all guidance and prescribed directions.
13.7 Run, Hide, Fight
If you witness, or are directly confronted with, an active threat of violence, you should take immediate protective actions. The following are three distinct actions you can take based on the situation occurring:

- **Run** – Move as quickly as you can away from the known location of the violent actor. Evacuate the room, building, or space and continue well away from the incident until you are reasonably assured of your safety. Do not call 9-1-1 while evading the threat – focus on getting away and then call 9-1-1 to report the incident. Encourage others to go with you, but do not wait for them.

- **Hide** – If you are not able to Run immediately, you should seek cover and concealment as quickly as possible. If possible, select a location that you can lock or barricade to place physical barriers between you and the threat. Avoid trapping yourself by having more than one way out if needed. Consider your options to Run or Fight as the situation changes.

- **Fight** – You may need to physically defend yourself from the assailant. There is no fair fight. Be aggressive and decisive. You can disrupt the assailant and then Run or Hide, as appropriate.

These are distinct options you can use depending on the situation. Apply problem solving skills and use the actions you believe appropriate at the time. You may need to Hide to Run, or Hide, then Fight, then Run. Create distance and barriers between yourself and the threat wherever possible and commit to your own successful outcome. Taking action and applying your best judgement are the most important tools you have in these situations.

13.7.8 SHELTER-in-Shelter in Place
The intent of sheltering in place is to put barriers between yourself and an environmental danger. Virginia Tech will send a shelter in place message if a severe weather incident or similar situation is occurring, but do not wait for a VT Alerts notification if you become aware of an incident first. Shelter-in-place events are usually weather-related emergencies. During a tornado, seek shelter on the lowest level possible.

- **To shelter in place:**
  - Remain calm
  - **DO** Do NOT Not wait to see a tornado or severe weather event before you react. Do not go outside to check the weather conditions.
  - Seek shelter in the closest building. **The best shelter for severe weather is on the building’s lowest level,** in an interior room or corridor, and away from windows, glass, and unsecured objects that may fall.
  - **DO** Do NOT Not lock doors – do so may prevent in case others need to from reaching shelter in place.
• Avoid sheltering in large free-standing spaces such as auditoriums and gymnasiums.
• **DO** Do **NOT** Not use elevators.
• Await further instruction from VT Alerts and/or emergency personnel first responders.
• **DO** Do **NOT** Not leave until VT Alerts and/or emergency personnel provide “All Clear” instructions.

### 13.8.1 Weather Definitions

The National Weather Service uses “watch” and “warning” in its weather communication to differentiate between possible weather hazards and those which are occurring now.

**Watch:** Conditions are favorable for the development of severe weather. Closely monitor the situation in case conditions worsen.

**Warning:** Severe weather has been observed. Listen closely to instructions provided by weather radios, emergency officials, and other alert mechanisms. Seek shelter immediately.

### 13.9 Evacuation

Evacuation routes are posted in hallways, usually near stairwells or exits.

• Know two evacuation routes. Use EXIT signs to determine primary and secondary exits.
• Fire alarms are mandatory evacuations. Do not use elevators unless authorized by emergency personnel.
• Encourage everyone to leave the building – do not wait for those who refuse to leave.
  Inform first responders of those that are in the building.
• **Once you have evacuated, Keep keep** your class together. **If possible and safe, proceed to the designated assembly point, or Stay-stay** 50 feet from the building to allow access for emergency personnel.

### 13.10 Persons with Disabilities Access and Functional Needs

Persons with access and functional needs may need assistance taking protective action during an emergency. Those who voluntarily disclose their status may be able to communicate their assistance needs before an incident occurs, and they may also need help planning for emergencies. If you have access and functional needs, consider:

• How you will be affected by situations that are common during emergencies, such as reduced visibility or inoperable telephones and elevators;
• How you will become aware of an emergency through direct observation or communication;
• How you will take protective action (e.g., Secure-in-Place, Shelter-in-Place, Evacuation) during an emergency; and
• Whether you will need assistance to take that action.
Students with access and functional needs may not have considered these factors. They also may be accustomed to academic environments in which authority figures already know their needs. Common support needs may include:

Services for Students with Disabilities 540-231-3788 and/or Equity and Access at 540-231-2010.

Ask students to self-identify in confidence if they require special assistance during an emergency.

- **Auditory:** Individuals with hearing impairments may not hear alarms or verbal guidance. Use a note or hand gestures to communicate with them. Message Boards will display VT Alerts messages.
- **Visual:** Individuals with vision impairments may need verbal descriptions of a situation or the aid of describe the situation and act as a “sighted guide” to move to safety escort them to a safe location. Identify a “buddy” before an emergency. Buildings with Fire Alarm annunciators will audibly “speak” VT Alerts messages.
- **Mobility:** Individuals with restricted mobility may be unable to move to safety. If a person cannot safely leave the building during an evacuation, a “buddy” can accompany the individual to an area of refuge (e.g., a stairwell) without blocking the evacuation path. Do not attempt a rescue evacuation of an individual with restricted mobility unless the mobility impaired individual consents you have had the appropriate rescue training and the individual gives permission.

For more information, contact Services for Students with Disabilities at 540-231-3788 and/or Equity and Access at 540-231-2010.

13.11 Stay Informed

- **Virginia Tech Emergency Management** - emergency.vt.edu | 540-231-4873 | @BeHokieReady
- **Virginia Tech Police Department** - police.vt.edu | 540-382-4343 | @VaTechPolice
- **VT Alerts** - alerts.vt.edu | @vtalerts
- **Virginia Tech News** - news.vt.edu | @vtnews
- **National Weather Service** - weather.gov | @NWSBlacksburg
CHAPTER FOURTEEN
EXTENSION FACULTY WITH CONTINUED APPOINTMENT

14.0 Virginia Extension Faculty with Continued Appointment or on the Continued Appointment-Track

Virginia Cooperative Extension Faculty are of two types:

- **Extension Faculty with Continued Appointment**
  Ranks: assistant professor, associate professor, professor

- Extension Faculty with Administrative and Professional Faculty (A/P) appointment
  (Covered in chapter seven of the Faculty Handbook)

- **Extension Agent**
  Ranks: associate Extension agent, Extension agent, senior Extension agent

- **Extension Specialist**
  Ranks: associate Extension specialist, Extension specialist, senior Extension specialist

- **4-H Center Program Director**
  Ranks: associate program director, program director, senior program director

Extension faculty may or may not hold appointments in the college faculty. Specification of faculty rank in Extension does not imply a rank in a college department. Extension faculty may hold adjunct status in a college department to formally recognize their contributions to the undergraduate or graduate program.

They are, nonetheless, subject to high professional standards in the dissemination of knowledge through the Virginia Cooperative Extension programs and in the planning and delivery of educational programs and programs of assistance to industries and local governmental agencies. In these functions, Extension faculty members share many of the professional concerns of their collegiate colleagues, including the need for the protection of academic freedom in these responsibilities.

Continued appointment is the equivalent of tenure in a college. Extension faculty may hold continued appointment or may be on the continued appointment-track; just as college faculty may be tenured or on the tenure-track. Term appointments during a probationary period are the same as those for college faculty. Evaluation for continued appointment (in contrast to term appointment) is made no later than the sixth year of a probationary period.

An Extension faculty member with continued appointment can expect continued employment until retirement. Termination of employment is based only on unsatisfactory performance, proof of misconduct, discontinuance, or reduction in a segment of the university’s Extension programs, or reorganization because of changing patterns of programming.
If a position held by an Extension faculty member with continued appointment is eliminated or changes to such a degree that the incumbent can no longer fulfill the requirements, every effort will be made to reassign the faculty member to another position. If the position of an Extension faculty member with continued appointment is terminated, it will not be re-established and filled for two years unless the appointment was offered to and declined by the displaced faculty member.

Tenure awarded to any member of the Virginia Cooperative Extension faculty before July 1, 1983 continues to be recognized.

The University Promotion and Continued Appointment Committee reviews promotions in rank and/or continued appointment and makes recommendations to the provost. The provost makes recommendations to the president who makes recommendations to the Board of Visitors. Final approval of promotion and continued appointments rest with the Board of Visitors.

14.1 Continued Appointment Track and Continued Appointment Extension Faculty Ranks

14.1.1 Instructor on the Continued Appointment Track

The rank of instructor is for Virginia Cooperative Extension faculty on the continued appointment-track whose positions have been designated for continued appointment-track and who have not completed the terminal degree. Annual appointments may be renewed within the limits of a probationary period.

Ordinarily, continued appointment would not be awarded at the instructor rank, although time spent at this rank counts in the probationary period leading to continued appointment. A master’s degree or significant professional experience is the minimum expectation for appointment at this rank.

The unit chair with the approval of the director, dean, provost, and president may recommend Extension instructors who complete their terminal degree for promotion. Final approval for Extension promotions rests with the Board of Visitors.

Promotion of Extension faculty to the ranks of associate or professor is conducted in accordance with procedures outlined below.

14.1.2 Assistant Professor

The rank of assistant professor is the usual rank of initial appointment for faculty on the continued appointment-track. Appointment to the rank of assistant professor carries with it professional responsibilities in learning, discovery, and engagement. An assistant professor may be assigned responsibility for teaching graduate courses and for supervising master’s theses and dissertations, as well as serving on graduate student committees. The terminal degree appropriate to the field is expected for appointment to this rank. Information on qualification
credentials for instruction is in chapter two, “Qualification and Teaching Credentials for Instructors of Record,” and on the provost’s Faculty Credentials page.

14.1.3 Associate Professor
In addition to the requirements for assistant professor, a person appointed as associate professor must have demonstrated substantial professional achievements by evidence of an appropriate combination of outstanding teaching, creative scholarship, and recognized performance in Extension, outreach, or related academic and professional service.

14.1.4 Professor
In addition to the requirements for associate professor, appointment to the rank of professor is contingent upon national recognition as an outstanding scholar and educator.

14.1.5 Emeritus or Emerita Designation
The title of emeritus or emerita is conferred on retired professors, associate professors, administrative officers, faculty with continued appointment, and senior Extension agents who have given exemplary service to the university, and who the president recommends to the Board of Visitors for approval. Policy 4405, “Emeritus/Emerita Faculty,” provides guidance concerning emeritus or emerita status and continued involvement in the life of the university.

14.2 Appointments with Continued Appointment
An appointment with continued appointment may be made with the review and approval of the department head or chair, the divisional promotion and continued appointment committee, the director of Extension, a subcommittee of the university promotion and continued appointment committee, the provost, and the president. Ultimately, final approval rests with the Board of Visitors.

The director forwards to the provost and president for their consideration and decision: the candidate’s application package, including cover letter, curriculum vitae, and at least two letters of reference which address the appointment of rank and continued appointment; documentation of the division-level promotion and continued appointment committee’s approval of rank and continued appointment, and concurrence of the dean or director with as much supporting evidence as deemed appropriate; and a brief overview of the search: how many candidates applied, were interviewed, and what is the compelling case for the candidate.

In general, faculty recruited from a comparable university should be recommended for a position at Virginia Tech at a similar level with continued appointment. If the recommended appointment involves a promotion or the initial awarding of continued appointment or is coming from a university with a less extensive research mission, the case must be strongly justified.
14.2.1 Part-Time Continued Appointment and Continued Appointment-Track Appointments

While continued appointment and continued appointment-track appointments are usually full time, Virginia Tech recognizes the importance of allowing flexibility in the percent of employment so that faculty members can better manage the balance between their professional work and family or personal obligations over a defined period, or perhaps permanently. This policy is intended to encourage departments to accommodate reasonable requests for part-time appointments; however, part-time appointments are not an entitlement, and requests may be turned down when the faculty member and the department cannot agree upon a workable plan.

When conducting a search for a continued appointment-track position, departments continue to advertise for full-time continued appointment or continued appointment-track positions and must have funding for a full-time hire. Advertisements include information about university policies for flexible appointments. If desired, the faculty member requests and negotiates a part-time appointment at or after the point of hire if acceptable to the department.

Continued appointment-track faculty members may request a part-time appointment only for reasons of balancing work and family such as the arrival or care of a child, the care of a family member, or for personal circumstances related to the health of the faculty member. In addition, they may request a term part-time appointment only (with specific starting and ending dates) allowing the issue to be revisited on a defined cycle. While such term appointments can be renewed throughout the probationary period, a permanent part-time appointment may not be granted until continued appointment is awarded.

Faculty members with continued appointment may request either term or permanent part-time appointments for reasons stated above, or to balance work at Virginia Tech with professional practice or significant community or public service, for example, a professor who wishes to serve as a consultant in addition to an appointment at Virginia Tech; a professor who wishes to engage in entrepreneurial activity outside of university responsibilities; or a professor who runs for public office for a limited term and wishes to reduce the workload at Virginia Tech for that period. Other reasonable justifications may be considered if approved by the department head or chair, University Libraries dean or director of Extension, and provost.

14.2.1.1 Part-Time Term Continued Appointment and Continued Appointment-Track Appointments

Part-time continued appointment and continued appointment-track appointments are either term or permanent. Term part-time appointments are in increments from one semester up to two years. During the duration of a part-time term appointment, terms of the appointment are only changed via the agreement of all parties. A term agreement must specify the date on which the faculty member is expected to return to full-time status. Renewal of a term appointment should be negotiated no less than three months before the end of the current term so that the department can plan accordingly. For term part-time appointments, departments can use the salary savings to replace the work of the faculty member on part-time appointment.
Only the faculty member may initiate a request for conversion from full-time to part-time appointment. The reasons for the request for a change in the percentage of appointment should be clearly stated. The department head or chair supervisor should make a careful assessment of the needs of the department and works with the faculty member requesting the part-time appointment to facilitate the request whenever possible. The period for which this part-time appointment is granted shall be clearly stated (renewable terms from one semester up to two years, or permanent).

The written agreement should include a careful and thorough statement of work expectations for the part-time appointment. Generally, faculty members continue to contribute to all areas of responsibility, but with reduced expectations for accomplishment proportional to the fractional appointment. Service responsibilities for faculty members on part-time appointments are generally proportional to their appointments. Faculty members on part-time appointments are not excused from regular departmental, division, or university service because of the part-time appointments.

The written agreement for either an initial appointment or a conversion of a full-time appointment to part-time status and any subsequent renewal requires the approval of the faculty member, department head or chair, University Libraries dean or director of Extension and provost.

An initial term part-time continued appointment, either continued appointment or continued appointment-track, may be approved to accommodate a dual career hire if funding is not immediately available to support a full-time position, or if the faculty member seeks a part-time appointment consistent with the intent of this policy. The expectation is that the subsequent reappointment, if recommended, is for a full-time position, unless the faculty member requests a renewal of the term part-time appointment in accordance with these guidelines. A part-time appointment created for a dual career hire is approved through the usual approval processes for dual career hires. (See chapter two, “Dual Career Program.”)

Faculty members on part-time appointments, whether term or permanent, retain all rights and responsibilities attendant to their appointment as a continued appointment and continued appointment-track faculty member.

14.2.1.2 Permanent Part-Time Continued Appointments

For permanent part-time continued appointments with no end date, a return to a full-time appointment is not guaranteed. If holding continued appointment, the faculty member remains entitled to the continued appointment on the part-time basis only. However, an increase in the percent of the appointment up to full-time may be renegotiated between the faculty member and department head or chair supervisor if mutually agreeable and funds are available. The department and the division determine the best way to cover the costs of the work in the case of conversion to a permanent part-time appointment.
Faculty members on part-time appointments, whether term or permanent, retain all rights and responsibilities attendant to their appointment as a continued appointment and continued appointment-track faculty member.

Part-time appointments are made for any fraction 50% or greater of a full appointment; faculty members receive proportional salary. Faculty members considering such appointments are strongly encouraged to meet with representatives in the benefits office in Human Resources to gain a clear understanding of the consequences of the change to their benefits. Office and laboratory space may be adjusted for longer term or permanent part-time appointments.

14.3 Continued Appointment and Promotion


Members of the Extension faculty not holding appointments in an academic department in a college may be considered for continued appointment or for promotion in faculty rank in recognition of appropriate professional accomplishments as noted in the sections above.

14.3.1 Continued Appointment Eligibility

Like tenure, continued appointment is for the protection of the academic freedom of University Libraries and Extension faculty who are engaged in creating new programs and scholarship. Eligibility for continued appointment consideration is limited to faculty members holding regular faculty appointments of 50% to 100% in the University Libraries or Virginia Cooperative Extension. Continued appointment is not granted to faculty members with temporary appointments. Individuals holding continued appointment who are appointed to administrative positions, however, retain the status and privileges of continued appointment.

14.3.2 Probationary Period and Progress Reviews

The term “probationary period” (“pre-continued appointment”) is applied to the succession of term appointments, which an individual undertakes on a full-or part-time regular faculty appointment, and during which evaluation for reappointment and for an eventual continued appointment takes place. The beginning of the probationary period for faculty members on term appointments is taken as July 1 or August 10 of the calendar year in which their initial full-time appointment begins, depending on whether they are on a calendar year or academic year appointment, regardless of the month in which their services are initiated. (The probationary period for new faculty appointed for spring semester begins the following fall even though the spring contract period officially begins December 25.)

Under usual circumstances, divisional promotion and continued appointment committees review the professional progress and performance of pre-continued appointment faculty members twice during the probationary period, usually in their second and fourth or third and fifth years. The
timing of the reviews depends upon the nature of the faculty member’s discipline and must be clearly indicated in written departmental policies. The terms of faculty offer (TOFO) identifies the initial appointment period. Pre-continued appointment reviews may be delayed if there is an approved extension as described below. Changes or variations in the standard review cycle must be documented in writing.

The initial review for a part-time faculty member should be no later than the third year of service (regardless of percent of employment) to give early feedback on their progress. At least two reviews should be conducted for part-time faculty members during their probationary period; more are recommended. The anticipated schedule for such reviews for appointment and for the mandatory review for continued appointment should be documented in writing as part of the agreement for the part-time appointment. Changes should be agreed upon and documented by the faculty member and the department.

Reviews are substantive and thorough. At a minimum, divisional promotion and continued appointment committees must review the faculty member’s relevant annual faculty activity reports, peer evaluations, and authored materials.

The pre-continued appointment reviews should analyze the faculty member’s progress toward promotion and continued appointment and offer guidance regarding future activities and plans. Pre-continued appointment faculty should be encouraged to develop a narrative about their scholarship goals with special emphasis on the place of their research and creative activity. Although this narrative may change across time, creating the context for their work can assist candidates in understanding how to continue to develop professionally in a national and international context in preparation for promotion and continued appointment. The dean or director, the mentor(s), and the divisional committee should engage in discussions with instructors and assistant professors across the probationary period to encourage professional growth and development of the candidate’s scholarly work.

All reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for the faculty member’s division-level file. In addition, the promotion and continued appointment committee and the director meet with the faculty member to discuss the review and recommendations. Individual faculty members are also encouraged to seek guidance and mentoring from senior colleagues. Pre-continued appointment faculty members bear responsibility for understanding division-level expectations for promotion and continued appointment and for meeting those expectations.

The initial appointment for instructors and assistant professors (or those appointed to higher ranks) without continued appointment is ordinarily for a period of not less than two years. Multiple-year reappointments may be subsequently recommended.

The maximum total period for full-time probationary appointments is six years unless an approved extension is granted. Decision about continued appointment, if not made earlier, is made in the
sixth year of the probationary appointment. If the continued appointment decision made in the sixth year is negative, a one-year terminal appointment is offered.

Pre-continued appointment faculty members may request a term part-time appointment as described in chapter fourteen, “Part-Time Continued Appointment and Continued Appointment-Track Appointments,” for reasons of balancing work and family or personal health issues. In such cases, the probationary period is extended proportionately. For example, two years of service at 50% percent counts as one year of full-time service. The term appointment may be renewed. (A permanent part-time appointment may be requested and granted following award of continued appointment.)

In determining the mandatory continued appointment review year for those with partial appointments, general equivalency to full-time appointments is expected, so that approximately five years of full-time equivalent service is expected prior to the mandatory continued appointment review year if no continued appointment clock extensions have been granted; six years if one year of extension is granted, and seven years if two extensions are granted. (In summing partial years of service, a total resulting in a fraction equal to or less than .5 is rounded down, and a fraction greater than .5 is rounded up.) However, review for continued appointment must occur no later than the tenth year of service, resulting in somewhat less full-time equivalent service (4.5 years) for a faculty member with 50% percent appointment throughout all nine probationary years prior to review. If denied continued appointment following a mandatory review, a one-year terminal appointment is offered.

Faculty members on part-time appointments may request a continued appointment clock extension in accordance with procedures described in “Extending the Continued Appointment Clock.” (Extensions are granted in one-year increments, not prorated by the part-time appointment percentage.) However, the extension is not approved if it results in a mandatory review date beyond the tenth year.

Up to three years of appropriate service at other accredited American four-year colleges and universities may be credited toward the six-year probationary period, as specified in “Guidelines for the Calculation of Prior Service.”

A faculty member on a probationary appointment who wishes to request a leave of absence consults with the director about the effect of the leave on the probationary period, taking into account the professional development that the leave promises. The request for leave addresses this matter and the provost’s approval of the leave request specifies whether the leave is to be included in the probationary period.

**14.3.2.1 Extending the Continued Appointment Clock**

A one-year probationary period extension is automatically granted to either parent (or both if both parents are continued appointment-track faculty members) in recognition of the demands of caring for a newborn child or a child under five newly placed for adoption or foster care. The request should be made within a year of the child’s arrival in the family.
An extension of the probationary period may also be approved on a discretionary basis for other extenuating non-professional circumstances that have a significant impact on the faculty member’s productivity, such as a serious personal illness or major illness of a member of the immediate family. In rare cases, extraordinary professional circumstances not of the faculty member’s own making may be acceptable justification for a probationary period extension, for example exceptional delays in providing critical equipment, laboratory renovations, or other elements of the committed start-up package essential to establishing a viable research program.

Faculty members who benefit from this policy are expected to fulfill their usual responsibilities during the probationary period extension unless they are also granted a period of modified duties or unless other arrangements are made. (See “Modified Duties.”)

Probationary period extensions are granted in one-year increments. A cumulative total of two years is usually the maximum probationary period extension for any combination of reasons. Requests should be made within a year of the qualifying event or extenuating circumstance. The provost may approve exceptions to these limitations.

Faculty members may only be evaluated two times for promotion and tenure or continued appointment. The two evaluations may each be in a non-mandatory year, but in the case of a second non-mandatory negative decision, the faculty member will not be allowed a third evaluation. If the second evaluation results in a negative decision, a one-year terminal appointment is offered.

Requests for a probationary period extension are submitted in writing to the department head or chair. (A form is available on the provost’s Faculty Forms page.) Approval is automatic for new parents. Documentation of medical reasons (other than childbirth or adoption) is required prior to approval; documentation of other extenuating circumstances may also be required. Approvals by the department head or chair, director, and provost are required for probationary period extensions. The faculty member may appeal denial of the request to the next higher level in their organizational reporting structure.

It is very important that all individuals and committees participating in continued appointment reviews understand that any individual who receives a probationary period extension must be held to the same standard—not a higher or more stringent one—to which other candidates without such an extension are held. This is also true in the case where the candidate’s dossier is considered on the original schedule for review. However, in this instance where an approved extension was granted but not utilized, the continued appointment review is not considered mandatory and can be conducted again in the subsequent year without penalty. A probationary extension also usually extends the time frame for each subsequent review and reappointment during the probationary period. For example, an extension granted prior to the fourth-year review and reappointment typically delays that review by one year.
14.3.3 Guidelines for the Calculation of Prior Service

At the time of a faculty member’s initial appointment to Extension, the director notifies the new faculty member of his or her standing regarding their continued appointment status. Excepting temporary appointments with limited terms, the faculty appointees are given clear notice of when their appointment will be considered for renewal and, if on the continued appointment-track, the length of the probationary period until mandatory consideration for continued appointment.

In this latter calculation, appropriate full-time service in another accredited four-year American college or university is credited toward probationary service at Virginia Tech only if the appointed faculty member requests such credit.

In such a request, all prior service is presented if undertaken after the faculty member completes the terminal degree appropriate to the field. A maximum of three years may be credited toward probationary service at Virginia Tech. The request must be made in writing within one year of the initial appointment. The specification of credit for prior service toward the probationary period is subject to the approval of the provost on the recommendation of the director of Virginia Cooperative Extension.

14.3.4 Evaluation for Promotion and Continued Appointment

Promotion to a higher rank or an award of continued appointment may be granted to faculty members on a regular faculty appointment who demonstrate outstanding accomplishments in an appropriate combination of learning, discovery, engagement, and other professional activities. Every faculty member is expected to maintain a current curriculum vitae, with copies filed with the Extension unit. The curriculum vitae together with annual faculty activity reports, student or client evaluations, copies of publications, reference letters, and other similar documents comprise a dossier, which furnishes the principal basis for promotion and continued appointment decisions.

The evaluation of candidates for continued appointment closely parallels the process for tenure consideration for college faculty, and incorporates the same, or similar, elements of procedure whenever relevant or reasonable. Given the small number of faculty members on the continued appointment-track, their dossiers are reviewed at two levels (rather than three as required for college faculty): first by the Extension promotion and continued appointment committee and/or the director of Virginia Cooperative Extension, and second by the University Promotion and Continued Appointment Committee and the provost.

Although some participants in the review process may serve at more than one level—for example, a departmental committee member may also serve on the divisional committee—participants may only vote once on a case. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Because the job descriptions and responsibilities of the candidates being considered do not conform to a single pattern or norm, it is not possible to set forth a statement of criteria with
reference to which all recommendations for promotion or continued appointment must be made. Nevertheless, members of the general faculty seeking continued appointment or promotion in faculty rank are generally expected to have records of outstanding accomplishment in an appropriate combination of the following categories:

**Professional responsibilities:** Carrying out the responsibilities of the position within the organizational unit by effective staff work, display of leadership, and a high degree of initiative.

**Research and scholarly activities:** Publishing in journals, presenting papers at professional meetings, developing other works of creative scholarship, organizing or chairing sessions at professional meetings, and carrying out instructional responsibilities or graduate student advising.

**University activities:** Participating in the conduct of the activities of the administrative unit and the university. Such service takes innumerable forms, including serving on committees or in faculty governance positions, or participating in seminars or conferences.

**External activities:** Participating in local, state, regional, and national professional associations. Such participation includes activities such as holding office, serving on committees, conducting workshops, serving on panels, and attending conferences, conventions, or meetings.

**Awards and honors:** Receiving awards, grants, and honorary titles or being selected for membership in honorary societies.

Activities and accomplishments in other appropriate areas, beyond these five, may be included in dossiers and are considered.

Extension faculty are expected to develop within this framework the performance criteria that are most relevant to the responsibilities of those units. These criteria serve both as an aid to faculty development and as a set of measures that the University Promotion and Continued Appointment Committee may apply.

The criteria by which faculty with part-time appointments are evaluated for continued appointment is the same as the criteria by which full-time faculty are evaluated. Promotion and continued appointment committees consider years of full-time equivalent service when reaching decisions, excluding any approved probationary period extensions granted under the extending the continued appointment clock policy.

Besides consideration of specific professional criteria, evaluation for promotion or continued appointment should consider the candidate’s integrity, professional conduct, and ethics. To the extent that such considerations are significant factors in reaching a negative recommendation, they should be documented as part of the formal review process.
14.3.4.1 Division-Level Evaluation for Promotion and Continued Appointment

Extension divisions have committees with appropriate faculty representation to evaluate candidates for promotion and/or continued appointment. They make recommendations to the director of Virginia Cooperative Extension. The director may chair their committees or remain separate from the committee’s deliberations and subsequently receive its recommendations. (See guidelines in chapter fourteen, “Composition of Extension Division-Level Promotion and Continued Appointment Committees.”)

The promotion and continued appointment committees review the cases of candidates for promotion and/or continued appointment, including those faculty members in the final probationary year. The director furnishes the committee with a dossier for each candidate.

14.3.4.2 Composition of Extension Division-Level Promotion and Continued Appointment Committees

Rules governing eligibility and selection of members to serve on the Extension Promotion and Continued Appointment (review committee), and operating guidelines for the review committees’ deliberations must be documented in written division-level policies, formally approved by the faculty.

Extension divisions determine who is eligible to serve on the review committees from among faculty members with continued appointment.

The review committee may include district directors; however, these members may not vote on cases from their districts since each has already had an opportunity to vote or make a recommendation on those candidates.

If possible, some significant element of faculty choice should be a part of the review committee selection procedure. Where small numbers make an election process impractical, the director appoints the representative.

If Extension district directors serve on the review committees, their total number is less than that of other faculty members.

Review committee appointments should be staggered to assure continuity from one year’s deliberation to the next. If possible, members should not serve for more than two successive terms.

Selection of the review committee chair is determined in accordance with policies approved by the faculty.

The director may be present at the Extension promotion and continued appointment committee deliberations. The director serves in an advisory capacity to the review committee to assure compliance with university procedures and fairness and equity of treatment of candidates. The
director does not vote on committee recommendations but provides a separate recommendation to the provost.

Faculty members appointed to serve on the University Promotion and Continued Appointment Committee are encouraged to observe the deliberations of the Extension review committee to better prepare for their roles but should not participate or attempt to influence the review committee’s recommendations.

14.3.4.3 Recommendations of Extension Divisional Promotion and Continued Appointment Committees

The review committee makes a recommendation on each candidate to the director of Virginia Cooperative Extension, including a written evaluation that assesses the quality of the candidate’s performance in each relevant area. The division of the vote is conveyed to the University Promotion and Continued Appointment Committee and provost but must otherwise remain confidential outside the review committee. In the absence of a unanimous recommendation, a minority report may be included. Whenever the director does not concur with the committee’s recommendation, the committee is notified.

Evaluation for continued appointment is mandated in the sixth year of probationary service unless the faculty member has given written notice of resignation from the faculty. If the review committee feels that the faculty member’s record does not warrant a continued appointment, there is an automatic review of the candidate’s dossier by the director of Virginia Cooperative Extension. If the director concurs, the faculty member is notified by the dean or director, in writing, of the decision and the specific reasons for it.

The review committee may ask the candidate to appear before the committee to present additional information or clarification of recommendations.

14.3.4.4 Review and Recommendations by the Director of Virginia Cooperative Extension

The director of Virginia Cooperative Extension sends forward to the provost the full dossier of every candidate for whom there is a positive recommendation from either the division-level review committees or the director, or both. The director prepares separate letters of recommendation to be forwarded with the dossiers from their division. Whenever the dean or director does not concur with the review committee’s recommendation, the committee is notified.

The dossiers that the director sends to the provost are accompanied by a statement describing the formation and procedures of the review committee and a summary of the number of candidates considered by the division in each category. The division of the vote is conveyed to the university-level committee and provost but must otherwise remain confidential.
14.3.4.5 University Evaluation for Promotion and Continued Appointment

The University Promotion and Continued Appointment Committee (university-level committee) is appointed and chaired by the provost or the provost’s designee. The committee reviews the qualifications of the candidates recommended for promotion and/or continued appointment by the director of Virginia Cooperative Extension. It also reviews those cases in which the director does not concur with the review committee’s positive recommendations. (University-level review of a case with differing recommendations by the director and the review committee is automatic and does not require an appeal.) The purpose of the reviews is to verify that the recommendations are consistent with the evidence, reflecting university standards, and that they are consistent with university objectives, programmatic plans, and budgetary constraints.

The university-level committee makes a recommendation on each candidate to the provost. The provost makes recommendations to the president, informing the university committee of those recommendations, including the basis for any non-concurrence with the university committee recommendations. The provost informs the president of any variation between the provost's recommendations and those of the university committee.

The president makes recommendations to the Board of Visitors with the Board of Visitors being responsible for the final decision.

The provost notifies the director of any negative decision reached by the provost, the president, or the Board of Visitors. The director notifies the faculty member, in writing, and notes appeal options.

The University Promotion and Continued Appointment committee consists of the dean of the University Libraries; the director of Virginia Cooperative Extension; and four faculty members with continued appointment—two each from the University Libraries faculty and the Extension faculty. The provost asks for nominations to this committee from the University Libraries faculty and the director of Virginia Cooperative Extension. Where possible, some significant element of faculty choice should be part of the selection procedure.

All members of the university-level committee hold voting privileges. Regardless of the size of the committee, the faculty must always have at least a majority of the potential votes. Consistent with the principle that participants at all levels of the promotion and continued appointment review process vote only once on an individual case, the director does not vote on cases from the Extension divisions. Similarly, faculty members serving on the university committee do not vote on any case they previously voted on, should this circumstance occur.

Members of the university-level committee with continued appointment in Extension divisions hold staggered terms of three years; university-level committee members with tenure in a college hold staggered terms of two years; the provost makes the committee appointments.

The provost or his or her designee chairs the committee but does not vote.
All voting within the committee should be by written secret ballot; the division of any ballot must remain confidential.

14.3.5 Appeals of Decisions on Reappointment, Continued Appointment, or Promotion

A faculty member who is notified of a negative decision following evaluation for a term reappointment during the probationary period, for continued appointment, or for promotion may appeal for review of the decision under conditions and procedures specified in this section. The appellant has a right to an explanation of the reasons contributing to the denial.

Such an appeal must be filed, in writing, within 14 calendar days of formal notification of the decision, which shall refer to appeal procedures. The appeal can only be based on the grounds that certain relevant information was not provided or considered in the decision, or that the decision was influenced by improper consideration.

In their recommendations, administrators and committees hearing an appeal should address the standards outlined in the previous paragraph. They shall not substitute their own judgment on the merits for that of the body or individual that made the decision under appeal. The recommendations should address the allegations in the appeal with specificity and cite appropriate evidence.

Appeals should be resolved as quickly as possible without compromising fairness or thoroughness of review. Whenever possible, the goal should be to achieve a final resolution in time to accommodate the first meeting of the Board of Visitors in the fall semester.

A faculty member who believes that the appeal procedures described in this section have been improperly followed may, at any point, seek advice from the Faculty Senate Committee on Reconciliation and/or file a grievance in accordance with the grievance procedure “Faculty Grievance Policy and Procedures.”

14.3.5.1 Probationary Reappointment

Faculty members on probationary term appointments should make no presumption of reappointment. Procedures for term reappointment or the granting of continued appointment for members of the Extension faculty are developed in Extension divisions. A decision for non-reappointment to a term appointment, based primarily on performance evaluation, is final if reached by the Extension Promotion and Continued Appointment and Review Committee and is sustained by the director of Virginia Cooperative Extension, as appropriate. Notice of non-reappointment is furnished according to the schedule in chapter two, “Retirement, Resignation, and Non-Reappointment.” The specific reasons for the decision are provided to the faculty member in writing, if requested.

If the non-reappointment decision is reached by the director in contradiction to the recommendation of the Extension Promotion and Continued Appointment and Review
The faculty member may request that the non-reappointment decision be reviewed by the provost for a final decision.

The faculty member presents the appeal in writing as specified in “Appeals of Decisions on Reappointment, Continued Appointment, or Promotion.” The provost may ask the University Promotion and Continued Appointment Committee to review the case and make recommendation as an aid to that decision.

14.3.5.2 Continued Appointment Decision

Occasionally faculty members are evaluated for continued appointment during the probationary period, but before the final probationary year. In such a case, there is no recourse to appeal or review of a negative decision, at whatever level it is reached, because of the certainty that the evaluation will be undertaken again within a limited time.

If a faculty member is denied continued appointment in a mandatory review by both the review committee and the director of Virginia Cooperative Extension, the faculty member may appeal the negative decision in writing in accordance with provisions of this section. The appeal is submitted to the provost for review by the University Committee for Promotion and Continued Appointment, which shall make a recommendation to the provost for a final decision. No further appeal is provided. The University Committee for Promotion and Continued Appointment may choose to hear oral arguments. Substantive procedural violations may be addressed through the grievance process described in “Faculty Grievance Policy and Procedures.”

Should the University Promotion and Continued Appointment Committee find reason to believe that the review committee’s evaluation was biased or was significantly influenced by improper considerations, the University Promotion and Continued Appointment Committee may request that the director form a new ad hoc review committee. The ad hoc committee makes a recommendation to the University Committee for Promotion and Continued Appointment that requested its formation. The University Promotion and Continued Appointment Committee then makes a recommendation to the provost. Should the provost not concur with a positive recommendation from the University Committee for Promotion and Continued Appointment, whether that recommendation culminates a usual review or an appeal, the faculty member is so notified in writing of the specific reason for the decision. The faculty member may appeal to the Faculty Review Committee. That committee investigates the case and, if the differences cannot be reconciled, makes a recommendation to the president of the University on the matter. The president’s decision is final.

14.3.5.3 Review of Progress Toward Promotion to Professor

At least one review of progress toward promotion to professor should be conducted three to five years after promotion and continued appointment is awarded (or after continued appointment is awarded at the current rank of associate professor). The review is required for faculty promoted and awarded continued appointment during 2012-13 and thereafter. The review is to be substantive and thorough. At a minimum, an appropriate departmental committee (e.g., continued
appointment committee, personnel committee, or annual review committee) must review the faculty member’s relevant annual activity reports, peer evaluations of teaching, and authored materials since the last promotion. The committee may also wish to review an updated curriculum vitae.

The review should be developmental and focused on the faculty member’s progress toward promotion to professor. The developmental guidance should focus on recommended future activities and plans that will position the faculty member for promotion. All reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for their departmental file. In addition, the faculty member may request a meeting with the department committee chair and the department head or chair to discuss the review and recommendations. Individual faculty members are also encouraged to seek guidance and mentoring from senior colleagues and the department head or chair.

14.3.5.4 Promotion Consideration and Decision

There is no specification for minimum or maximum time of service in any rank. A faculty member may request at any time a consideration for promotion in rank if the review committee has not chosen to undertake such an evaluation. However, appeal of a negative promotion decision is provided only if the faculty member has been in rank for at least six years and if the faculty member has formally requested, in writing, consideration for promotion in a previous year. Candidates for promotion who have been denied by both the Extension division-level review committee and the director of Virginia Cooperative Extension may appeal to the provost, who asks the University Promotion and Continued Appointment Committee to consider the appeal. The faculty member presents the appeal in writing as specified in chapter four, “Appeals of Decisions on Reappointment, Continued Appointment, or Promotion.”

The university-level committee makes a recommendation to the provost. If the committee and the provost concur with the negative decision, the decision is final; if not, the president makes a final decision.

14.4 Annual Evaluation and Post-Continued Appointment Review
14.4.1 Annual Evaluation and Salary Adjustments

All departments are required to have written guidelines outlining the process and criteria used in faculty evaluations. The adoption of such guidelines promotes consistency and transparency in this important aspect of faculty life.

Every faculty member’s professional performance is evaluated annually, and written feedback is provided separately from confirmation of any merit adjustments. The process begins with submission of a faculty activity report (FAR). All non-temporary faculty members must submit a FAR annually. These reports form part of the basis for performance evaluations, awarding merit adjustments, and promotion, continued appointment, and post-continued appointment reviews.
The director is responsible for conducting annual faculty evaluations, either independently or in consultation with an appropriately charged committee in accordance with Extension divisional procedures. All evaluations must be in writing and include a discussion of contributions and accomplishments in all areas of the faculty member’s responsibilities, comments on the faculty member’s plans and goals, and any recommendations for improvement or change. Faculty members should receive their written evaluations within 90 days of submission of required materials, and they acknowledge receipt by signing and returning a copy for their Extension divisional file, or the electronic equivalent. Acknowledging receipt of the evaluation does not imply agreement. If a faculty member substantially disagrees with the evaluation, they may submit a written response to the director for inclusion in his or her personnel file.

In addition to their annual evaluation letters, all pre-continued appointment faculty members receive at least two thorough reviews during the six-year probationary period and written feedback on their progress toward continued appointment by their Extension Divisional Promotion and Continued Appointment Committee prior to reappointment in accordance with guidance included in chapter four, “Probationary Period.”

Faculty members with part-time appointments are reviewed on the annual review cycle used for all faculty members in the department. For the purposes of annual review, the fraction of the appointment must be taken into account when considering the appropriate level of achievement in that year.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the director and are reviewed by the provost and the president. Because salary adjustments are determined administratively on an annual basis and based significantly on the quality of the faculty member's response to assigned responsibility, they do not necessarily reflect an accurate measure of the full scope of the faculty member's professional development as evaluated by relevant committees in the continued appointment and promotion process.

The salary adjustments of continuing appointment faculty members are approved by the Board of Visitors and each faculty member is informed in writing of the board's action as soon as possible. (See chapter two, “Employment Policies and Resources for All Faculty.”)

14.4.2 Unsatisfactory Performance

For continued appointment and pre-continued appointment faculty members, failure to meet the minimal obligations and standards the division has stipulated for its faculty results in an "unsatisfactory" rating. Written notification of an unsatisfactory rating and the considerations upon which it was based is given to the faculty member, with a copy to the provost. A single unsatisfactory evaluation indicates a serious problem, which prompts remedial action. Faculty members may respond in writing with a letter to the director for inclusion in their personnel file, or they may seek redress through either the reconciliation or grievance procedures. Two successive
annual ratings of unsatisfactory performance for a faculty member with continued appointment results in a post-continued appointment review.

14.4.3 Extension Divisional Minimal Standards
The Extension divisions shall develop, maintain, and publish a statement of minimal standards for satisfactory faculty performance using the following process should be written with the participation of faculty in the division and approved by a vote of the continued appointment-track faculty in the division. Standards developed and approved by the Extension Division Promotion and Continued Appointment Committee and the director are then reviewed and approved by the provost. Once approved, the standards are published and available to all faculty members in the division. Revisions of divisional standards also follow these procedures.

The following guidance is provided for the development of Extension divisional minimal standards:

- Extension divisions should carefully assess and state the overall standards of professional performance and contribution they consider minimally acceptable for continued appointment faculty. Each division’s evaluation mechanism should allow a distinction between performance that is deficient in one or more areas requiring improvement, and performance that is so seriously deficient as to merit the formal designation "unsatisfactory."
- Extension divisional standards should embrace the entire scope of faculty contributions. Expectations recognize differences in faculty assignments within the same department or unit. Extension divisional standards should typically address the individual's skill, effort, and effectiveness in contributing to all aspects of the instructional mission; the individual's activity in and contributions to the discipline; the individual's contributions to the collective life of the division and university; and the individual's activity in and contributions to the university's outreach mission.
- Extension divisional statements should affirm support for the basic principles of academic freedom and should express tolerance for minority opinions, dissent from professional orthodoxies, and honest and civil disagreement with administrative actions.
- Departmental statements should include the expectation that faculty with continued appointment will adhere to the standards of conduct and ethical behavior as stated in the Faculty Handbook and/or promulgated through other official channels.

14.4.4 Post-Continued Appointment Review
Nothing in this section should be interpreted as abridging the university's right to proceed directly to dismissal for cause as defined in chapter two “Dismissal for Cause,” or the right of individual faculty members to pursue existing mechanisms of reconciliation and redress.

A post-continued appointment review is mandatory whenever a faculty member with continued appointment receives two consecutive annual evaluations of unsatisfactory performance. Annual reviews for years spent on leave without pay are disregarded for the purpose of this calculation. The Extension Divisional Promotion and Continued Appointment Committee conducts the review.
unless the same committee was involved in the original unsatisfactory annual evaluations. In this case, the division elects a committee to carry out the review function.

Upon recommendation of the director, a post-continued appointment review may be waived or postponed if there are extenuating circumstances (such as health problems).

The purpose of a post-continued appointment review is to focus the perspective of faculty peers on the full scope of a faculty member's professional competence, performance, and contributions to the Extension division and university missions and priorities.

The faculty member has both the right and the obligation to provide a dossier with all documents, materials, and statements he or she believes are relevant and necessary for the review. Ordinarily, such a dossier includes at least the following: an updated curriculum vitae, the past two or more faculty activity reports, teaching or client assessments, if any, and a description of activities and accomplishments since the last faculty activity report. The faculty member is given a period of no less than four weeks to assemble the dossier for the committee. The director supplies the review committee with the last two annual evaluations, all materials that were considered in those evaluations, any further materials deemed relevant, and other materials the committee requests. Copies of all materials supplied to the review committee are given to the faculty member. The faculty member has the right to provide a written rebuttal of the evidence provided by the director.

The review committee weighs the faculty member's contributions to the discipline, the Extension division, and the university through learning, discovery, and engagement. The burden of proving unsatisfactory performance is on the university. The committee prepares a summary of its findings and makes a recommendation to the director and provost. Final action and notification of the faculty member is the responsibility of the director, with the concurrence of the provost.

The review may result in one of the following outcomes:

**Certification of satisfactory performance:** The review committee may conclude that the faculty member's competence and professional contributions are satisfactory to meet the Extension division's minimal expectations, thus failing to sustain the assessment of the director. The review is then complete. An unsatisfactory rating in any subsequent year is counted as the first in any future sequence.

**Certification of deficiencies:** The review committee may concur that the faculty member's competence and/or professional contributions are unsatisfactory to meet the Extension division's minimal expectations. The committee may recommend dismissal for cause, a sanction other than dismissal for cause, or a single period of remediation not to exceed two years.

**Remediation:** If a period of remediation is recommended, the review committee specifies in detail the deficiencies it noted, defines specific goals and measurable outcomes the faculty member should achieve, and establishes a timeline for meeting the goals. The director meets with the faculty member at least twice annually to review the individual's progress. The director prepares
a summary report for the review committee following each meeting and at the end of the specified remediation period, at which time the review committee either certifies satisfactory performance or recommends dismissal for cause or a sanction other than dismissal for cause following the procedures described below.

**Sanction other than dismissal for cause:** An Extension division-level committee recommendation to impose a severe sanction, as defined in chapter fourteen, “Imposition of a Severe Sanction,” is referred to the University Promotion and Continued Appointment Committee, which reviews the case as presented to the Extension division-level committee, provides an opportunity for the faculty member to be heard, and determines whether the recommendation is consistent with the evidence. The university committee may reject, uphold, or modify the specific sanction recommended by the Extension division-level committee. If the Extension division-level committee also recommends imposition of a severe sanction, then the same procedures used for dismissal for cause guide the process. The review conducted by the Extension division-level committee satisfies the requirement in step two for an informal inquiry by an ad hoc or standing personnel committee. Thus, in the case of a post-continued appointment review, this step is not repeated.

If a severe sanction is imposed or ultimately rejected, then the post-continued appointment review cycle is considered complete. An unsatisfactory rating in any subsequent year is counted as the first in any future sequence.

**Dismissal for cause:** If dismissal for cause is recommended, the case shall be referred to the Extension division-level Promotion and Continued Appointment Committee as described in chapter fourteen, “Procedures and Recommendations of Extension Division Level Promotion and Continued Appointment Committee,” which reviews the case as presented to the divisional committee and determines whether the recommendation is consistent with the evidence. If the University Promotion and Continued Appointment Committee upholds the recommendation for dismissal, then the procedures specified in chapter fourteen, “Dismissal for Cause,” begin immediately. The University Promotion and Continued Appointment Committee review satisfies the requirement for an informal inquiry by a standing personnel committee.

### 14.5 Imposition of a Severe Sanction or Dismissal for Cause

The procedures specified follow closely, but differ in occasional detail from, the "1976 Institutional Regulations on Academic Freedom and Tenure" approved by Committee A of the AAUP.

#### 14.5.1 Adequate Cause

Adequate cause for imposition of a severe sanction or dismissal is related, directly and substantially, to the fitness of faculty members in their professional capacity as teachers and scholars. Imposition of a severe sanction or dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens.
Adequate cause includes: violation of professional ethics (see chapter two, “Professional Responsibilities and Conduct”); incompetence as determined through post-continued appointment review; willful failure to carry out professional obligations or assigned responsibilities; willful violation of university and/or government policies; falsification of information relating to professional qualifications; inability to perform assigned duties satisfactorily because of incarceration; or personal deficiencies that prevent the satisfactory performance of responsibilities (e.g., dependence on drugs or alcohol).

Reason to consider the imposition of a severe sanction or dismissal for cause is usually determined by a thorough and careful investigation by an appropriately charged faculty committee (as in the case of allegations of ethical or scholarly misconduct, or through a post-continued appointment review) or by the relevant administrator (for example, the director, compliance and conflict resolution officer, internal auditor, or Virginia Tech Police). Generally, these investigations result in a report of findings; some reports also include a recommendation for sanctions. The report is directed to the relevant administrator for action; it is also shared with the faculty member. Imposition of a severe sanction or initiation of dismissal for cause proceedings, if warranted, follows the procedures set forth below.

14.5.2 Imposition of a Severe Sanction

Definition and examples: A severe sanction generally involves a significant loss or penalty to a faculty member such as, but not limited to, a demotion in rank and/or a reduction in salary or suspension without pay for a period not to exceed one year, imposed for unacceptable conduct and/or a serious breach of university policy.

Routine personnel actions such as a recommendation for a below average or no merit increase, conversion from a calendar year to an academic year appointment, reassignment, or removal of an administrative stipend do not constitute “sanctions” within the meaning of this policy. A personnel action such as these may be a valid issue for grievance under procedures defined in the Faculty Handbook.

Process for Imposing a Severe Sanction: The conduct of a faculty member, although not constituting adequate cause for dismissal, may be sufficiently grave to justify imposition of a severe sanction. Imposition of a severe sanction follows the same procedures as dismissal for cause beginning with step one. If the matter is not resolved at the first step, a standing or ad hoc faculty committee conducts an informal inquiry (step two). The requirement for such an informal inquiry is satisfied if the investigation was conducted by an appropriately charged faculty committee (as would be the case with an alleged violation of the ethics or scholarly misconduct policies) and, having determined that in its opinion there is adequate cause for imposing a severe sanction, refers the matter to the administration.

14.5.3 Dismissal for Cause

The following procedures apply to faculty members with continued appointment, or for dismissal of a continued appointment-track faculty member before the end of his or her current appointment.
Dismissal is preceded by:

**Step one:** Discussions between the faculty member, director, and/or provost, looking toward a mutual settlement.

**Step two:** Informal inquiry by a standing (or, if necessary, ad hoc) faculty committee having concern for personnel matters. This committee attempts to affect an adjustment and, failing to do so, determines whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the president’s decision whether to proceed.

**Step three:** The furnishing by the university president (in what follows, the president may delegate the provost to serve instead) of a statement of charges, in consultation with the director. The statement of charges is included in a letter to the faculty member indicating the intention to dismiss, with notification of the right to a formal hearing. The faculty member is given a specified reasonable time limit to request a hearing, that time limit is no less than 10 days.

**Procedures for conducting a formal hearing, if requested:** If a hearing committee is to be established, the university president asks the Faculty Senate, through its president, to nominate nine faculty members to serve on the hearing committee. These faculty members should be nominated based on their objectivity, competence, and regard in which they are held in the academic community. They must have no bias or untoward interest in the case and are available at the anticipated time of hearing. The faculty member and the university president each have a maximum of two challenges from among the nominees without stated cause. The university president then names a five-member hearing committee from the remaining names on the nominated slate. The hearing committee elects its chair.

Pending a final decision on the dismissal, the faculty member is suspended only if immediate harm to him or herself or to others is threatened by continuance. If the president believes such suspension is warranted, consultation takes place with the Faculty Senate Committee on Reconciliation concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.

Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the charges or asserting that the charges do not support a finding of adequate cause. In such a case, the hearing committee evaluates all available evidence and rests its recommendation on the evidence in the record.
The committee, in consultation with the university president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration cooperates with the hearing committee in securing witnesses and evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements of unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every possible effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The university president and the faculty member are notified of the recommendation in writing and are given a written copy of the record of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the university president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the university president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity for response.

**Appeal to the Board of Visitors:** If the university president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board). The board’s review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the hearing committee with specific objections. The hearing committee then reconsiders, taking into account the stated objections and receiving new evidence if necessary. The board makes a final decision only after studying the hearing committee’s reconsideration.

**Notice of Dismissal:** In cases where gross misconduct is decided, dismissal is usually immediate. The standard for gross misconduct is behavior so egregious that it evokes
condemnation by the academic community generally and is so utterly blameworthy as to make it inappropriate to offer additional notice or severance pay. The first faculty committee that considers the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty member with continued appointment receives up to one year of salary or notice, and (b) a probationary faculty member receives up to three months’ salary or notice. These terms of dismissal begin at the date of final notification of dismissal.

14.6 Faculty Grievance Policy and Procedures
The following procedure is provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by members of Extension faculty with continued appointment or on the continued appointment-track. The Faculty Senate Review Committee conducts the step four hearing if requested.

14.6.1 Ombuds, Mediation Services, and Faculty Senate Committee on Reconciliation

Informal dialogue: It should be possible to resolve most faculty concerns or complaints through informal communication among colleagues working together in the academic enterprise. Accordingly, a faculty member who feels there is a grievance is encouraged to take it to the immediate supervisor in the collegial spirit of problem solving rather than as a confrontation between adversaries.

University Ombuds: Any member of the university community may visit the university Ombuds Office. The Ombuds listens and explores options for addressing and resolving concerns or complaints. The Ombuds Office does not have the authority to make decisions or to reverse any decision made or actions taken by university authorities. The Ombuds Office supplements, but does not replace, the university's existing resources for conflict resolution and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Ombuds Office will not accept legal notice on behalf of the university, and information provided to the Ombuds Office will not constitute such notice to the university. Should someone wish to make the university formally aware of a particular problem, the Ombuds Office can provide information on how to do so. The only exception to this pledge of confidentiality is where the Ombuds Office determines that there is an imminent risk of serious harm, or if disclosure is required by law.

To preserve independence and neutrality, the Ombuds Office reports directly to the University President. The Ombuds Office does not keep permanent records of confidential communications.

Reconciliation: At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Faculty Senate Committee on Reconciliation in fashioning an equitable solution. Contacting the Faculty Senate Committee on Reconciliation is not required in filing a grievance, but it may be useful if the grievant feels that the issue may be amenable to, but will require time for, negotiation; or if the grievant is unsure whether his or her concern is a
legitimate issue for a grievance; or if personal relations between the parties involved in the grievance have become strained.

For a potential grievance issue to qualify for consideration by the Faculty Senate Committee on Reconciliation, the grievant contacts the chair of the Faculty Senate Committee on Reconciliation within 30 calendar days of the time when the grievant knew or should have known of the event or action that is the basis for the potential grievance, just as if beginning the regular grievance process. If the grievant requests assistance from the Faculty Senate Committee on Reconciliation, that committee must request a postponement of the time limits involved in the grievance procedure while it deals with the case. The chair of the Faculty Senate Committee on Reconciliation submits the request in writing to the vice provost for faculty affairs. Also, the grievant reaches an understanding with the Faculty Senate Committee on Reconciliation of the time frame planned for that committee’s work on the case, such time not to exceed 60 calendar days.

Faculty members may also consult the Faculty Senate Committee on Reconciliation about serious disagreements with immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the committee contacts the relevant administrator to determine if there is an interest and willingness to explore informal resolution of the dispute; it is not necessary to notify the Office of the Executive Vice President and Provost.

**Mediation:** Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

**Role of Mediators:** Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

**Requesting Mediation:** Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.
Mediation differs from reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

14.6.2 The Formal Grievance Procedure

If the assistance of the Faculty Senate Committee on Reconciliation is not desired or is not requested; or if that committee determines that it cannot provide assistance in the matter; or if the grievant finds that the length of time the Faculty Senate Committee on Reconciliation plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of that committee, the grievant may pursue the issue as a formal grievance through the following procedure. Department heads or chairs, deans, directors, and other administrative faculty will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of his or her case.

**Step one:** The grievant must meet with his or her immediate supervisor (usually the department head) within 30 calendar days of the date that grievant knew or should have known of the event or action that is basis for the grievance and orally identifies the grievance and the grievant’s concerns. The supervisor provides an oral response to the grievant within five weekdays following the meeting. If the supervisor’s response is satisfactory to the grievant, that ends the matter.

**Step two:** If a satisfactory resolution of the grievance is not achieved by the immediate supervisor’s oral response, the grievant may submit a written statement of the grievance and the relief requested to the immediate supervisor. This statement must be on the faculty grievance form, must define the grievance and the relief requested specifically and precisely, and must be submitted to the immediate supervisor within five weekdays of the time when the grievant received the immediate supervisor’s oral response to the first step meeting. Faculty grievance forms are available on the provost’s Faculty Forms page.

Within five weekdays of receiving the written statement of the grievance, the immediate supervisor, in turn, gives the grievant a written response on the faculty grievance form, citing reasons for action taken or not taken. If the written response of the immediate supervisor is satisfactory to the grievant, that ends the matter.

**Step three:** If the resolution of the grievance proposed in the written response by the immediate supervisor is not acceptable, the grievant may advance the grievance to the next level of university administration by checking the appropriate place on the faculty grievance form, signing and sending the form to the next level administrator within five weekdays of receiving the written response from the immediate supervisor. The next level of administration for faculty in Extension is usually the dean of agriculture and life sciences. The administrator involved at this next level is hereafter referred to as the second-level administrator.

Following receipt of the faculty grievance form, the second-level administrator or designated representative meets with the grievant within five weekdays. The second-level administrator may request the immediate supervisor of the grievant be present; the grievant may similarly request
that a representative of his or her choice from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the second-level administrator does not have legal counsel present. The second-level administrator gives the grievant a written decision on the faculty grievance form within five weekdays after the meeting, citing reasons for his or her decision. If the second-level administrator’s written response to the grievance is satisfactory to the grievant it ends the matter.

Step four: If the resolution of the grievance proposed in the written response from the second-level administrator is not acceptable, the grievant may advance the grievance within five weekdays to the level of the provost, including consideration by an impartial hearing panel of the Faculty Senate Review Committee of the Faculty Senate. A description of the charge and membership of the Faculty Senate Review Committee is included in chapter two, “Faculty Senate Review Committee.”

Upon receiving the faculty grievance form requesting step four review, the provost, or appropriate designated representative, acknowledges receipt of the grievance within five weekdays and forwards a copy of the Procedures of the Faculty Senate Review Committee to parties in the grievance process. The provost immediately forwards a copy of the grievance to the president of the Faculty Senate, who also writes to the grievant to acknowledge receipt of the grievance within five weekdays of receipt of the faculty grievance form from the provost.

The grievant may petition the provost to bypass the Faculty Senate Review Committee and rule on the grievance. If the provost accepts the request, there is no subsequent opportunity for the grievance to be heard by a hearing panel. The provost’s decision, however, may be appealed to the university president, as described in step five. If the provost does not accept the petition, the Faculty Senate Review Committee hears the grievance as outlined in these procedures.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

Hearing Panel: A hearing panel consists of five members appointed by the chair of the Faculty Senate Review Committee from among the members of the Faculty Senate Review Committee. The chair of the Faculty Senate Review Committee polls all appointees to ensure that they have no conflict of interest in the case. Both parties to the grievance may challenge one of the appointments, if they so desire, without need to state cause, and the chair of the Faculty Senate Review Committee appoints the needed replacement or replacements. Other replacements are made only for cause. The chair of the Faculty Senate Review Committee rules on issues of cause.

To ensure uniformity in practice, the chair of the Faculty Senate Review Committee or his or her designee serves as the non-voting chair of each hearing panel. If the chair of the Faculty Senate Review Committee has a conflict of interest concerning a case, the chair appoints a disinterested third party from among the members of the Faculty Senate Review Committee not already appointed to the hearing panel for the case to serve as chair of the hearing panel.
**Hearings:** After a hearing panel is appointed, the chair of the Faculty Senate Review Committee requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Faculty Senate president. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling. The hearing is then reconvened as appropriate.

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak on their behalf if so requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsel is present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel. Detailed procedures followed in hearings are specified in the Procedures of the Faculty Senate Review Committee as approved by the Faculty Senate.

**Findings and Recommendations:** The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Faculty Senate president. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the provost, the grievant, and the chair of the Faculty Senate Review Committee.

**Provost’s Action:** The provost meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant about the prospects for disposition of the case. Within 10 weekdays of that meeting, the provost sends to the grievant his or her decision in writing concerning the disposition of the grievance. If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel, that ends the matter.

**Step five:** If the provost’s decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the university president within 20 calendar days. The university president acts as he or she sees fit. The university president’s decision is final.
# 14.6.3 Timeliness of Grievance and Procedural Compliance

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time when he or she knew or should have known of the event or action that is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that he or she accepted the last proposed resolution as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the chair of the Faculty Senate Review Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee (or the vice president of the senate if the president is also chair of the Faculty Senate Review Committee) is convened to rule on the question, as in disputes about the validity of issues qualifying for the grievance procedure. The special committee has the following options. It can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a significant procedural violation did occur. If the administrator committed a significant procedural violation, the grievance automatically qualifies for advancement to the next step in the grievance process. If the grievant committed a significant procedural violation, the grievance process ends at that point with the last proposed resolution established as the final disposition of the case.

# 14.6.4 Valid Issues for Grievance

For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation, unreasonable merit adjustment or salary level, or excessive teaching load/work assignments; substantive violations of promotion and continued appointment procedures (see appeal process in chapter fourteen, “Appeals of Decisions on Reappointment, Continued..."
Appointment, or Promotion’); reprisals; substantive error in the application of policy; and matters relating to academic freedom.

**Issues not open to grievance:** While most faculty disputes with the university administration may be dealt with by this grievance policy, the following issues may not be made the subject of a grievance: determination of policy appropriately promulgated by the university administration or the university governance system; those items falling within the jurisdiction of other university policies and procedures (for example, complaints of unlawful discrimination or harassment, or an appeal related to the merits of a promotion and/or continued appointment decision); the contents of personnel policies, procedures, rules, regulations, ordinances, and statutes; the routine assignment of university resources (e.g., space, operating funds, parking, etc.); usual actions taken, or recommendations made, by administrators or committee members acting in an official capacity in the grievance process; termination of appointment by removal for just cause, non-reappointment, or abolition of position; or allegations of misconduct in scholarly activities.

**Adjudication of disputes on the validity of issues qualifying for consideration under the faculty grievance procedures:** If a university administrator rules that an issue does not qualify for the grievance process, the grievant may write to the chair of the Faculty Senate Review Committee within five weekdays of receiving such notification and request a ruling from a special committee consisting of the president of the Faculty Senate, the chair of the Faculty Senate Committee on Reconciliation, and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

14.6.5 **Particular Concerns and Definitions**

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from his or her assigned work location when they discover the event or action that is the basis for a grievance, the 30-day period during which the grievant must meet with his or her immediate supervisor to initiate the grievance process begins when the faculty member returns to his or her assigned work location. If the date of return causes a delay of such
length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to his or her assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the grievant is able to resume his or her duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg, and he or she is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers he or she has a grievance about actions by an administrator above the level of his or her immediate supervisor that directly involve the faculty member, or with actions by an administrator not in his or her department that directly involve the faculty member, the grievant initiates the grievance process by seeking the intervention of his or her immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting his or her immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in the usual fashion.

A grievance filed by a faculty member concerning an action of the provost is handled by the chair of the Faculty Senate Review Committee and a regular impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the university president for his or her ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of the university president is addressed by a special panel appointed by the provost in consultation with the president of the Faculty Senate.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations, or by the ruling of the university president, that specific grievance is closed and may not be made the subject of another grievance.
14.6.6 Overview of the Formal Grievance Process for Faculty with Continued Appointment or on the Continued Appointment-Track

Below is an abbreviated overview of the grievance process and deadlines. Refer to chapter fourteen, “The Formal Grievance Procedure,” for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an agreement. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)

<table>
<thead>
<tr>
<th>Step One</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 30 days of event</td>
<td>1a.</td>
<td>Grievant meets with immediate supervisor (usually division head).</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>1b.</td>
<td>Supervisor provides verbal response.</td>
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<tr>
<td>1c.</td>
<td>If the supervisor’s response is satisfactory to the grievant, that ends the matter.</td>
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<tr>
<td>1d.</td>
<td>If supervisor’s response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
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<thead>
<tr>
<th>Step Two</th>
<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>2a.</td>
<td>Grievant submits written grievance to immediate supervisor.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>2b.</td>
<td>Supervisor responds in writing on grievance form.</td>
</tr>
<tr>
<td>2c.</td>
<td>If the supervisor’s response is satisfactory to the grievant, that ends the matter.</td>
<td></td>
</tr>
<tr>
<td>2d.</td>
<td>If the supervisor’s response is not satisfactory to the grievant, move to step three within 5 weekdays.</td>
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<tr>
<th>Step Three</th>
<th>Step Number</th>
<th>Description</th>
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<td>Step Number</td>
<td>Description</td>
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<tr>
<td>3a.</td>
<td>Grievant advances grievance form to the second-level administrator (usually dean of Agriculture and Life Sciences).</td>
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<tr>
<td>3b.</td>
<td>Dean meets with grievant; dean may request division head to be present.</td>
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<tr>
<td>3c.</td>
<td>Dean responds in writing on grievance form.</td>
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<tr>
<td>3d.</td>
<td>If the dean’s written response is satisfactory to grievant, that ends the matter.</td>
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<tr>
<td>3e.</td>
<td>If the dean’s written response is not satisfactory to grievant, move to step four within 5 weekdays.</td>
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</tr>
<tr>
<td>4a.</td>
<td>Grievant advances grievance form to the provost.</td>
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<td>4b.</td>
<td>Provost acknowledges receipt of grievance and forwards copy to Faculty Senate president to receive recommendation of an impartial hearing panel of the Faculty Senate Review Committee.</td>
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<tr>
<td>4c.</td>
<td>Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.</td>
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<tr>
<td>4d.</td>
<td>Faculty Senate Review Committee chair appoints hearing panel from among Faculty Senate Review Committee members; panel holds its initial meeting with both principals.</td>
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<tr>
<td>4e.</td>
<td>The hearing panel concludes its work and makes recommendations to provost and grievant.</td>
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<td>4f.</td>
<td>Provost meets with grievant.</td>
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Within 10 weekdays

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<tr>
<th>Step Number</th>
<th>Description</th>
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<tr>
<td>4g.</td>
<td>The provost notifies grievant in writing of his or her decision.</td>
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<tr>
<td>4h.</td>
<td>If the provost’s decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendation of the hearing panel that ends the matter.</td>
</tr>
<tr>
<td>4i.</td>
<td>If the provost’s decision is not acceptable to the grievant and not consonant with the recommendation of the hearing panel, move to step five within 20 calendar days.</td>
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### Step Five

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<th>Step Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>5a.</td>
<td>Grievant appeals in writing to university president.</td>
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<tr>
<td>5b.</td>
<td>The university president’s decision is final.</td>
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#### 14.7 Study-Research Leave

Study-research leave may be granted to faculty members for research and/or advanced study necessary to enhance the competencies of those faculty members to carry out their obligations to the university.

Full-time faculty members holding continued appointment with significant responsibility for instruction and scholarly productivity, with the rank of assistant professor or higher, having accrued a minimum of six years of service, are eligible for study-research leave. Following such a leave, an additional six years of full-time service are necessary before a faculty member is eligible for another study-research leave. Requests may be submitted prior to completion of six years of service, but faculty members must have completed the sixth year before the leave period begins.

Time spent on study-research leave, educational leave, or leave without pay is not considered in compiling minimum service requirements for further leaves.

As part of the commonwealth’s educational leave program, recipients of study-research leaves are provided with partial salary (not to exceed one-half salary). Full employee benefits remain in force while faculty members are on study-research leaves. Calendar year faculty on study-research leave earn annual leave at a rate of half their usual annual leave earnings.
Instead of a proposal for leave of a full academic or calendar year, faculty members may propose a sequence of semester leave periods at half-salary over several years, not to exceed in total one academic year (for a faculty member on academic year appointment) or 12 months (for a faculty member on calendar year appointment). If such a sequence of leaves is undertaken, all intervening periods of full-time appointment at Virginia Tech accrue toward the six-year minimum service required before eligibility for another study-research leave or sequence of leaves.

Alternatively, following completion of any study-research leave, faculty members may propose a single semester of study-research leave at half-salary following three years of full-time service to the university.

Recipients of a study-research leave may receive additional compensation from other approved sources up to a total equal to their annual salary from the university. Faculty members may receive an additional half salary from sponsored grants or contracts, resulting in a one-year period at full salary from university sources; the appropriate level of effort must be expended on grant-related activities. They may also obtain additional funds from external sources to cover expenses for travel, research, administrative assistance, and the purchase of relevant materials. The department head and provost review and approve required documentation of all external earnings and expected payments. Engagement in consulting activities must be consonant with existing university policy.

The request for study-research leave is made in the fall and, if approved, is taken the following academic year. Requests for study-research leave are submitted to the department head or chair by November 1 for processing through the college, provost, and consideration by the Board of Visitors at the March (or spring) meeting of the board. Requests are forwarded to the board, subject to recommendation of the department head or chair, dean, and the provost, with consideration of the need for effective continuation of the Extension’s program. Specific leave request due dates are established annually and are available in the Calendar of Important Dates found on the provost’s Research Leaves page.

The faculty member returns to full-time service with the university for a minimum of at least one academic year at the end of the approved leave or repays the university the salary received plus interest. If less than this required period of service is met, repayment is required of the pro rata portion of the compensation provided by the university during the leave period. Before undertaking the leave, the faculty member signs a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and department head summarizing his or her accomplishments.

14.8 Research Assignment

Research assignment is a special category of study-research leave that is awarded to a faculty member with continued appointment for one semester of intensive study or research that increases the quality of the individual’s professional stature and future contribution to the university. It may be taken in lieu of an ordinary year-long study-research leave. Continued
appointment-track faculty members are not eligible to apply for research assignment leave until after continued appointment has been awarded.

Full-time faculty members holding continued appointment with the rank of assistant professor or higher and having accrued a minimum of six years of service, are eligible for research assignment or study-research leave. Following such a leave, an additional six years of full-time service are necessary before a faculty member may be considered for another research assignment. Requests may be submitted prior to completion of six years of service, but faculty members must have completed the sixth year before the leave period begins. Faculty members on calendar year appointments may take research assignment leave for up to six months.

Approval for research assignment provides the faculty member with full salary and related benefits for the period of the leave; faculty members may not take on additional responsibilities for outside income except as allowed by the university’s consulting policy. Modest stipends associated with competitive visiting scholar programs at other institutions, competitive national or international fellowships, the Fulbright Scholar Program, and similar prestigious opportunities to support study and/or scholarly research may be approved where there is clear benefit to the faculty member and the university. Similarly, externally funded reimbursements or allotments for travel, temporary relocation, and other expenses associated with the proposed research assignment may be approved. The department head and provost review and approve required documentation of all external earnings and expected payments. When a faculty member proposes a period of paid employment greater than 50% percent of the annual salary in a corporate or governmental setting, leave without pay or a contract through the Intergovernmental Personnel Act may be more appropriate than a research assignment.

The primary privilege of a research assignment is entire relief from teaching, administrative duties, and other faculty duties for one semester. A secondary privilege is that the assignment may be carried out at any location approved by the director, although research programs that require facilities, resources from the University Libraries, or collaborations not available at the university are given special consideration.

An application for research assignment is submitted to the appropriate department head or chair by November 1 of the academic year preceding that in which the assignment will be made. Application forms are available from the provost’s Research Leaves page. The application is in the form of a letter, which includes a detailed description of the proposed research or other scholarly project, the location of that activity, and the relevance of the proposed activity in contributing to the faculty member’s own scholarly research program. The director reviews the application and forwards it with a recommendation to the provost by mid-December, indicating the provisions that will be made to accommodate the faculty member’s responsibilities. The director is expected to weigh fiscal and academic load considerations to assure an equitable distribution of the awards. The provost reviews the recommendations, communicates with the director, and announces the results to each candidate, following approval by the Board of Visitors.
Specific leave request due dates are established annually and are available in the Calendar of Important Dates on the provost’s Research Leaves page.

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave. If less than this required period of service is met, repayment is required of the pro rata portion of the compensation provided by the university during the leave period. Before undertaking the leave, the faculty member must sign a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and department head summarizing his or her accomplishments.

14.9 Modified Duties
The university recognizes the need for all continued appointment and continued appointment-track faculty members to balance the commitments of family and work. Special family circumstances, for example, birth or adoption of a child, severe illness of an immediate family member, or even issues of personal health, can cause substantial alterations to one’s daily routine, thus creating a need to construct a modified workload and flexible schedule for a period of time.

Since the circumstances may vary widely for faculty members at different stages of their careers and with different family and workload situations, this policy does not prescribe the exact nature of the accommodation. In many cases, it may be a reduction or elimination of a teaching assignment while the faculty member continues to meet ongoing, but more flexible research and graduate student supervision obligations. In general, the university’s commitment is to work with a faculty member to devise a modified workload and schedule that enables the faculty member to remain an active and productive member of the department. Because there is no reduction in salary, the faculty member is expected to have a set of full-time responsibilities.

An eligible faculty member is encouraged to speak with his or her department head or chair as soon as possible about the need for modified duties to ensure the maximum amount of time for planning. A department chair, in conjunction with the director of Extension, is responsible for working with a faculty member to ensure a fair plan for modified duties is implemented, if possible, budgetary constraints are considered, and student or other needs are met. The policy does not create an entitlement if there are legitimate business-related reasons for denying the request. The department head or chair, in consultation with the dean or director, makes final decisions about the nature of the modified duties.

The provisions of this policy cannot adequately address all individual circumstances. Sick leave (including disability), leave without pay, or permanent reduction in appointment to part-time status may be options to consider for longer-term or more demanding needs. This policy is not intended to provide release time from teaching for the purpose of allowing additional time for research. Reduction in teaching assignment for research purposes is the prerogative of the Extension division and a function of the university’s program of study-research leaves.
Extension of the probationary period (see chapter fourteen, “Extending the Continued Appointment Clock”) is available to faculty members on continued appointment-track appointments who are confronted with extenuating personal or family circumstances, or birth or adoption of a child. The extension may be requested as a complement to a request for modified duties. However, the semester of modified duties does not automatically affect the continued appointment probationary period.

**Eligibility:** Modified duties may be requested by any faculty member in a full-time continued appointment or continued appointment-track appointment for the purpose of managing family responsibilities or, in exceptional cases, personal health issues not addressed by sick leave. The policy applies to eligible faculty upon employment.

**Guidelines:** The period of modified duties is one semester, or an equivalent amount of time for those faculty members whose responsibilities are not tied directly to teaching on the academic calendar.

Modification of duties should not result in additional duties during the subsequent semester, e.g., the faculty member should not be asked to make up the released teaching before or after the semester of modified duties. The faculty member cannot be employed by another institution during the period of modified duties, nor can the release time be used for extensive professional travel or other increased professional activities (including consulting) that do not meet the goals of the policy.

Medical documentation is required if the period of modified duties is requested related to a health issue not addressed by sick leave.

A semester of modified duties should be considered in addition to, not as a substitute for, sick leave and family leave available to those giving birth or adopting during the period of the appointment (i.e., during the academic year for those on academic year appointments, or any time for those on calendar year appointments). There are no work expectations for individuals on approved sick or family leave.

Requests for outside consulting during the period of modified duties are not usually approved.

A faculty member should submit a request for modified duties as early as possible so the department can plan appropriately. The request form is available on the [provost’s Faculty Forms page](https://example.com/provost-forms). The plan of proposed activities is developed in consultation with the department head or chair and the director of Extension. The duties can be department-based, division-based, or a combination thereof.

Subject to available funding, the Office of the Executive Vice President and Provost provides an allotment to the faculty member’s unit to replace teaching (or to use in other ways relevant to the duties) that is lost through the granting of a term of modified duties. Additional support from departments and divisions is strongly encouraged and should be noted in this request.
Approval of the department head or chair, director of Extension, and provost are necessary. If the department head or chair does not support the request, the reasons for denial are provided in writing, and the request is automatically forwarded to the dean or director for further review.

14.10 Consulting Activities for Virginia Cooperative Extension Faculty

See chapter two for information on Conflicts of Interest and Conflicts of Commitment. Consistent with the university’s policy and procedures on consulting activities, additional restrictions may be imposed on the consulting activity of Virginia Cooperative Extension faculty members. These restrictions are imposed to give further assurance that consulting approval is not granted for assistance, that is the usual responsibility of faculty members within Extension.

It is recognized that the outreach responsibilities of Extension are broad and, thus, program assistance parameters are difficult to define. Consequently, the following procedures are designed to provide judgmental decisions by appropriate supervisory staff for consulting requests in ambiguous areas of program responsibilities.

A Request to Engage in External Activity must be filed using the university’s online Disclosure and Management System. The request outlines the nature of the consulting activity and why it falls outside the usual responsibilities of Extension, and is sent to the department head, chair, or immediate supervisor along with a letter outlining the nature of the consulting activity and why it falls outside the usual responsibilities of Extension. (The form is available on the Conflicts of Interest and Commitment website.) Typically, consulting activities do not involve university sponsorship.

The department head, chair, or immediate supervisor reviews the Request to Engage in External Activity Form 13010A and either approves or disapproves it. If approval is granted, the request is sent to the college dean for approval. The director of Virginia Cooperative Extension grants final approval. If disapproval is exercised at any level, the request is sent back through the department head or supervisor, to the faculty member along with an explanation for the action. Additional review and approval by the university conflict of interest officer is required for disclosures involving business ownership interests of investigators (or their family members), significant financial interests related to sponsored research, or other sponsored activities, employment or funding of students/trainees/staff, and any proposed management plan.

Decisions are based upon, but not limited to, the following: consistency with guidelines stipulated in chapter two, “Consulting Activities for Virginia Cooperative Extension Faculty”; whether the area of consulting is found to be within or outside usual Extension responsibilities; and whether the time required falls within the number of consulting days allowed.
Provost’s Update

ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE

June 11, 2024

Cyril Clarke, executive vice president and provost, will provide an update.
Virginia Tech Global Distinction
Steering Committee

INTERIM REPORT

Dan Sui, Senior Vice President for Research and Innovation
Don Taylor, Executive Vice Provost
Logic Model

- Impacts: Long-term, cumulative effect
- Outcomes: Changes in knowledge, behaviors, or conditions
- Outputs: Direct results of the activities
- Activities: Processes, tools, events, technology, actions
- Inputs: Assets, capability, resources, culture, identity, reputation, partnerships

Virginia Tech Mission
Virginia Tech Global Distinction
Indicators of Excellence
Virginia Tech Global Distinction Steering Committee
## VT’s Performance in AAU Metrics

### Gross Performance

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<th>Comparison set -&gt;</th>
<th>Public Land Grant</th>
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### Normalized per Faculty

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Strategies can be grouped by time to impact

Crosscutting all time horizons:
• Use data to make strategic decisions
• Ensure clear and consistent communication

Short term strategies (Impact horizon: 1-3 years)
• Bolster recognition for existing excellence.

Medium term strategies (Impact horizon: 2-5 years)
• Foster research across diverse areas of distinction, encompassing a wide spectrum of disciplines and domains.
• Ensure talent is supported and empowered to engage in core activities

Long term strategies (Impact horizon: 5-10 years)
• Invest in talent.
• Scale enabling infrastructure to support a growing enterprise and diversifying enterprise.

*Not time to investment, or priority
Next Steps

• Gather additional input from stakeholders
• Conduct deep-dive studies in specific areas
• Align budget with recommendations
The Chair of the Academic, Research, and Student Affairs Committee will discuss possible agenda items for future meetings and provide closing remarks.
Open Session Agenda

BUILDINGS AND GROUNDS COMMITTEE

Monday, June 10, 2024
Tour departs at 3:30 p.m. from the Classroom Building.

**Agenda Item**  
1. Tour of North Academic District Construction Sites  
   a. Undergraduate Science Laboratory Building  
   b. Life, Health, Safety, Accessibility, and Code Compliance  
   c. Transit Center  
   d. Hitt Hall

**Reporting Responsibility**  
Bob Broyden  
Dwyn Taylor

Tuesday, June 11, 2024
Open session meeting begins at 10:00 a.m. in the Classroom Building, Room 230.

**Agenda Item**  
2. Welcome and Introductions

**Reporting Responsibility**  
Greta Harris

3. Consent Agenda  
   a. Minutes from the April 2024 Committee Meeting
   *  
   b. Resolution to Approve an Appointment to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority
   *  
   c. Resolution to Approve an Appointment to the Montgomery Regional Solid Waste Authority
   *  
   d. Resolution to Approve an Appointment to the New River Valley Regional Water Authority
   *  
   e. Resolution to Approve the Demolition of University Buildings No. 0438 and No. 0440A
   f. Acceptance of the Quarterly Capital Project Status Report

**Reporting Responsibility**  
Greta Harris  
Bob Broyden

4. Design Preview for the New Business Building

**Reporting Responsibility**  
Liza Morris


**Reporting Responsibility**  
Liza Morris

6. Discussion of Physical Accessibility Process and Progress

**Reporting Responsibility**  
Bob Broyden  
Kelly Oaks

7. Annual Report of the University Building Official

**Reporting Responsibility**  
Chris Kiel

8. Update on the Utilities Master Plan

**Reporting Responsibility**  
Nam Nguyen

9. Future Agenda Items and Closing Remarks

**Reporting Responsibility**  
Greta Harris

* Requires Full Board Approval
# Discusses Enterprise Risk Management Topic(s)
+ Discusses Strategic Investment Priorities Topic(s)
Open Session Briefing Report

BUILDINGS AND GROUNDS COMMITTEE

Monday, June 10, 2024

Open Session Tour

Tour departs at 3:30 p.m. from the Classroom Building.

1. Tour of North Academic District Construction Sites: The Committee will tour campus construction sites in the North Academic District.

   a. Undergraduate Science Laboratory Building: The Undergraduate Science Laboratory consists of approximately 102,400 gross square feet of new construction at the intersection of West Campus Drive and Perry Street. The purpose of the facility is to provide adequate laboratory and classroom space to support growth in Virginia Tech’s undergraduate science programs. Having last constructed a science laboratory building in the early 2000s, the university faces difficulty growing enrollment in these areas with the existing supply of space. The new facility also complements the adjacent Classroom Building completed in 2016. First included on the 2014-2020 Capital Outlay Plan, this $90.4 million project is funded entirely by state resources.

   b. Life, Health, Safety, Accessibility, and Code Compliance: Ensuring the safety, health, and accessibility of the campus environment is critical to the long-term success of the university and its service to the commonwealth. Three high-priority accessibility initiatives were identified by the university in the Life, Health, Safety, Accessibility, and Code Compliance category of the 2018-2024 Capital Outlay Plan. The university received total project funding of $10.4 million in Life, Health, Safety, Accessibility, and Code Compliance funds from the state for three priority projects.

   c. Transit Center: The Town of Blacksburg and the university entered a memorandum of understanding in 2012 and 2014 so that the town could develop the center to improve transit operations. The Town received grant funding from the Federal Transit Administration for the project and will operate the center through its department, Blacksburg Transit. The Transit Center is comprised of a new building, bus shelters, bus loop configurations to the east, west, and southwest, and will feature sustainable elements. The associated bus loops in the North Academic District of campus are aimed at improving the transit and alternate transportation services and safety of those services to Virginia Tech students, faculty, staff, and community. The center will centralize transit transfers and serve multiple modes of alternative transportation. The Transit Center is strategically located along...
the Infinite Loop and will provide administrative space for transit operations, multi-use meeting space, and information services.

d. **Hitt Hall:** Located in the North Academic District, the site is off West Campus Drive in an area bounded by Perry Street to the north, Derring Hall to the south, Bishop-Favrao Hall to the east, and the Classroom Building to the northwest. The approximately 100,000 gross square feet, three-story facility is organized in two wings around a central circulation link and collaboration space. Hitt Hall will provide an expansion of the Myers-Lawson School of Construction, add critical dining capacity, and include general assignment academic spaces in a new combined program facility for Virginia Tech. The $85 million project is split funded with $25 million in gifts, $13 million in internal lease funding, and $47 million in auxiliaries funding. This project was first proposed as part of the 2018-2024 Capital Outlay Plan.

**Tuesday, June 11, 2024**

**Open Session Meeting**

*Open session meeting begins at 10:00 a.m. in the Classroom Building, Room 230.*

2. **Welcome and Introductions:** The Committee Chair will convene the meeting and provide welcoming remarks.

3. **Consent Agenda:** The Committee will consider for approval the items listed on the Consent Agenda.
   
   a. **Minutes from the April 2024 Committee Meeting:** The Committee will review for approval the minutes from its April 2024 meeting.

   b. **Resolution to Approve an Appointment to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority:** The Committee will review for approval an appointment to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority. The university is requesting approval to appoint Dwyn Taylor, Vice President for Campus Planning, Infrastructure, and Facilities, as the Virginia Tech representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors.

   c. **Resolution to Approve an Appointment to the Montgomery Regional Solid Waste Authority:** The Committee will review for approval an appointment to the Montgomery Regional Solid Waste Authority. The university is requesting approval to appoint Dwyn Taylor, Vice President for Campus Planning, Infrastructure, and Facilities, as the Virginia Tech representative and member on the Montgomery Regional Solid Waste Authority Board of Directors.

* Requires Full Board Approval
# Discusses Enterprise Risk Management Topic(s)
+ Discusses Strategic Investment Priorities Topic(s)
d. **Resolution to Approve an Appointment to the New River Valley Regional Water Authority:** The Committee will review for approval an appointment to the New River Valley Regional Water Authority. The university is requesting approval to appoint Dwy恩 Taylor, Vice President for Campus Planning, Infrastructure, and Facilities, as the Virginia Tech representative and member on the New River Valley Regional Water Authority Board of Directors.

e. **Resolution to Approve the Demolition of University Buildings No. 0438 and No. 0440A:** The Committee will review for approval an authorization to demolish university buildings no. 0438 and no. 0440A. The university requests approval to demolish buildings no. 0438 (Poultry Isolation Building) and No. 0440A (Cinder Block Chicken House) located at the Vet Med Research Center on Prices Fork Road, in Blacksburg, Montgomery County, Virginia. Constructed in 1955, these two buildings were formerly used for poultry teaching and research programs. The buildings have fallen into disrepair and are beyond their useful life. The university desires to demolish the structures prior to further deterioration. The university will obtain review from the Department of Historic Resources and the Art and Architecture Review Board, and any required approvals prior to the demolition of these structures.

f. **Acceptance of the Quarterly Capital Project Status Report:** The Committee will review for acceptance the quarterly capital project status report. The current active portfolio of projects includes 16 authorized projects -- active and complete (within a 1-year warranty phase), has a total value of approximately $1.1 billion, adds approximately 1.3 million gross square feet of new construction, and renovates nearly 255,000 gross square feet of existing space.

4. **Design Preview for the New Business Building:** The Committee will review for approval the design preview for the New Business Building. The Pamplin College of Business is nationally recognized for its business programs and is integral to Virginia Tech’s delivery of instruction and research programming in support of the commonwealth. The New Business Building project will provide a consolidated location for the college, allowing the college to amplify program impact, as well as couple with the Data and Decision Sciences building to complete the academic facilities of the Global Business and Analytics Complex (GBAC). Once complete, GBAC will be a transformative academic and physical addition to the North Academic District. The prominent site, on the corner of Prices Fork Road and West Campus Drive, presents the university a valuable opportunity to create a new campus gateway at this previously undeveloped primary intersection. The project is in preliminary design with working drawings anticipated to start in early 2025 and construction substantial completion anticipated for fall 2027. The project planning authorization, approved at the April 4, 2022 Board of Visitors meeting, includes $8
5. Design Preview and Review for the Life, Health, Safety, Accessibility, and Code Compliance – Priority 3: The Committee will review for approval the joint design preview and review for the Life, Health, Safety, Accessibility, and Code Compliance – Priority 3 project. Ensuring the safety, health, and accessibility of the campus environment is critical to the long-term success of the university and its service to the commonwealth. This project is the third of three high-priority accessibility initiatives identified by the university in the Life, Health, Safety, Accessibility, and Code Compliance category of the 2018-2024 Capital Outlay Plan. The project is scoped to create a new accessible route on an existing primary pedestrian corridor to support equal access to key Education and General funded facilities in the North Academic District. The project is in the working drawings phase with construction anticipated to begin late fall of 2024 and to attain substantial completion summer of 2025. The university received total project funding of $10.4 million in Life, Health, Safety, Accessibility, and Code Compliance funds from the state for three priority projects, $1.86 million of which will be applied to this third priority project.

6. Discussion of Physical Accessibility Process and Progress: The Committee will participate in a discussion of physical accessibility process and progress with Bob Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, and Kelly Oaks, Associate Vice President for Equity and Accessibility. The discussion will focus on physical accessibility in context, process, prioritization mechanisms, integration within facilities planning, and resulting progress.

7. Annual Report of the University Building Official: The Committee will receive the annual report from the University Building Official, Chris Kiel. The University Building Official has primary responsibility for the proper management for, and enforcement of, the Virginia Uniform Statewide Building Code (VUSBC) to ensure that construction projects conducted on property owned by the university are completed in compliance with the code, related laws, and regulations. The office serves as primary liaison with outside regulatory agencies on code issues that affect the design, construction, and approval to occupy new university facilities or maintain existing facilities. The office was established in July 2010 after the Restructured Higher Education Financial and Administrative Operations Act of 2005 and the Management Agreement with the Commonwealth of Virginia granted the university the authority to designate its own building official. Organizationally, the University Building Official reports to the Board of Visitors through the Buildings and Grounds Committee.

8. Update on the Utilities Master Plan: The Committee will receive an update on the Utilities Master Plan from Nam Nguyen, Executive Director of Energy and Utilities. In 2018, Virginia Tech completed its most recent master planning effort resulting in 'Beyond Boundaries 2047: The Campus Plan. In 2020, Virginia Tech
revised its Climate Action Commitment, setting sustainability goals and milestones thru 2050. The Utilities Master Plan will provide a comprehensive framework to ensure that future programmatic needs are met and that the university remains a leader in the field of higher education infrastructure. The project is underway and expected to be completed in late 2024.

9. **Future Agenda Items and Closing Remarks:** The Committee will discuss potential topics for inclusion on future meeting agendas.
The Committee will participate in a tour of North Academic District construction sites.
Project Summary
The Undergraduate Science Laboratory consists of approximately 102,400 gross square feet of new construction at the intersection of West Campus Drive and Perry Street. The purpose of the facility is to provide adequate laboratory and classroom space to support growth in Virginia Tech’s undergraduate science programs. Having last constructed a science laboratory building in the early 2000s, the university faces difficulty growing enrollment in these areas with the existing supply of space. The new facility also complements the adjacent Classroom Building completed in 2016. First included on the 2014-2020 Capital Outlay Plan, this project is funded entirely by state resources.

Timeline
Construction Start: Spring 2022
Target Completion: Summer 2024

Build Method
CM at Risk

Gross Square Feet
102,366

Contractor
Skanska

Current Phase
Under construction

A/E
ZGF
Project Summary
Ensuring the safety, health, and accessibility of the campus environment is critical to the long-term success of the university and its service to the commonwealth. Three high-priority accessibility initiatives were identified by the university in the Life, Health, Safety, Accessibility, and Code Compliance category of the 2018-2024 Capital Outlay Plan. The university received total project funding of $10.4 million in Life, Health, Safety, Accessibility, and Code Compliance funds from the state for three priority projects.

- Priority 1 - a pair of elevator towers in the North Academic District.
- Priority 2 - an American with Disabilities Act (ADA)-compliant pathway in the North Academic District.
- Priority 3 - ADA-compliant pathway near Patton Hall.

Additional Design Features and Elements
- New bench seating
- Hokie Stone
- Transparent glazed glass
- New planters

Timeline: (Construction Start/Target Completion)
- Priority 1 - Spring 2023/Spring 2024
- Priority 2 - Spring 2024/Fall 2024
- Priority 3 - Fall 2024/Spring 2025

Build Method
Design-Bid-Build

A/E
- Priority 1 - Quinn Evans
- Priority 2 - Sasaki
- Priority 3 - Sasaki

Gross square feet
N/A
Current phase
- Priority 1 - Under construction
- Priority 2 - Under construction
- Priority 3 - In design

Contractor
- Priority 1 - W. M. Jordan Company
- Priority 2 - DCI/Shires, Inc.
- Priority 3 - TBD
Project Summary
The Town of Blacksburg and the university entered a memorandum of understanding in 2012 and 2014 so that the town could develop the center to improve transit operations. The Town received grant funding from the Federal Transit Administration for the project and will operate the center through its department, Blacksburg Transit. The Transit Center is comprised of a new building, bus shelters, bus loop configurations to the east, west, and southwest, and will feature sustainable elements. The associated bus loops in the North Academic District of campus are aimed at improving the transit and alternate transportation services and safety of those services to Virginia Tech students, faculty, staff, and community. The center will centralize transit transfers and serve multiple modes of alternative transportation. The Transit Center is strategically located along the Infinite Loop and will provide administrative space for transit operations, multi-use meeting space, and information services.

Additional Design Features and Elements
- New bench seating
- Hokie Stone
- Bike Repair

Timeline: (Construction Start/Target Completion)
Construction Start: Spring 2021
Target Completion: Summer 2024

Build Method
Design-Bid-Build

A/E
Wendel

Gross square feet
13,606

Current phase
Under Construction

Contractor
W.M. Schlosser
Tour of North Academic District Construction Sites
Hitt Hall

BUILDINGS AND GROUNDS COMMITTEE

Monday, June 10, 2024

Project Summary
On Aug. 30, 2021, the Virginia Tech Board of Visitors reviewed the design, and approved funding for, a new cutting-edge facility in the North Academic District of the Blacksburg campus. Hitt Hall will provide an expanded physical presence for the College of Engineering’s Myers-Lawson School of Construction as well as add critical dining and academic spaces.

Detailed in the university’s master plan, Hitt Hall will be located near West Campus Drive on a site amongst the existing New Classroom Building, Derring Hall, and Bishop-Favrao Hall. The project will support the master plan’s vision by installing a critical section of the Infinite Loop at the site, which is part of a two-mile fully accessible pathway that will link all campus districts.

The approximately 100,000-gross-square-foot multipurpose facility will provide Myers-Lawson School of Construction with innovation and discovery spaces in the building’s east wing.

Hitt Hall will feature a 600-seat full-service multivenu dining facility on two floors of the building’s west wing, flexible general assignment classrooms on the third floor, and open collaboration zones throughout. The dining capacity added by Hitt Hall, with its nine distinct dining venues, will increase and more evenly distribute dining services for students, faculty, and staff on the Blacksburg campus.

The building’s unique two-story Innovation Lab will provide program opportunities for temporary and large-scale student-based projects. And the surrounding exterior Innovation Plaza will provide additional space for outdoor demonstrations, teaching, and dining.

Hitt Hall’s classrooms, collaboration spaces, and restrooms will be ADA-compliant, to be consistent with all new construction at Virginia Tech.

Hitt Hall will be built in a collegiate gothic expression and a palette of materials consistent with Campus Design Principles and buildings on the Blacksburg campus, including signature Hokie Stone. Two outdoor terraces are integrated seamlessly into the architecture.
Philanthropy
Philanthropy plays a crucial role in Hitt Hall’s realization. The building is named in recognition of a multimillion dollar gift from the Hitt Family Foundation Inc. The Hitt family’s company, Hitt Contracting Inc., is one of the nation’s largest general contractors and has employed Virginia Tech graduates for years.

Sustainability Features
Hitt Hall will be constructed to obtain or exceed LEED Silver Certification. Environmentally friendly building components include energy-efficient HVAC systems and windows, water-efficient plumbing, refillable water bottle stations, and building materials secured through sustainable procurement practices.

Timeline
Construction Start: Spring 2022
Target Completion: Summer 2024

Build Method
CM at risk

Gross Square Feet
101,000

Contractor
W. M. Jordan Company

Current Phase
Under construction

A/E
Cooper Carry
Welcome and Introductions

BUILDINGS AND GROUNDS COMMITTEE

Tuesday, June 11, 2024

The Committee Chair will open with welcoming remarks and introductions.
Consent Agenda

BUILDINGS AND GROUNDS COMMITTEE

Tuesday, June 11, 2024

The Committee will consider for approval and acceptance the items listed on the Consent Agenda.

Consent Agenda

a. Minutes from the April 2024 Committee Meeting

* b. Resolution to Approve an Appointment to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority

* c. Resolution to Approve an Appointment to the Montgomery Regional Solid Waste Authority

* d. Resolution to Approve an Appointment to the New River Valley Water Authority

* e. Resolution to Approve the Demolition of University Buildings No. 0438 and No. 0440A

f. Acceptance of the Quarterly Capital Project Status Report

* Requires full Board approval.
Open Session Tour

The Buildings and Grounds Committee of the Board of Visitors of Virginia Polytechnic Institute and State University convened on Tuesday, April 9, 2024 at 8:45 a.m. in open session in Lobby of the Inn at Virginia Tech and Skelton Conference Center to depart for a tour. A quorum of the Committee was present. Chair Harris presided.

Board members present: Greta Harris (Committee Chair), David Calhoun, Sandy Cupp Davis, Bill Holtzman, Tish Long, Jeff Veatch, Janice Austin (A/P Faculty Representative), and Will Storey (Undergraduate Student Representative)

University personnel and guests: Bob Broyden, Greg Canaday, Alisha Ebert, Mark Gess, Ricky Johnston, Mark Owczarski, Justin Sheppard, John Tarter, Jon Clark Teglas, and Anthony Watson.

1. Tour of the Hokie Stone Quarry: The Committee toured the Hokie Stone Quarry. The random ashlar patterned stone facades (Hokie Stone) used on campus buildings are constructed of native limestone quarried and surfaced by university personnel. Virginia Tech’s quarry operations produce some 60 tons of Hokie Stone per week, or about 3,000 tons per year. A single ton of the stone will cover about 24 to 30 square feet on a building. The 40-acre quarry provides 85 percent of the stone used in campus construction.

   The tour concluded at 10:15 a.m.

Open Session Meeting

The Buildings and Grounds Committee of the Board of Visitors of Virginia Polytechnic Institute and State University convened on Tuesday, April 9, 2024 at 10:30 a.m. in open session in 2124 Gilbert Place. A quorum of the Committee was present. Chair Harris presided.

Board members present: Ed Baine (Rector), Greta Harris (Committee Chair), David Calhoun, Carrie Chenery, Sandy Cupp Davis, Nancy Dye, Bill Holtzman, Tish Long, Chris Petersen, John Rocovich, Jeff Veatch, Janice Austin (A/P Faculty Representative), LaTawnya Burleson (Staff Representative), Joseph Merola (Faculty Representative), Will Storey (Undergraduate Student Representative), and Emily Tirrell (Graduate Student Representative)
University personnel and guests: President Tim Sands, Lynsay Belshe, Bob Broyden, Cyril Clarke, Lance Collins, Joe Cooley, Al Cooper, Jeff Earley, Alisha Ebert, Mark Gess, Emily Gibson, Alan Grant, Chelsea Haines, Patrick Hilt, Frances Keene, Sharon Kurek, Lu Liu, Rob Mann, Elizabeth McClanahan, Ken Miller, Laurel Miner, Justin Noble, Kim O’Rourke, Kelly Oaks, Mark Owczarski, Sharon Pitt, Amy Sebring, Brennan Shepard, Ken Smith, Jon Clark Teglas, Tracy Vosburgh, and Chris Wise

2. Welcome and Introductions: The Committee Chair convened the meeting and provided welcoming remarks.

3. Consent Agenda: The Committee approved the items listed on the Consent Agenda.

   a. Minutes from the November 2023 Committee Meeting: The Committee approved the minutes from its November 2023 meeting.

   * Resolution to Approve an Appointment to the Montgomery Regional Solid Waste Authority: The Committee reviewed for approval a resolution to appoint a joint representative to the Montgomery Regional Solid Waste Authority (Authority). The Authority consists of five directors who are responsible for its management and operation. One director is appointed by each of the four political subdivisions, and the other director is appointed jointly by all governing bodies. Sharon G. Scott currently serves as a joint representative and has expressed her desire to continue in that role. The local political subdivisions and Virginia Tech desire to re-appoint Sharon G. Scott, as the joint representative for a term of four years.

      The Committee recommended the resolution to the full Board for approval.

   c. Acceptance of the Capital Project Status Report: The Committee accepted the quarterly capital project status report. The current active portfolio of projects includes 18 authorized projects -- active and complete (within a 1-year warranty phase), has a total value of approximately $1.1 billion, adds approximately 1.3 million gross square feet (GSF) of new construction, and renovates nearly 300,000 gross square feet of existing space.

4. Discussion of Facilities Condition Assessments and Facility Maintenance Programs: The Committee participated in a discussion of facilities condition assessments and facility maintenance programs led by Bob Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities. Virginia Tech is committed to providing a safe, inclusive, accessible, sustainable, mission-centric, partner-focused, and cost-effective infrastructure that preserves, fosters, complements, and advances the university’s distinct senses of place and service. Extensive land holdings, effectively maintained and growing facilities, and a modern inventory of equipment and systems provide a sound foundation for current programs and future initiatives. With 250,000 living alumni and students who have come to Tech from every state and more than 100 countries, Virginia Tech is rooted in many places.

   * Requires Full Board Approval
   # Discusses Enterprise Risk Management Topic(s)
   + Discusses Strategic Investment Priorities Topic(s)
Virginia Tech has a 2,800-acre campus in Blacksburg; a significant presence across the commonwealth, including the Innovation Campus in Northern Virginia, the Health Sciences and Technology Campus in Roanoke, and sites in Newport News and Richmond; educational and research facilities across the state; a study-abroad site in Switzerland; and an 1,800-acre agriculture research farm near the main campus. As the university meets the global demands of the future, the ‘campus’ is constantly adapting to fulfill learning and research needs. The university's facilities management function strives to ensure assets are available for service and continuity of operations.

5. Update on Agricultural Facilities: The Committee received an update from Alan Grant, Dean of the College of Agriculture and Life Sciences, on agricultural facilities planning and construction.

6. Update from the Vice President of Campus Planning, Infrastructure, and Facilities: The Committee received an update from Bob Broyden, Interim Vice President of Campus Planning, Infrastructure, and Facilities.

7. Future Agenda Items and Closing Remarks: The Committee discussed potential topics for inclusion on future meeting agendas.

There being no further business, the meeting adjourned at 11:46 a.m.

**************************
Open Session Agenda

BUILDINGS AND GROUNDS COMMITTEE

Tuesday, April 9, 2024

Bus departs for tour at 8:45 a.m.
from the Lobby of the Inn at Virginia Tech and Skelton Conference Center.

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<th>Agenda Item</th>
<th>Reporting Responsibility</th>
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<tr>
<td># + 1. Tour of the Hokie Stone Quarry</td>
<td>Bob Broyden</td>
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Open session meeting resumes at 10:30 a.m.
in Room 2124 Gilbert Place.

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<tr>
<td>2. Welcome and Introductions</td>
<td>Greta Harris</td>
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</tr>
</thead>
<tbody>
<tr>
<td>3. Consent Agenda</td>
<td></td>
</tr>
<tr>
<td>a. Minutes from the November 2023 Committee Meeting</td>
<td>Bob Broyden</td>
</tr>
<tr>
<td>* b. Resolution to Approve an Appointment to the Montgomery Regional Solid Waste Authority</td>
<td>Greta Harris</td>
</tr>
<tr>
<td>c. Quarterly Capital Construction Status Report</td>
<td></td>
</tr>
</tbody>
</table>

| # + 4. Discussion of Facilities Condition Assessments and Facility Maintenance Programs | Bob Broyden |

| # + 5. Update on Agricultural Facilities | Alan Grant |

| 6. Update from the Vice President of Campus Planning, Infrastructure, and Facilities | Bob Broyden |

| 7. Future Agenda Items and Closing Remarks | Greta Harris |

* Requires Full Board Approval
# Discusses Enterprise Risk Management Topic(s)
+ Discusses Strategic Investment Priorities Topic(s)
RESOLUTION TO APPROVE AN APPOINTMENT TO THE BLACKSBURG-VIRGINIA POLYTECHNIC INSTITUTE SANITATION AUTHORITY

The university is requesting approval to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as the Virginia Tech representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors.
RESOLUTION TO APPROVE AN APPOINTMENT TO THE BLACKSBURG-VIRGINIA POLYTECHNIC INSTITUTE SANITATION AUTHORITY

WHEREAS, the Blacksburg-Virginia Polytechnic Institute Sanitation Authority (the Authority) consists of five members who are responsible for the management and operation of the Authority; and,

WHEREAS, each of the political subdivisions have the right to appoint one member, and three at-large members are appointed jointly by the Virginia Tech Board of Visitors and the Blacksburg Town Council; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, currently serves as the university’s representative to the Authority for a term expiring December 31, 2027; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, will retire from his university position effective June 24, 2024; and,

WHEREAS, Virginia Tech desires to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as the university’s representative to the Authority, effective June 25, 2024, for the term expiring December 31, 2027;

NOW, THEREFORE, BE IT RESOLVED, that G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, be named the university’s representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors, effective June 25, 2024, for a term expiring December 31, 2027.

RECOMMENDATION:
That the resolution recommending G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, be named the university’s representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors be approved.

June 11, 2024
RESOLUTION TO APPROVE AN APPOINTMENT TO THE MONTGOMERY REGIONAL SOLID WASTE AUTHORITY

The university is requesting approval to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as the Virginia Tech representative and member on the Montgomery Regional Solid Waste Authority Board of Directors.
RESOLUTION TO APPROVE AN APPOINTMENT TO THE MONTGOMERY REGIONAL SOLID WASTE AUTHORITY

WHEREAS, the Montgomery Regional Solid Waste Authority (the Authority) consists of five directors who are responsible for the management and operation of the Authority; and,

WHEREAS, one director is appointed by each of the four political subdivisions, and the other director is appointed jointly by all governing bodies; and,

WHEREAS, it is necessary to appoint members of its Board of Directors in accordance with the amended Articles of Incorporation; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, currently serves as the university’s representative for a term expiring June 30, 2026; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, will retire from his university position effective June 24, 2024; and,

WHEREAS, Virginia Tech desires to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as the university’s representative, effective June 25, 2024, for the term expiring June 30, 2026;

NOW, THEREFORE, BE IT RESOLVED, that G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, be named the university’s representative and member on the Montgomery Regional Solid Waste Authority Board of Directors, effective June 25, 2024, for a term expiring June 30, 2026.

RECOMMENDATION:
That the resolution recommending G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities be named the university’s representative and member on the Montgomery Regional Solid Waste Authority Board of Directors be approved.

June 11, 2024
RESOLUTION TO APPROVE AN APPOINTMENT TO THE NEW RIVER VALLEY REGIONAL WATER AUTHORITY

The university is requesting approval to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as the Virginia Tech representative and member on the New River Valley Regional Water Authority Board of Directors.
RESOLUTION TO APPROVE AN APPOINTMENT TO THE NEW RIVER VALLEY REGIONAL WATER AUTHORITY

WHEREAS, the New River Valley Regional Water Authority (Authority) consists of five members who are responsible for the management and operation of the Authority; and,

WHEREAS, each of the political subdivisions have the right to appoint one member and one at-large member is appointed jointly by the Virginia Tech Board of Visitors, the Blacksburg and Christiansburg Town Councils, and the Montgomery County Board of Supervisors; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, currently serves as the university’s representative to the Authority for a term expiring June 30, 2024; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, will retire from his university position effective June 24, 2024; and,

WHEREAS, Virginia Tech desires to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as the university’s representative to the Authority, effective June 25, 2024, as the university’s representative to complete the current appointment term expiring June 30, 2024 as well as a new term beginning July 1, 2024 and expiring June 30, 2028;

NOW, THEREFORE, BE IT RESOLVED, that G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities be appointed as the university’s representative to the New River Valley Regional Water Authority, effective June 25, 2024, to complete the current appointment term expiring June 30, 2024; and,

BE IT FURTHER RESOLVED, that G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, be named the university’s representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors for a term beginning July 1, 2024 and expiring June 30, 2028.

RECOMMENDATION:
That the resolution recommending G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities be named the university’s representative to and member on the New River Valley Regional Water Authority Board of Directors be approved.

June 11, 2024
RESOLUTION TO APPROVE THE DEMOLITION OF UNIVERSITY BUILDINGS
NO. 0438 AND NO. 0440A

The university requests approval to demolish Buildings No. 0438 (Poultry Isolation Building) and No. 0440A (Cinder Block Chicken House) located at the Vet Med Research Center on Prices Fork Road, in Blacksburg, Montgomery County, Virginia. Constructed in 1955, these two buildings were formerly used for poultry teaching and research programs. The buildings have fallen into disrepair and are beyond their useful life. The university desires to demolish the structures prior to further deterioration.

The university will obtain review from the Department of Historic Resources and the Art and Architecture Review Board, and any required approvals prior to the demolition of these structures.
RESOLUTION TO APPROVE THE DEMOLITION OF UNIVERSITY BUILDINGS
NO. 0438 AND NO. 0440A

WHEREAS, under the 2006 Management Agreement between the Commonwealth of Virginia and the university, the Board of Visitors has the authority to approve the demolition of any building or land; and,

WHEREAS, Buildings No. 0438 (Poultry Isolation Building) and No. 0440A (Cinder Block Chicken House) are located at the Vet Med Research Center on Prices Fork Road, in Blacksburg, Montgomery County, Virginia, and are beyond their useful life as experimental and teaching structures; and,

WHEREAS, the university desires to proceed with demolition of these structures prior to further deterioration; and,

WHEREAS, the university will obtain required approvals prior to the demolition of these structures;

NOW, THEREFORE, BE IT RESOLVED that the Board of Visitors approve the demolition of Buildings No. 0438 and 0440A located at the Vet Med Research Center on Prices Fork Road, in Blacksburg, Montgomery County, Virginia in accordance with the applicable statues of the Code of Virginia (1950), as amended.

RECOMMENDATION:
That the resolution authorizing the demolition of University Buildings No. 0438 and No. 0440A be approved.

June 11, 2024
RESOLUTION TO APPROVE THE
DEMOLITION OF
UNIVERSITY BUILDINGS
NO. 0438 AND NO. 0440A

LIZA MORRIS
ASSISTANT VICE PRESIDENT FOR PLANNING AND UNIVERSITY ARCHITECT

June 11, 2024
PROJECT LOCATION

SITE

Virginia Tech
Blacksburg, VA

DEMOLITION OF UNIVERSITY BUILDINGS 0438 & 0440A
Building No. 0438
(Poultry Isolation Building)

Building No. 0440A
(Cinder Block Chicken House)

PROJECT SITE

/ DEMOLITION OF UNIVERSITY BUILDINGS 0438 & 0440A
EXISTING CONDITIONS

BUILDING NO. 0438

VIEW TO THE NORTHWEST

VIEW TO THE SOUTHEAST
EXISTING CONDITIONS

BUILDING NO. 0440A

VIEW TO THE WEST

VIEW TO THE NORTHEAST

DEMOLITION OF UNIVERSITY BUILDINGS 0438 & 0440A
That the resolution authorizing the Demolition of University Buildings No. 0438 and No. 0440A be approved.
CAPITAL PROJECT PORTFOLIO

- 16 authorized projects -- active and complete (w/in 1-year warranty phase)
- Total value of ~$1.1B
- Generates ~1.3M gross square feet (GSF) of new construction
- Renovates nearly 255K GSF of existing space
CAPITAL PROJECT PORTFOLIO

LEGEND
- In Design
- Under Construction
- Warranty/Complete
* Design Only

VT-C School of Medicine
Innovation Campus
### CAPITAL CONSTRUCTION EXECUTIVE SUMMARY (PROGRESSIVE)

**Date Prepared:** 23 MAY 2024

<table>
<thead>
<tr>
<th>Project Title</th>
<th>Total Project Budget ($M)</th>
<th>Construction Budget ($M) (Construction Contract Value)</th>
<th>New Const. (GSF)</th>
<th>Renovation (GSF)</th>
<th>CY 2023 FY23</th>
<th>CY 2024 FY24</th>
<th>CY 2025 FY25</th>
<th>CY 2026 FY26</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corps Leadership &amp; Military Science Building</td>
<td>52.0</td>
<td>37.9</td>
<td>65,428</td>
<td>8,449</td>
<td>Q3 Jan-Mar</td>
<td>Q4 Apr-Jun</td>
<td>Q1 Jul-Sep</td>
<td>Q2 Oct-Dec</td>
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<tr>
<td>New Upper Quad Residence Hall</td>
<td>42.0</td>
<td>32.0</td>
<td>56,650</td>
<td></td>
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<tr>
<td>Shaffer Hall Repairs</td>
<td>7.5</td>
<td>5.6</td>
<td></td>
<td>38,000</td>
<td></td>
<td></td>
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<tr>
<td>Building Envelope Improvements (Note 2)</td>
<td>47.2</td>
<td>41.9</td>
<td></td>
<td>N/A</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>HITT Hall</td>
<td>85.0</td>
<td>65.5</td>
<td>101,000</td>
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<td>Student Wellness Improvements</td>
<td>70.0</td>
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<tr>
<td>Football Locker Room Renovation</td>
<td>5.9</td>
<td>4.1</td>
<td></td>
<td>4,200</td>
<td></td>
<td></td>
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<tr>
<td>Transit Center (Note 1)</td>
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<td>N/A</td>
<td></td>
<td>13,606</td>
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<tr>
<td>Undergraduate Science Laboratory Building</td>
<td>90.4</td>
<td>69.5</td>
<td>120,746</td>
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<tr>
<td>Innovation Campus – Academic Building</td>
<td>302.1</td>
<td>226.3</td>
<td>299,733</td>
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<td>Life, Health, Safety, Accessibility, &amp; Code Compliance (Note 3)</td>
<td>10.4</td>
<td>3.9</td>
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<td>N/A</td>
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<tr>
<td>Livestock &amp; Poultry Research Facilities – Phase I – Various Locations</td>
<td>25.3</td>
<td>18.2</td>
<td>129,100</td>
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<tr>
<td>Mitchell Hall (Note 4&amp;5)</td>
<td>292.3</td>
<td>229.3</td>
<td>285,500</td>
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<tr>
<td>New Business Building (Planning – Design Only)</td>
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<td>TBD</td>
<td>92,295</td>
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<tr>
<td>Student Life Village – Phase I (Planning – Design Only)</td>
<td>19.5</td>
<td>TBD</td>
<td>TBD</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Virginia Tech-Carilion School of Medicine Expansion (Planning – Design Only)</td>
<td>9.0</td>
<td>TBD</td>
<td>TBD</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Improve Center Woods Complex (Planning – Design Only)</td>
<td>846K</td>
<td>TBD</td>
<td>TBD</td>
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</tbody>
</table>

**Totals:** $1,067.4, 1,164,058, 254,649

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**LEGEND**

- **Design:**
- **Construction:**
- **Warranty:**
- **Construction Phase TBD:**
- **SD= Schematic Design:**
- **PD= Preliminary Design:**
- **WD= Working Drawings:**

**NOTE 1** Non-Virginia Tech project

**NOTE 2** Building Envelope Improvements includes four (4) phases: (1) Lane Stadium (Scheduled to complete in spring 2024) followed by (2) Torgerson, (3) Hahn, and (4) Inn at Virginia Tech which are currently unscheduled

**NOTE 3** Life, Health, Safety Acc. & Code Compliance includes three (3) phases: (1) Derring Steps Elevator Towers (scheduled to complete in June 2024) followed by Green Link Priorities 2 (currently underway) & 3 (currently in design)

**NOTE 4** Multiple GMPs results in design/construction overlap (fast track)

**NOTE 5** Estimated construction completion of Mitchell Hall is December 2027
NEW BUSINESS BUILDING

STUDENT LIFE VILLAGE – PHASE I

IMPROVE CENTER WOODS COMPLEX

VIRGINIA TECH-CARILLON SCHOOL OF MEDICINE EXPANSION* (ROANOKE, VA)
PLANNING: NEW BUSINESS BUILDING

CM at Risk – BOV Authorized

Status
► Preliminary Design underway
► CMaR pre-construction services contract underway

Next Actions
► Targeting BOV Construction Authorization in fall 2024
**PLANNING: STUDENT LIFE VILLAGE – PHASE 1**  
CM at Risk – BOV Authorized

### Status
- Schematic Design underway
- CMaR in procurement

### Next Actions
- Finalize procurement of CMaR preconstruction services contract

#### Designer: Little/Boudreaux

#### Builder: TBD

### PROJECT TITLE
- Student Life Village – Phase I (Planning – Design Only)

### PROJECT BUDGET
- **Total Project Budget ($M)**
  - $19.5
- **Construction Budget ($M)**
  - TBD
- **NEW CONSTR. (GSF)**
  - TBD
- **RENOVATION (GSF)**
  - TBD

### CY 2023
- **FY23**
  - **Q3**
    - Jan-Mar
  - **FY24**
    - Q1: Apr-Jun
    - Q2: Jul-Sep
    - Q3: Oct-Dec
    - Q4: Jan-Mar
- **FY25**
  - Q1: Apr-Jun
  - Q2: Jul-Sep
  - Q3: Oct-Dec
  - Q4: Jan-Mar
- **FY26**
  - Q1: Apr-Jun
  - Q2: Jul-Sep
  - Q3: Oct-Dec

### CY 2024
- **FY24**
  - Q1: Apr-Jun
  - Q2: Jul-Sep
  - Q3: Oct-Dec
  - Q4: Jan-Mar

### CY 2025
- **FY25**
  - Q1: Apr-Jun
  - Q2: Jul-Sep
  - Q3: Oct-Dec
  - Q4: Jan-Mar

### CY 2026
- **FY26**
  - Q1: Apr-Jun
  - Q2: Jul-Sep

---

**Legend**
- Design
- Construction
- Warranty
- Construction Phase TBD
- SD= Schematic Design
- PD= Preliminary Design
- WD= Working Drawings
### PLANNING: VIRGINIA TECH-CARILION SCHOOL OF MEDICINE EXPANSION
CM at Risk – BOV Authorized

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>TOTAL PROJECT BUDGET ($M)</th>
<th>CONSTRUCTION BUDGET ($M)</th>
<th>NEW CONST (GSF)</th>
<th>RENOVATION (GSF)</th>
<th>CY 2023</th>
<th>CY 2024</th>
<th>CY 2025</th>
<th>CY 2026</th>
</tr>
</thead>
<tbody>
<tr>
<td>Virginia Tech-Carilion School of Medicine Expansion (Planning – Design Only)</td>
<td>$9.0</td>
<td>TBD</td>
<td>TBD</td>
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</tbody>
</table>

**Status**

- Procurement of A/E for design services underway

**Next Actions**

- Finalize procurement of A/E and begin initial design
- Procure CMaR preconstruction services contract

---

**Legend**
- **Design**: Design
- **Construction**: Construction
- **Warranty**: Warranty
- **Construction Phase TBD**: Construction Phase TBD
- **SD**: Schematic Design
- **PD**: Preliminary Design
- **WD**: Working Drawings

**Designer**: TBD

**Builder**: TBD
**PLANNING: IMPROVE CENTER WOODS COMPLEX**

Design-Bid-Build – BOV Authorized

Status

- Schematic Design underway

Next Actions

- Continue design efforts

---

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>TOTAL PROJECT BUDGET (SM)</th>
<th>CONSTRUCTION BUDGET (SM)</th>
<th>NEW CONST. (GSF)</th>
<th>RENOVATION (GSF)</th>
<th>FY23</th>
<th>FY24</th>
<th>FY25</th>
<th>FY26</th>
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<td>Q3 Jan-Mar</td>
<td>Q4 Apr-Jun</td>
<td>Q1 Jul-Sep</td>
<td>Q2 Oct-Dec</td>
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<td>Q3 Jan-Mar</td>
<td>Q4 Apr-Jun</td>
<td>Q1 Jul-Sep</td>
<td>Q2 Oct-Dec</td>
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<td>Q3 Jan-Mar</td>
<td>Q4 Apr-Jun</td>
<td>Q1 Jul-Sep</td>
<td>Q2 Oct-Dec</td>
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<tr>
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<td></td>
<td></td>
<td></td>
<td>Q3 Jan-Mar</td>
<td>Q4 Apr-Jun</td>
<td>Q1 Jul-Sep</td>
<td>Q2 Oct-Dec</td>
</tr>
</tbody>
</table>

Improve Center Woods Complex (Planning – Design Only) $846K TBD TBD

**LEGEND**
- Design
- Construction
- Warranty
- Construction Phase TBD
- SD= Schematic Design
- PD= Preliminary Design
- WD= Working Drawings

Designer: TBD

Builder: TBD
UNDER CONSTRUCTION
ACTIVE CONSTRUCTION PROJECTS
Virginia Tech Division of Campus Planning, Infrastructure, and Facilities | Capital Project Status Report, June, 2024

**BUILDING ENVELOPE IMPROVEMENTS**
Design-Bid-Build – BOV Authorized

### Status

- Envelope improvements planned for four buildings
- Construction on first building 98% complete

### Next Actions

- Complete Lane Stadium and begin project close-out
- Issue IFB for next building (Torgersen Hall)

### Table: Project Title and Budget

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>TOTAL PROJECT BUDGET ($)</th>
<th>CONSTRUCTION BUDGET ($)</th>
<th>NEW CONST. (GSF)</th>
<th>RENOVATION (GSF)</th>
<th>CY 2023 FY23</th>
<th>CY 2024 FY24</th>
<th>CY 2025 FY25</th>
<th>CY 2026 Q3 FY26</th>
</tr>
</thead>
<tbody>
<tr>
<td>Building Envelope Improvements</td>
<td>$47.2</td>
<td>$41.9</td>
<td>N/A</td>
<td></td>
<td>Q3 Jan-Mar</td>
<td>Q4 Apr-Jun</td>
<td>Q1 Jul-Sep</td>
<td>Q2 Oct-Dec</td>
</tr>
</tbody>
</table>

**LEGEND**

- **Design**
- **Construction**
- **Warranty**
- **Construction Phase TBD**
- **SD= Schematic Design**
- **PD= Preliminary Design**
- **WD= Working Drawings**

**Designer:** WJE

**Builder:** Carolina Restoration
**HITT HALL**

CM at Risk – BOV Authorized

### Status
- Construction 97% complete

### Next Actions
- Complete construction and begin project close-out

#### Project Budget Overview

<table>
<thead>
<tr>
<th>TOTAL PROJECT BUDGET ($M)</th>
<th>CONSTRUCTION BUDGET ($M)</th>
<th>NEW CONST. (GSF)</th>
<th>RENOVATION (GSF)</th>
</tr>
</thead>
<tbody>
<tr>
<td>HITT Hall</td>
<td>$85.0</td>
<td>$65.5</td>
<td>101,000</td>
</tr>
</tbody>
</table>

**Legend**
- **Design**
- **Construction**
- **Warranty**
- **Construction Phase TBD**
- **SD= Schematic Design**
- **PD= Preliminary Design**
- **WD= Working Drawings**

**Designer:** Cooper Cary  
**Builder:** WM Jordan
### STUDENT WELLNESS IMPROVEMENTS

**CM at Risk – BOV Authorized**

#### Status
- Construction 95% complete

#### Next Actions
- Complete construction and begin project close-out

| PROJECT TITLE               | TOTAL PROJECT BUDGET ($M) | CONSTRUCTION BUDGET ($M) | NEW CONST. (GSF) | RENOWATION (GSF) | CY 2023 FY23 | Q1 Jan-Mar | Q2 Oct-Dec | Q3 Jan-Mar | Q4 Apr-Jun | FY24 | Q1 Jul-Sep | Q2 Oct-Dec | Q3 Jan-Mar | Q4 Apr-Jun | FY25 | Q1 Jul-Sep | Q2 Oct-Dec | Q3 Jan-Mar | Q4 Apr-Jun | FY26 | Q1 Jul-Sep | Q2 Oct-Dec |
|-----------------------------|---------------------------|---------------------------|------------------|------------------|----------------|-------------|------------|------------|------------|------------|------|------------|------------|------------|------------|------|------------|------------|------------|------------|------|------------|------------|
| Student Wellness Improvements | $70.0                     | $56.3                     | 204,000          |                  |                |              |            |            |            |            |      |            |            |            |            |      |            |            |            |            |      |            |            |

**Legend**
- **Design**
- **Construction**
- **Warranty**
- **Construction Phase TBD**
- **SD= Schematic Design**
- **PD= Preliminary Design**
- **WD= Working Drawings**

**Designer:** Cannon Design  
**Builder:** Whiting-Turner
FOOTBALL LOCKER ROOM RENOVATION
Design-Bid-Build – BOV Authorized

Status
► Construction 90% complete

Next Actions
► Complete construction and begin project close-out

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>TOTAL PROJECT BUDGET ($M)</th>
<th>CONSTRUCTION BUDGET ($M)</th>
<th>NEW CONST. (GSF)</th>
<th>RENOVATION (GSF)</th>
<th>FY23</th>
<th>FY24</th>
<th>FY25</th>
<th>FY26</th>
</tr>
</thead>
<tbody>
<tr>
<td>Football Locker Room Renovation</td>
<td>$5.9</td>
<td>$4.1</td>
<td>4,200</td>
<td></td>
<td>Q3 Jan-Mar</td>
<td>Q4 Apr-Jun</td>
<td>Q1 Jul-Sep</td>
<td>Q2 Oct-Dec</td>
</tr>
</tbody>
</table>

LEGEND
- Design
- Construction
- Warranty
- Construction Phase TBD
- SD= Schematic Design
- PD= Preliminary Design
- WD= Working Drawings

Designer: HNTB
Builder: Thor
**UNDERGRADUATE SCIENCE LABORATORY BUILDING**

**CM at Risk – State Authorized**

### Status

- Construction 91% complete

### Next Actions

- Complete construction and begin project close-out

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>TOTAL PROJECT BUDGET ($M)</th>
<th>CONSTRUCTION BUDGET ($M)</th>
<th>NEW CONST. (GSF)</th>
<th>RENOVATION (GSF)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undergraduate Science Laboratory Building</td>
<td>$90.4</td>
<td>$69.5</td>
<td>120,746</td>
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</table>

**Legend**
- **Design**
- **Construction**
- **Warranty**
- **Construction Phase TBD**
- **SD= Schematic Design**
- **PD= Preliminary Design**
- **WD= Working Drawings**

**Designer:** ZGF

**Builder:** Skanska
### INNOVATION CAMPUS – ACADEMIC BUILDING

**CM at Risk – State Authorized**

#### Status
- Construction 82% complete

#### Next Actions
- Anticipated completion late fall 2024/early 2025

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>TOTAL PROJECT BUDGET (SM)</th>
<th>CONSTRUCTION BUDGET (SM)</th>
<th>NEW CONSTR. (GSF)</th>
<th>RENOVATION (GSF)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Innovation Campus – Academic Building</td>
<td>$302.1</td>
<td>$226.3</td>
<td>299,733</td>
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</tr>
</tbody>
</table>

**Designer:** Smith Group  
**Builder:** Whiting-Turner

---

**Legend:**
- **Design**
- **Construction**
- **Warranty**
- **Construction Phase TBD**
- **SD= Schematic Design**
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---

**Calendar:**
- **FY23:**
  - Q3 Jan-Mar
  - Q4 Apr-Jun
  - Q1 Jul-Sep
  - Q2 Oct-Dec

- **FY24:**
  - Q3 Jan-Mar
  - Q4 Apr-Jun
  - Q1 Jul-Sep
  - Q2 Oct-Dec

- **FY25:**
  - Q3 Jan-Mar
  - Q4 Apr-Jun
  - Q1 Jul-Sep
  - Q2 Oct-Dec

- **FY26:**
  - Q3 Jan-Mar
  - Q4 Apr-Jun
  - Q1 Jul-Sep
  - Q2 Oct-Dec
**LIFE, HEALTH, SAFETY, ACCESSIBILITY, & CODE COMPLIANCE**

Design-Bid-Build – State Authorized

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>TOTAL PROJECT BUDGET (SM)</th>
<th>CONSTRUCTION BUDGET (SM)</th>
<th>NEW CONST. GSF</th>
<th>RENOVATION GSF</th>
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<th>CY 2025</th>
<th>CY 2026</th>
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<tbody>
<tr>
<td>Life, Health, Safety, Accessibility, &amp; Code Compliance</td>
<td>$10.4</td>
<td>$3.9</td>
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<td>Q3</td>
<td>Q4</td>
<td>Q1</td>
<td>Q2</td>
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<tr>
<td></td>
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<td></td>
<td>Jan-Mar</td>
<td>Apr-Jun</td>
<td>Jul-Sep</td>
<td>Oct-Dec</td>
</tr>
</tbody>
</table>

**Status**

- Multi-phase execution
- Priority 1 Derring Exterior Elevators construction 99% complete
- Priority 2 Green Link construction underway (20% complete)
- Priority 3 Green Link under design

**Next Actions**

- Complete Priority 1 construction and begin project close-out
- Continue Priority 2 construction
- Finalize Priority 3 design and develop IFB

**Legend**

- Design
- Construction
- Warranty
- Construction Phase TBD
- SD= Schematic Design
- PD= Preliminary Design
- WD= Working Drawings

Designer: Various

Builder: Various
## LIVESTOCK & POULTRY RESEARCH FACILITIES – PHASE I
(BID PACKAGE 5)
Design-Bid-Build – State Authorized

### Status

- Bid package #5: 1st of 3 barns under construction (15% complete)

### Next Actions

- Complete 3 barns in sequence

### Table

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>TOTAL PROJECT BUDGET ($M)</th>
<th>CONSTRUCTION BUDGET ($M) (Constructable Contract Value)</th>
<th>NEW CONST. (GSF)</th>
<th>RENOVATION (GSF)</th>
<th>FY23</th>
<th>FY24</th>
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<th>FY26</th>
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<tbody>
<tr>
<td>Livestock &amp; Poultry Research Facilities Phase I – Various Locations</td>
<td>$25.3</td>
<td>$18.2</td>
<td>129,100</td>
<td></td>
<td>Jan-Mar</td>
<td>Apr-Jun</td>
<td>Jul-Sep</td>
<td>Oct-Dec</td>
</tr>
</tbody>
</table>

### Diagram (Not shown)

- Designer: Spectrum Design
- Builder: Various

### Diagram

- Bid package #5: 1st of 3 barns under construction (15% complete)
- Next Actions: Complete 3 barns in sequence
MORIEL HALL
CM at Risk – State Authorized

Status
► GMP-1 (demolition & early site package) underway
► GMP-2 (building construction) in development

Next Actions
► Demolish Randolph Hall
► Finalize GMP-2 and issue permits for construction (Fall 2024)

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>TOTAL PROJECT BUDGET ($M)</th>
<th>CONSTRUCTION BUDGET ($M)</th>
<th>NEW CONST. (GSF)</th>
<th>RENOVATION (GSF)</th>
<th>CY 2023</th>
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<th>CY 2025</th>
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<tbody>
<tr>
<td>Mitchell Hall</td>
<td>$292.3</td>
<td>$229.3</td>
<td>285,500</td>
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LEGEND
Design     Construction     Warranty     Construction Phase TBD     SD= Schematic Design     PD= Preliminary Design     WD= Working Drawings

Designer: Perkins & Will
Builder: Skanska
**TRANSIT CENTER**
Design-Bid-Build – Town of Blacksburg (ToB)

**Status**

- Construction 92% complete

**Next Actions**

- Anticipated completion in summer 2024
- Blacksburg Transit initiate bus loop operations in June 2024

### Project Details

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>TOTAL PROJECT BUDGET ($)</th>
<th>CONSTRUCTION BUDGET ($)</th>
<th>NEW CONST. (GSF)</th>
<th>RENOVATION (GSF)</th>
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<tr>
<td>Transit Center</td>
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**Legend**

- **Design**
- **Construction**
- **Warranty**
- **Construction Phase TBD**
- **SD= Schematic Design**
- **PD= Preliminary Design**
- **WD= Working Drawings**

**Designer:** Wendel (ToB Contract)

**Builder:** WM Schlosser (ToB Contract)
PROJECTS UNDER WARRANTY
PROJECTS UNDER WARRANTY

- Livestock & Poultry Research Facilities – Phase I (Various Locations)
- Corps Leadership & Military Science Building
- New Upper Quad Residence Hall
- Slusher Hall Repairs
### CORPS LEADERSHIP & MILITARY SCIENCE BUILDING

**CM at Risk – BOV Authorized**

**COMPLETE**

### Status

- Project complete

### Next Actions

- Close out project

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
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<td>Apr-Jun</td>
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<td>Q1</td>
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<td>Jan-Mar</td>
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<td>Oct-Dec</td>
<td>Jul-Sep</td>
<td>Oct-Dec</td>
<td>Jul-Sep</td>
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</tbody>
</table>

**Designer:** Clark-Nexen

**Builder:** Vannoy

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**Legend:**
- **Design**
- **Construction**
- **Warranty**
- **Construction Phase TBD**
- **SD= Schematic Design**
- **PD= Preliminary Design**
- **WD= Working Drawings**
NEW UPPER QUAD RESIDENCE HALL
CM at Risk – BOV Authorized
COMPLETE

Status
► Project complete

Status
► Project complete

Next Actions
► Close out project

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>TOTAL PROJECT BUDGET ($M)</th>
<th>CONSTRUCTION BUDGET ($M)</th>
<th>NEW CONST. (GSF)</th>
<th>RENOVATION (GSF)</th>
<th>FY23</th>
<th>FY24</th>
<th>FY25</th>
<th>FY26</th>
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</thead>
<tbody>
<tr>
<td>New Upper Quad Residence Hall</td>
<td>$42.0</td>
<td>$32.0</td>
<td>56,650</td>
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</table>

LEGEND
- Design
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- PD= Preliminary Design
- WD= Working Drawings

Designer: Clark-Nexen
Builder: Vannoy
### Slusher Hall Repairs

**Emergency – BOV Authorized**

**COMPLETE**

### Status

- Project complete

### Next Actions

- Close out project

### Project Details

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>TOTAL PROJECT BUDGET ($M)</th>
<th>CONSTRUCTION BUDGET ($M)</th>
<th>NEW CONST. (GSF)</th>
<th>RENOVATION (GSF)</th>
<th>CY 2023 FY23</th>
<th>FY24</th>
<th>CY 2024 FY24</th>
<th>FY25</th>
<th>CY 2025 FY25</th>
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</thead>
<tbody>
<tr>
<td>Slusher Hall Repairs</td>
<td>$7.5</td>
<td>$5.6</td>
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<td>Q3 Jan-Mar</td>
<td>Q4</td>
<td>Q1 Jul-Sep</td>
<td>Q2</td>
<td>Q3 Jan-Mar</td>
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</table>

**Legend**

- **Design**
- **Construction**
- **Warranty**
- **Construction Phase TBD**
- **SD= Schematic Design**
- **PD= Preliminary Design**
- **WD= Working Drawings**

**Designer:** Gresham Smith

**Builder:** Kesler
LIVESTOCK & POULTRY RESEARCH FACILITIES – PHASE I
(BID PACKAGES 1-4)
Design-Bid-Build – State Authorized
COMPLETE

Status
► Construction complete on bid packages 1 - 4

Next Actions
► Close out of bid packages 1 - 4

<table>
<thead>
<tr>
<th>PROJECT TITLE</th>
<th>TOTAL PROJECT BUDGET ($M)</th>
<th>CONSTRUCTION BUDGET ($M)</th>
<th>NEW CONST. (GSF)</th>
<th>RENOVATION (GSF)</th>
<th>CY 2023</th>
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<th>CY 2026</th>
</tr>
</thead>
<tbody>
<tr>
<td>Livestock &amp; Poultry Research Facilities Phase I – Various Locations</td>
<td>$25.3</td>
<td>$18.2</td>
<td>129,100</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

LEGEND
- Design
- Construction
- Warranty
- Construction Phase TBD
- SD= Schematic Design
- PD= Preliminary Design
- WD= Working Drawings

Designer: Spectrum Design
Builder: Various
DEFINITIONS

AUTHORIZATION:
- **State Authorized**: Authorized and funded (whole or in part) by the Virginia General Assembly
- **BOV Authorized**: Authorized and funded by the Virginia Tech Board of Visitors

DELIVERY METHODS:
- **Schematic Design Phase** = 0% to approximately 20% design complete
- **Preliminary Design Phase** = Approximately 20% to approximately 50% design complete
- **Working Drawing Phase** = Approximately 50% to 100% design complete
- **GMP** = Guaranteed Maximum Price
CONSTRUCTION METHODS

DESIGN-BID-BUILD (DBB):

► A/E completes full design
► Invitation For Bid (IFB) issued
► Contract awarded to lowest bidder

CONSTRUCTION MANAGER AT RISK (CMaR):

► A/E completes full design
► Prospective CMaR’s compete for project during early stage of design
► CMaR selected based upon “best value” during Schematic Design phase
► When final designs are complete CMaR develops Guaranteed Maximum Price (GMP)

DESIGN-BUILD (D/B):

► A/E completes partial design (“criteria docs”)
► D/B team (builder + A/E) compete for project and propose full price for project delivery
► Selection based upon “best value”
► D/B team completes design and executes construction.
The Pamplin College of Business is nationally recognized for its business programs and is integral to Virginia Tech’s delivery of instruction and research programming in support of the commonwealth. The New Business Building project will provide a consolidated location for the college, allowing the college to amplify program impact, as well as couple with the Data and Decision Sciences building to complete the academic facilities of the Global Business and Analytics Complex (GBAC). Once complete, GBAC will be a transformative academic and physical addition to the North Academic District. The prominent site, on the corner of Prices Fork Road and West Campus Drive, presents the university a valuable opportunity to create a new campus gateway at this previously undeveloped primary intersection.

The project is in preliminary design with working drawings anticipated to start in early 2025 and substantial completion anticipated for fall 2027. The project planning authorization, approved at the April 4, 2022 Board of Visitors meeting, includes $8 million of private gifts. The total project cost will be supported by a combination of private gifts, non-general fund cash, and university non-general fund debt.
Title of Project:
New Business Building

Location:
The project site located at the prominent intersection of Prices Fork and West Campus Drive, affording the opportunity to create a new campus gateway at the North Academic District. The project will connect with the existing Data and Decision Sciences (D&DS) multi-story commons wing. The project site includes significant elevation and landscape transitions between Prices Fork at the north and throughout the North Academic District, which will be addressed through the addition of pathways which are to be fully accessible and embrace a Universal Design approach.

Current Project Status and Schedule:
The project is currently in preliminary design and is anticipated to proceed to working drawings in early 2025. Construction is anticipated to begin fall of 2025 with substantial completion in the fall of 2027.

Project Description:
The New Business Building will provide a consolidated location for the Pamplin College of Business (PCOB), allowing PCOB to amplify program impact, as well as couple with the recently completed D&DS to complete the academic facilities of the Global Business and Analytics Complex (GBAC). Envisioned as an approximately 92,300 gross square foot four-story structure, with mechanical penthouse, the facility connects directly with the D&DS multi-story commons wing. The new facility will provide expanded, modern educational space sufficient to meet demand for the university’s business programs at the Blacksburg campus.

Brief Program Description:
The program represents the consolidation of all Pamplin departments from existing Pamplin Hall, Wallace Hall, and other campus locations. Administrative, academic, collaborative, as well as support spaces will be provided for PCOB. The new building will include the Dean’s suite and boardroom, shared conferencing, student organization and collaborative spaces, a small café, and building support spaces. Showcase spaces include the Marriott HOKIE Hospitality Lab, APEX Center for Entrepreneurs, Center for Business Intelligence and Analytics, and Center for International Programs.
The already completed D&DS building will provide shared classrooms, which were developed to support business curriculum instructional needs, as well as direct access to the Deloitte/Tailon Analytics and Trading Lab and team rooms, the Ernst & Young Visualization classroom hub and team rooms, and the Behavioral Lab. Together both facilities will leverage opportunities across disciplines including data analytics and integrated security.

**Contextual Issues and Design Intent:**
Situated prominently on the corner of Prices Fork Road and West Campus Drive, this primary campus intersection grants the institution a rare opportunity; the New Business Building coupled with the D&DS building provides the framework for an architectural gateway at this campus node. The envisioned building will be clad in a combination of Hokie Stone, precast concrete panels and trim, and a combination of glazed curtain wall and punched window openings. The GBAC academic complex is envisioned to be a notable contribution to the campus' Collegiate Gothic architecture in alignment with the Campus Design Principles, which D&DS already contributes greatly toward.

**Funding:**
The project planning authorization, approved at the April 4, 2022 Board of Visitors meeting, includes $8 million of private gifts. The total project cost will be supported by a combination of private gifts, non-general fund cash, and university non-general fund debt. Once the preliminary design phase is complete and a firm scope, cost, funding, and schedule for the entire project are established a subsequent request for full funding will be submitted to the Board of Visitors.

**Architect/Engineer:**
Moseley Architects, Architect of Record, with RAMSA, Design Architect

**Construction Manager at Risk:**
Kjellstrom & Lee
DESIGN PREVIEW FOR
NEW BUSINESS BUILDING

LIZA MORRIS
ASSISTANT VICE PRESIDENT FOR PLANNING AND UNIVERSITY ARCHITECT

June 11, 2024
SCOPE  APPROX. 92,300 GSF

DELIVERY METHOD  CONSTRUCTION MANAGER AT RISK

TOTAL PROJECT BUDGET  TO BE DETERMINED FOLLOWING PRELIMINARY DESIGN

DESIGN PHASE  PRELIMINARY DESIGN

ESTIMATED CONSTRUCTION START  FALL 2025

ESTIMATED CONSTRUCTION COMPLETION  FALL 2027
EXISTING CONDITIONS

VIEW NORTH

VIEW SOUTH

DESIGN PREVIEW for NEW BUSINESS BUILDING
EXTERIOR RENDERING
VIEW - SOUTHWEST

Metal panel system
Accessible regrading of campus gateway
Data & Decision Sciences (D&DS)
Connection to D&DS
Building entrance
Prices Fork Road
RECOMMENDATION

That the Design Preview graphics be approved, and authorization be provided to continue with the project design consistent with the drawings shown.
Ensuring the safety, health, and accessibility of the campus environment is critical to the long-term success of the university and its service to the commonwealth. This project is the third of three high-priority accessibility initiatives identified by the university in the Life, Health, Safety, Accessibility, and Code Compliance category of the 2018-2024 Capital Outlay Plan. The project is scoped to create a new accessible route on an existing primary pedestrian corridor to support equal access to key Education and General funded facilities in the North Academic District.

The project is in the working drawings phase with construction anticipated to begin late fall of 2024 and substantial completion anticipated summer of 2025. The university received total project funding of $10.4 million in Life, Health, Safety, Accessibility, and Code Compliance funds from the state for three priority projects, $1.86 million of which will be applied to this third priority project.
Design Preview and Review for
Life, Health, Safety, Accessibility, and Code Compliance – Priority 3
Capital Project Information Summary

BUILDINGS AND GROUNDS COMMITTEE

June 11, 2024

Title of Project:
Life, Health, Safety, Accessibility, and Code Compliance – Priority 3

Location:
The project is sited within the North Academic District, within an existing primary pedestrian corridor which connects the Drillfield to the eastern half of the district.

Current Project Status and Schedule:
The project will be delivered via design-bid-build procurement and is currently in the working drawings phase. Construction is anticipated to begin late fall of 2024 with substantial completion anticipated summer of 2025.

Project Description:
The project will revise a currently non-accessible steep-sloped pedestrian route between Drillfield Drive and the eastern portion of the North Academic District. The route will create a Green Link segment which connects Drillfield Drive to the east-west pedestrian corridors at Patton Hall, Holden Hall and McBryde Hall. This segment also provides connectivity to other recently created accessible routes, connecting to Turner Way and the Upper Quad further expanding the campus mobility network and providing additional benefits.

The route was identified as a Green Links segment in Beyond Boundaries 2047: the Campus Plan, and the subsequent planning document the Green Links Concept Design & Design Guidelines, to significantly advance the university’s long-range plans for improving access for all. Additional benefits of Green Links projects include the integration of accessible social interaction spaces and landscape attributes to provide shade, wind protection, and respite along these routes while traversing the topography of campus.

Brief Program Description:
Ensuring the safety, health, and accessibility of the campus environment is critical to the long-term success of the university and its service to the commonwealth. This project is the third of three high-priority accessibility initiatives identified by the university in the Life, Health, Safety, Accessibility, and Code Compliance category of the 2018-2024 Capital Outlay Plan. The project is scoped to create a new accessible route on an existing primary pedestrian corridor which will support equal access to key Education and General funded facilities in the North Academic District. The project is a crucial component of resolving the lack of accessible routes in this area of campus.
Contextual Issues and Design Intent:
The North Academic District straddles vertical topography created by two branches of Stroubles Creek. The land use pattern to address the steep slopes resulted in the creation of multiple levels in the campus environment. Many of these levels are currently only directly accessible via non-accessible pathways. The site of this pathway is also impacted by many existing underground utilities.

Alternative accessible routes through this area of campus are circuitous, lengthy and difficult to locate and navigate. This project is the third of three high-priority accessibility initiatives identified by the university to address these issues in this area of campus.

Funding:
This project was first proposed under the 2018-2024 Capital Outlay Plan and received a portion of the initial request, $3.1 million in Life, Health, Safety, Accessibility, and Code Compliance funding by the 2020 General Assembly. In the 2022-2028 Capital Outlay Plan, $7.3 million of supplemental General Fund support was requested and received. The total appropriation authorized by the General Assembly for this project is $10.4 million, $1.86 million of which will be applied to this third priority project.

Architect/Engineer:
Sasaki

Contractor:
TBD
PROJECT INFORMATION

SCOPE

LHSACC – PRIORITY 3 (GREENLINK)

DELIVERY METHOD

DESIGN BID BUILD

PROJECT BUDGET

$1.86M* FOR PRIORITY 3

DESIGN PHASE

WORKING DRAWINGS

ESTIMATED CONSTRUCTION START

LATE FALL 2024

ESTIMATED CONSTRUCTION COMPLETION

SUMMER 2025

* Total project budget of $10.4M includes priority 1, 2, and 3 accessibility projects.
PROJECT MILESTONES

PRE-AUTHORIZATION

- 6-YEAR CAPITAL PLAN
  - ✓
- PROJECT APPROVAL
  - ✓

POST-AUTHORIZATION

- DESIGN PREVIEW/REVIEW
  - ✓

OCCUPANCY

- BUDGET REQUEST
- SCHEMATIC DESIGN
- PRELIMINARY DESIGN
- WORKING DRAWINGS
- CONSTRUCTION

// DESIGN PREVIEW AND REVIEW FOR LHSACC - PRIORITY 3
SITE PLAN – AREA A

Holden Hall
Limits of Construction
New accessible routes

McBryde Hall

McBryde Hall
Drillfield Drive
Patton Hall
SITE PLAN – AREA A
/ DESIGN PREVIEW AND REVIEW FOR LHSACC - PRIORITY 3

View B

View A

Drillfield Drive
Patton Hall
EXISTING CONDITIONS

VIEW A

/ DESIGN PREVIEW AND REVIEW FOR LHSACC - PRIORITY 3
That the Design Preview and Review graphics be approved, and authorization be provided to continue with the project design consistent with the drawings shown.
Discussion of Physical Accessibility Process and Progress

BUILDINGS AND GROUNDS COMMITTEE

Tuesday, June 11, 2024

The Committee will participate in a discussion of physical accessibility process and progress with Bob Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, and Kelly Oaks, Associate Vice President for Equity and Accessibility.

The discussion will focus on physical accessibility in context, process, prioritization mechanisms, integration within facilities planning, and resulting progress.
DISCUSSION OF PHYSICAL ACCESSIBILITY
PROCESS AND PROGRESS
PREPARED FOR THE BUILDINGS AND GROUNDS COMMITTEE

Bob Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities
Kelly Oaks, Associate Vice President for Equity and Accessibility

June 11, 2024
GOAL
Foster more inclusive and accessible physical environments on campus.

OBJECTIVE
Identify needs, opportunities, and solutions that advance physical accessibility.

STRATEGY
Utilize a 'community of practice' approach to assess, prioritize, and implement accessible strategies to remove barriers from campus.
EXTENSIVE AREA TO COVER

BUILDINGS
851 Structures
12.4 million GSF

SIDEWALKS & PATHWAYS
54 Miles

ELEVATION GAIN
131 Vertical Feet
~10 Story Building
COMPLEX LEGACY OF CONSTRUCTION STANDARDS

- 2,000,000
- 4,000,000
- 6,000,000
- 8,000,000
- 10,000,000
- 12,000,000
- 14,000,000

GSF

YEAR

1949 Initial Standards

1973 USBC

1991 ADA

Building Square Footage
Drillfield to Upper Quad Access Improvements as part of Upper Quad Hall North Capital Project

• Building Entries and Interiors
  o Squires Student Center entry
  o Whittemore Hall entry
  o Environmental Health and Safety Building entry
  o Multiple Door Auto-operator Installations
  o Torgersen Hall Classroom Seating
  o Litton-Reaves Hall Classroom Seating

• Exterior Routes and Spaces
  o Dietrick Hall and Quillen Family Spirit Plaza (Infinite Loop Section)
  o Drillfield to the Upper Quad (New Upper Quad Hall North)
  o Goodwin Hall to Stanger Street and Exterior Seating
  o I-Lot (parking) to Vet Med
  o Squires Student Center/Newman Library to Alumni Mall
  o President’s Quad Pathways Phase I
  o Brooks Center Pathway
  o 100+ Trip Hazard Repairs
  o 50+ Handrail Repairs
  o 20+ Curb Cuts on Campus Pathways
  o Multiple Wayfinding Signage Installations

• Restroom Upgrades
  o McBryde Hall
  o Johnston Student Center
  o Squires Student Center
UNDERWAY: 13 PROJECTS & $22.7M FUNDED

- Derring Hall Exterior Elevators
- Johnston Student Center Exterior Elevators
- Infinite Loop Sections
  - Classroom Building to Kelly Hall
  - Newman Library to Dietrick Hall
- Green Links Sections
  - Transit Center to Drillfield (West)
  - Transit Center to Drillfield (East)
- Visitor Center Pathway
- Hahn Hall to Davidson Hall Pathway
- Hutcheson Hall to Campbell Hall Pathway
- Stanger Street – Old Turner Street Crosswalk
- McBryde Restrooms (Continued)
- Hutcheson Hall Restrooms
- Trip Hazard/Handrail/Curb Cut/Signage Projects
CLOSING THOUGHTS AND DISCUSSION
Discussion of Physical Accessibility Process and Progress
Resources and References

BUILDINGS AND GROUNDS COMMITTEE
Tuesday, June 11, 2024

Resources

- Virginia Tech Accessibility Portal
  https://www.vt.edu/accessibility.html

- How to report a physical barrier on campus

- Follow the map: Interactive campus map
  https://news.vt.edu/notices/adm-evergreens/follow-the-map.html

References

- Capital construction efforts to improve Blacksburg campus accessibility to begin in February
  https://news.vt.edu/articles/2022/12/accessibility-capital-project.html

- Virginia Tech’s Blacksburg campus master plan awarded merit for accessible design efforts
  https://news.vt.edu/articles/2021/09/master-plan-award.html

- New interactive campus map features accessible navigation, improved user experience
  https://news.vt.edu/articles/2022/08/new-interactive-campus-map.html

- Advancing physical, digital accessibility at Virginia Tech rooted in a collaborative approach
  https://news.vt.edu/articles/2021/12/oea-cawgreport.html
Established in 2010, the Office of the University Building Official has primary responsibility for the proper management for, and enforcement of, the Virginia Uniform Statewide Building Code to ensure that construction projects conducted on property owned by the university are completed in compliance with the code, related laws, and regulations.
Permits

Permits by Month

26% Increase over the past two years
Inspections per Month

2023-24  2019-20  2020-21  2021-22  2022-23

46% Increase over the past two years
Reviews

Plan Reviews per Month

72% Increase over the past two years

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<tr>
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<th>2023-24</th>
<th>2020-21</th>
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Questions?
Thank You!

OFFICE OF THE UNIVERSITY BUILDING OFFICIAL
540-231-4678 | vtubo-g@vt.edu
facilities.vt.edu/university-building-official
The Utility Master Plan Development Project

Phase 1: Field Investigations – Completed

Phase 2: Existing Conditions Assessment – Completed
  – Existing Conditions Report Delivered
  – Project recommendations vetted by Utilities

Phase 3: Analysis and Projections – Underway
  – Utility Systems Models
  – Load Analysis and Projections
  – Alignment with CAC Goals and Objectives
  – Service Level Risk

Phase 4: Final Utility Master Plan Document – Underway
Capacity

OPTIMIZING FOR CURRENT REQUIREMENTS AND PLAN FOR FUTURE LOAD

Electric Loading by Circuit and Planning Horizon

Sum of Diversified Cooling Loads by Planning District and Time Horizon
Utilities by Installation Date

<table>
<thead>
<tr>
<th>Year Range</th>
<th>Sanitary Sewer</th>
<th>Potable Water</th>
<th>Chilled Water</th>
<th>Domestic Hot Water</th>
<th>Steam</th>
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<td>0</td>
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Virginia Tech Division of Campus Planning, Infrastructure, and Facilities | Utilities Master Plan
Alignment with Ongoing Improvement Projects

RECENTLY COMPLETED AND PLANNED ASSET RENEWALS

Power Plant
- Installed Boiler 12
- Turbine refurbishment
- Generator rewinding
- Decommissioning coal boilers and coal yard

Chilled Water Plant
- Replace two North Chillers in 2026
- Replace main switchgear

VTES
- Replace two 50+ year-old substation transformers in 2027
- Substation upgrades in 2027: Breakers, switchgear, relay
- Migrate loads from Blacksburg/Perry to Lane East/West
- Rooftop solar arrays

Mechanical Utilities
- Waste water flow monitoring
- Replace high pressure steam expansion joints
- Replace condensate returns
- Replace water lines
# Ongoing Phases and Schedule

## 2023

<table>
<thead>
<tr>
<th>Phase 1: Field Investigation</th>
<th>2023</th>
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## 2024

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<th>Phase 2: Existing Conditions Assessment</th>
<th>2024</th>
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### Phase 3: Analysis and Future State Projections

- Q3: ▲
- Q4: ▲ ▲ ▲

### Phase 4: Utility Master Planning Process

- Q1: ▲ ▲ ▲ ▲
- Q2: ▲
- Q3: ▲ ▲
- Q4: ▲

▲ Denotes collaborative stakeholder workshops

Denotes briefing to BOV Buildings and Grounds Committee

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Virginia Tech Division of Campus Planning, Infrastructure, and Facilities | Utilities Master Plan
Continuum of Energy Evolution

LEVERAGE ENERGY INNOVATION WHEN MATURER WHILE MAXIMIZING RETURN ON INVESTED ASSETS

Virginia Tech Division of Campus Planning, Infrastructure, and Facilities | Utilities Master Plan
Next Steps

1. Evaluate final service level risks
   - Condition of Systems
   - Capacity to meet Load Projections
   - Existing level of services
   - 6 year Capital Plan
   - 2047 build-out
   - CAC Goals & Objectives

2. Develop projects to address service level risks
   - Utility project development workshops
   - Stakeholder review workshops
   - Prioritize final project lists

3. Finalize Utility Master Plan Document for Implementation

4. Initiate Utility Master Programing
Future Agenda Items and Closing Remarks

BUILDINGS AND GROUNDS COMMITTEE

Tuesday, June 11, 2024

The Committee Chair will discuss future agenda items and make closing remarks.
## Agenda Item

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<td>Consent Agenda</td>
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<td>i. Capital Campaign Processes and Reporting</td>
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<td>ii. Institute for Critical Technology and Applied Science</td>
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<td>iii. Parking Services: Permitting Processes</td>
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<td>iv. IT: Internally Developed Software</td>
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<td>v. IT: Inventory and Classification</td>
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<td>e. Auditor of Public Accounts Intercollegiate Athletics Program Report</td>
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<td>f. Report on Audits of University-Related Corporations</td>
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<td>3.</td>
<td>Annual External Audit Scope Discussion with the Auditor of Public Accounts</td>
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<td># 4.</td>
<td>Overview of Athletics Compliance</td>
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<td># 5.</td>
<td>Enterprise Risk Management Update</td>
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<td>6.</td>
<td>Audit Plan for Fiscal Year 2024-25</td>
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<td>7.</td>
<td>Compliance Plan for Fiscal Year 2024-25</td>
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<td>8.</td>
<td>Discussion of Future Topics</td>
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# Discusses Enterprise Risk Management topic(s).
Open Session Briefing Report

COMPLIANCE, AUDIT, AND RISK COMMITTEE

June 10, 2024

Compliance, Audit, and Risk Open Session

1. Welcome and Acceptance of the Agenda: The chair of the Compliance, Audit, and Risk Committee will provide opening remarks and ask for acceptance of the open session agenda.

2. Consent Agenda: The Committee will consider for approval and acceptance the items listed on the Consent Agenda.
   
   a. Minutes from the April 8, 2024 Meeting: The Committee will review and approve the minutes of the April 8, 2024 meeting.

   b. Update of Responses to Open Internal Audit Comments: The Committee will review the university’s update of responses to all previously issued internal audit reports. As of December 31, 2023, the university had 11 open recommendations. Nine audit comments were issued during the third quarter of the fiscal year. As of March 31, 2024, the university had addressed four comments, leaving 16 open recommendations in progress.

   c. Audit Plan Status Report: The committee will review the Audit Plan Status Report. The Office of Audit, Risk, and Compliance (OARC) has completed 63 percent of its audit plan, and 94 percent is underway, in accordance with the fiscal year 2023-24 annual audit plan.

   d. Internal Audit Reports: The following internal audit reports were issued by OARC since the April 8, 2024 meeting. Where applicable, management developed action plans to effectively address the issues in the report with a reasonable implementation timeframe. As noted above, OARC conducts follow-up on management’s implementation of agreed upon improvements for previously issued audit recommendations.

      i. Capital Campaign Processes and Reporting: The audit received an effective rating.
ii. Institute for Critical Technology and Applied Sciences: The audit received a rating of improvements are recommended. Low-priority recommendations of a less significant nature were noted related to service center billing and lab safety training.

iii. Parking Services: Permitting Processes: The audit received a rating of improvements are recommended. Low-priority recommendations of a less significant nature were noted related to use of license plate recognition (LPR) technology, voided parking permit processes, and Parking Services' rules and regulations.

iv. IT: Internally Developed Software: The objective of the advisory engagement was to determine whether governance and controls over internally developed software were adequate and if best practices were deployed.

v. IT: Inventory and Classification: The objective of the advisory engagement was to determine whether the 2023 inventory and classification efforts were suitably designed to support completeness and accuracy.

e. Auditor of Public Accounts Intercollegiate Athletics Program Report: The Committee will receive a report on the Auditor of Public Accounts (APA) Intercollegiate Athletics review for fiscal year 2023. The APA performed certain agreed upon procedures to evaluate whether the Schedule of Revenues and Expenses of the Intercollegiate Athletics Programs for fiscal year ended June 30, 2023 is in compliance with the National Collegiate Athletic Association (NCAA) bylaws. The review did not constitute an audit and therefore no opinion was issued.

f. Report on Audits of University-Related Corporations: The university-related corporations include Virginia Tech Applied Research Corporation; Virginia Tech Foundation, Inc.; Virginia Tech Intellectual Properties, Inc.; Virginia Tech Services, Inc.; Virginia Tech Innovations Corporation (VTIC); and Virginia Tech India Research and Education Forum (VTIREF). Consistent with the Board of Visitors’ resolution establishing university-related corporations, each corporation is annually required to provide audited annual financial statements, management letters from external auditors, and management’s responses to the university’s president. Each corporation is also required to submit an annual certification stating that all procedures outlined in the resolution have been met. All corporations are
in full compliance with the Board of Visitors’ requirements regarding audits, except for VTIC whose audit has not yet been completed due to complexities related to the creation of a new subsidiary mid-year, Swiss Corporation, VT Swiss SA.

3. **Annual External Audit Scope Discussion with the Auditor of Public Accounts:** The Committee will meet with the APA for a discussion of the scope of the audit of the 2023-24 financial statements and the APA’s plans for conducting and completing the audit.

4. **Overview of Athletics Compliance:** The Committee will receive an overview of athletics compliance and the changes in the external landscape, as it relates to the institution’s enterprise risks.

5. **Enterprise Risk Management Update:** The Committee will review an update of the Enterprise Risk Management (ERM) program activity during fiscal year 2023-24, including the refreshed governance structure, the updated enterprise risk landscape delineated by the university’s tripartite mission and support environments, and the heat map with a focus on the top ten risks. The mapping of the enterprise risk landscape shows the alignment of risks with the two main university goals, the Virginia Tech Advantage and Virginia Tech Global Distinction.

6. **Audit Plan for Fiscal Year 2024-25:** OARC will present the Audit Plan for Fiscal Year 2024-25 to the Compliance, Audit, and Risk Committee for review and approval. An annual risk assessment was conducted to identify the entities that should receive audit attention in fiscal year 2024-25 and a core audit plan was developed in coordination with the university’s ERM initiative. For fiscal year 2024-25, 24 audit projects and 6 management advisory services are proposed, with approximately 75 percent of OARC’s available resources committed to the completion of planned projects. A description of each project is provided within the audit plan. OARC’s goal will be to complete 85 percent of the audit plan. The internal audit plan may be modified based on the external audit environment or changes in regulations, management, or resources.

7. **Compliance Plan for Fiscal Year 2024-25:** OARC will present the Compliance Plan for Fiscal Year 2024-25 to the Compliance, Audit, and Risk Committee for review and approval. As part of the process for developing the proposed plan, both a leadership survey and discussions with leadership were conducted to identify priority compliance risk areas for focus and to gain leadership insights. The proposed institutional compliance program plan for 2024-25 focuses on
priority compliance risk areas in support of Virginia Tech’s pursuit of its strategic goals. In addition, the plan correlates programmatic activities with the elements of an effective compliance program.

8. **Discussion of Future Topics:** The Committee will discuss topics to be covered in future committee meetings.
The Committee will consider for approval and acceptance the items listed on the Consent Agenda.

a. Approval of Minutes of the April 8, 2024 Meeting
b. Update of Responses to Open Internal Audit Comments
c. Audit Plan Status Report
d. Internal Audit Reports
   i. Capital Campaign Processes and Reporting
   ii. Institute for Critical Technology and Applied Sciences
   iii. Parking Services: Permitting Processes
   iv. IT: Internally Developed Software
   v. IT: Inventory and Classification
e. Auditor of Public Accounts Intercollegiate Athletics Program Report
f. Report on Audits of University-Related Corporations
Minutes

COMPLIANCE, AUDIT, AND RISK COMMITTEE
Torgerson Hall, Room 2100
April 8, 2024
9:30 am

Closed Session

Committee Members Present:  Dave Calhoun (chair), Carrie Chenery, Nancy Dye, Tish Long, Chris Petersen, Jeff Veatch

Other Board Members Present:  Ed Baine (Rector), Sandy Davis, Greta Harris, John Rocovich

Virginia Tech Personnel:  Whit Babcock, Cyril Clarke, Suzanne Griffin, Rebecca Halsey, Ryan Hamilton, Randy Heflin, Kay Heidbreder, Sharon Kurek, Ken Miller, Justin Noble, Kim O’Rourke, Sharon Pitt, Timothy Sands, Amy Sebring

1. Motion to Begin Closed Session:  Committee member Jeff Veatch moved to begin closed session at 9:30am.

2. Update on Fraud, Waste, and Abuse Cases:  The Committee received an update on outstanding fraud, waste, and abuse cases.

3. Internal Audit Reports:  The following confidential internal audit reports were issued by the Office of Audit, Risk, and Compliance (OARC) since the November board meeting.  Where applicable, management developed action plans to effectively address the issues in the report with a reasonable implementation timeframe.  OARC conducts follow-up on management’s implementation of agreed upon improvements for previously issued audit recommendations.

   a. Agricultural Research and Extension Centers:  The audit received a rating of improvements are recommended.  Low priority recommendations of a less significant nature were noting regarding sponsored research, wage payroll, expenditures, fixed asset management, and information technology.
b. College of Veterinary Medicine Policy Compliance Review: The audit received a rating of improvements are recommended. Audit recommendations were issued to management where opportunities for further improvement were noted in the areas of fiscal responsibility, leave reporting, P-14 appointments, expenditures, fixed assets management, information technology, and state vehicle management.

c. IT Policy Compliance Reviews: This engagement was a focused review regarding a standard set of IT compliance requirements that was not conducted last year during the university’s risk assessment and classification activities. Both University Advancement and the Innovation Campus were assessed as improvements are recommended while Athletics was assessed as unreliable.

4. **Discussion on Legal Compliance Risk:** The Committee discussed legal and compliance risks related to an investigation.

5. **Discussion with the Chief Audit Executive:** The Chief Audit Executive discussed employee performance and evaluation of performance of departments or schools of public institutions of higher education where such evaluation involved discussion of the performance of specific individuals.

6. **Discussion with the Vice President for Audit, Risk, and Compliance and Chief Risk Officer:** The Vice President discussed employee performance and evaluation of performance of departments or schools of public institutions of higher education where such evaluation involved discussion of the performance of specific individuals.

7. **Motion to End Closed Session:** Committee member Carrie Chenery moved to end closed session at 10:58am.
Open Session

Committee Members Present: Dave Calhoun (chair), Carrie Chenery, Nancy Dye, Tish Long, Chris Petersen, Jeff Veatch

Other Board Members Present: Ed Baine (Rector), Sandy Davis, Greta Harris, John Rocovich, Janice Austin, LaTawnya Burleson, Will Storey, Emily Tirrell

Virginia Tech Personnel: Lynsay Belshe, Eric Brooks, Brock Burroughs, Cyril Clarke, Al Cooper, Corey Earles, Juan Espinoza, Ron Fricker, Clifton Gaines, Suzanne Griffin, Chelsea Haines, Rebecca Halsey, Ryan Hamilton, Kay Heidbreder, Tim Hodge, Frances Keene, Sharon Kurek, Lu Liu, Nancy Meacham, Ken Miller, Justin Noble, Kim O’Rourke, Mark Owczarski, Sharon Pitt, Timothy Sands, Amy Sebring, Brennan Shepard, Ken Smith, Aimée Surprenant, Rob Viers, Tracy Vosburgh, Michael Walsh, Melinda West

Guests: Kiera Schneiderman

1. Welcome and Acceptance of Agenda: The chair of the Compliance, Audit, and Risk Committee provided opening remarks and asked for acceptance of the Open Session agenda.

2. Consent Agenda: The Committee considered and approved the items listed on the Consent Agenda.

   a. Minutes from the November 5, 2023 Meeting: The Committee reviewed and approved the minutes of the November 5, 2023 meeting.

   b. Update of Responses to Open Internal Audit Comments: The Committee reviewed the university’s update of responses to all previously issued internal audit reports. As of September 30, 2023, the university had 13 open recommendations. One audit comment was issued during the second quarter of the fiscal year. As of December 31, 2023, the university had addressed three comments, leaving 11 open recommendations in progress.

   c. Audit Plan Status Report: The committee reviewed the Audit Plan Status Report. The Office of Audit, Risk, and Compliance (OARC) has completed 39 percent of its audit plan, and 81 percent is underway, in accordance with the fiscal year 2023-24 annual audit plan.
d. **Internal Audit Reports:** The following internal audit reports were issued by OARC since the November 5, 2023 meeting. Where applicable, management developed action plans to effectively address the issues in the report with a reasonable implementation timeframe. As noted above, OARC conducts follow-up on management’s implementation of agreed upon improvements for previously issued audit recommendations.

i. **Commonwealth Cyber Initiative:** The audit received a rating of improvements are recommended. An observation was noted regarding reporting requirements related to seed grants.

ii. **Controller’s Office: Fixed Assets:** The audit received an effective rating. A low-priority recommendation was noted regarding unclear procedure language related to final reports issued to departments.

iii. **Data Analytics: Sponsored Equipment Purchases:** The audit received a rating of improvements are recommended. An observation was noted regarding purchases that occurred near or after the award expiration.

iv. **Facilities Management:** The audit received a rating of improvements are recommended. An observation was noted regarding the Division of Student Affairs (DSA) warehouse inventory management. An additional low priority recommendation of a less significant nature was noted regarding DSA warehouse security.

e. **Auditor of Public Accounts Financial Statement Audit:** The Committee received a report on the Auditor of Public Accounts (APA) audit of the university’s financial statements for the fiscal year ended June 30, 2023. During the audit, the APA found the financial statements were presented fairly in all material respects, and there were no internal control findings requiring management’s attention.

3. **Financial Resource Management:** The Committee received a presentation on the university’s financial resource management related to financial and liquidity risk management.

4. **Internal Audit Reports:** The following internal audit reports were issued by OARC since the November 5, 2023 meeting. Where applicable, management developed action plans to effectively address the issues in the report with a reasonable
implementation timeframe. As noted above, OARC conducts follow-up on management’s implementation of agreed upon improvements for previously issued audit recommendations.

a. Gramm-Leach-Bliley Act Compliance: The audit received a rating of improvements are recommended. An observation was noted regarding third-party service provider management for GLBA compliance. A low priority recommendation of a less significant nature was noted regarding security awareness training.

b. Strategic Enrollment Reporting: The audit received an effective rating.

5. **Discussion of Future Topics:** Mr. Dave Calhoun requested topics to be covered in future meetings from the Committee and adjourned the meeting at 11:45 a.m.
As part of the internal audit process, university management participates in the opening and closing conferences and receives copies of all final audit reports. The audited units are responsible for implementing action plans by the agreed upon implementation dates, and management is responsible for ongoing oversight and monitoring of progress to ensure solutions are implemented without unnecessary delays. Management supports units as necessary when assistance is needed to complete an action plan. As units progress toward completion of an action plan, the Office of Audit, Risk, and Compliance (OARC) performs a follow-up visit within two weeks after the target implementation date. OARC is responsible for conducting independent follow up testing to verify mitigation of the risks identified in the recommendation and formally close the recommendation. As part of management’s oversight and monitoring responsibility, this report is provided to update the Compliance, Audit, and Risk Committee on the status of outstanding recommendations. Management reviews and assesses recommendations with university-wide implications and shares the recommendations with responsible administrative departments for process improvements, additions or clarification of university policy, and inclusion in training programs and campus communications. Management continues to emphasize the prompt completion of action plans.

The report includes outstanding recommendations from compliance reviews and audit reports. Consistent with the report presented at the April Board meeting, the report of open recommendations includes three attachments:

- Attachment A summarizes each audit in order of final report date with extended and on-schedule open recommendations.
- Attachment B details all open medium and high priority recommendations for each audit in order of the original target completion date, and with an explanation for those having revised target dates or revised priority levels.
- Attachment C charts performance in implementing recommendations on schedule over the last seven years. The 100 percent on-schedule rate for fiscal year 2024 reflects closing 13 of 13 recommendations by the original target date.

The report presented at the April 8, 2024 meeting covered audit reports reviewed and accepted through December 31, 2023 and included 11 open medium and high priority recommendations. Activity for the quarter ending March 31, 2024 resulted in the following:

<table>
<thead>
<tr>
<th>Description</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open recommendations as of December 31, 2023</td>
<td>11</td>
</tr>
<tr>
<td>Add: medium and high priority recommendations accepted April 8, 2024</td>
<td>9</td>
</tr>
<tr>
<td>Subtract: recommendations addressed since December 31, 2023</td>
<td>4</td>
</tr>
<tr>
<td>Remaining open recommendations as of March 31, 2024</td>
<td>16</td>
</tr>
</tbody>
</table>

While this report is prepared as of the end of the quarter, management continues to receive updates from OARC regarding auditee progress on action plans. Through May 20, 2024, OARC has closed six of the 16 remaining open medium and high priority recommendations. All other remaining open recommendations are progressing as expected and are on track to meet their respective target dates. Management continues to work conjointly with all units and provides assistance as needed to help with timely completion of action plans.
## Open Recommendations by Priority Level

### COMPLIANCE, AUDIT, AND RISK COMMITTEE

March 31, 2024

<table>
<thead>
<tr>
<th>Report Date</th>
<th>Audit Name</th>
<th>Audit Number</th>
<th>ISSUED</th>
<th>COMPLETED</th>
<th>OPEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Feb 28, 2023</td>
<td>College of Engineering</td>
<td>23-1651</td>
<td>1</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Mar 03, 2023</td>
<td>Licensing and Trademarks</td>
<td>23-1641</td>
<td>1</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>May 19, 2023</td>
<td>Athletics</td>
<td>23-1650</td>
<td>3</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Jul 06, 2023</td>
<td>Human Resources Administration</td>
<td>23-1637</td>
<td>4</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Oct 20, 2023</td>
<td>Virginia Tech Electric Service</td>
<td>23-1649</td>
<td>1</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Mar 05, 2024</td>
<td>College of Veterinary Medicine</td>
<td>24-1715</td>
<td>4</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Mar 18, 2024</td>
<td>Commonwealth Cyber Initiative</td>
<td>24-1694</td>
<td>1</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Mar 21, 2024</td>
<td>Sponsored Equipment and Supply Purchases</td>
<td>24-1696</td>
<td>1</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Mar 22, 2024</td>
<td>Gramm-Leach-Bliley Act Compliance</td>
<td>23-1635</td>
<td>1</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Mar 22, 2024</td>
<td>Facilities Management</td>
<td>24-1699</td>
<td>1</td>
<td>-</td>
<td></td>
</tr>
<tr>
<td>Mar 25, 2024</td>
<td>IT Polilcy Compliance Review: Athletics</td>
<td>24-1706B</td>
<td>1</td>
<td>-</td>
<td></td>
</tr>
</tbody>
</table>

### Totals:

- Total Recommendations: 19
- Completed: 3
- Open: 16

**Presentation Date: June 10, 2024**
## ATTACHMENT B

### Open Audit Recommendations

**COMPLIANCE, AUDIT, AND RISK COMMITTEE**

**March 31, 2024**

<table>
<thead>
<tr>
<th>Report Date</th>
<th>Item</th>
<th>Audit Number</th>
<th>Audit Name</th>
<th>Recommendation Name</th>
<th>Priority</th>
<th>Original</th>
<th>Revised</th>
<th>Revised / Current</th>
<th>Follow Up Status</th>
<th>Status of Recommendations with Revised Priority / Target Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mar 03, 2023</td>
<td>1</td>
<td>23-1641</td>
<td>Licensing and Trademarks</td>
<td>Monitoring Royalty Payments</td>
<td>Medium</td>
<td></td>
<td></td>
<td>Apr 01, 2024</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Mar 18, 2024</td>
<td>2</td>
<td>24-1694</td>
<td>Commonwealth Cyber Initiative</td>
<td>Seed Grant Reporting Requirements</td>
<td>Medium</td>
<td></td>
<td></td>
<td>Apr 30, 2024</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Mar 05, 2024</td>
<td>3</td>
<td>24-1715</td>
<td>College of Veterinary Medicine</td>
<td>Leave Reporting</td>
<td>Medium</td>
<td></td>
<td></td>
<td>May 01, 2024</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Mar 05, 2024</td>
<td>4</td>
<td>24-1715</td>
<td>College of Veterinary Medicine</td>
<td>Expenditures</td>
<td>Medium</td>
<td></td>
<td></td>
<td>May 01, 2024</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Mar 05, 2024</td>
<td>5</td>
<td>24-1715</td>
<td>College of Veterinary Medicine</td>
<td>Information Technology</td>
<td>Medium</td>
<td></td>
<td></td>
<td>May 01, 2024</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Jul 06, 2023</td>
<td>6</td>
<td>23-1637</td>
<td>Human Resources Administration</td>
<td>Employment Eligibility Verification</td>
<td>High</td>
<td></td>
<td></td>
<td>May 31, 2024</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Jul 06, 2023</td>
<td>7</td>
<td>23-1637</td>
<td>Human Resources Administration</td>
<td>Wage Appointments</td>
<td>Medium</td>
<td></td>
<td></td>
<td>May 31, 2024</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Mar 22, 2024</td>
<td>8</td>
<td>23-1635</td>
<td>Gramm-Leach-Billey Act Compliance</td>
<td>GLBA Service Provider Management</td>
<td>Medium</td>
<td></td>
<td></td>
<td>Jun 30, 2024</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Jul 06, 2023</td>
<td>9</td>
<td>23-1637</td>
<td>Human Resources Administration</td>
<td>Data Integrity</td>
<td>High</td>
<td></td>
<td></td>
<td>Jun 30, 2024</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Oct 20, 2023</td>
<td>10</td>
<td>23-1649</td>
<td>Virginia Tech Electric Service</td>
<td>Information Technology Controls</td>
<td>Medium</td>
<td></td>
<td></td>
<td>Jun 30, 2024</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>May 19, 2023</td>
<td>11</td>
<td>23-1650</td>
<td>Athletics</td>
<td>Fixed Asset Management</td>
<td>High</td>
<td></td>
<td></td>
<td>Jun 30, 2024</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Feb 28, 2023</td>
<td>12</td>
<td>23-1651</td>
<td>College of Engineering</td>
<td>Information Technology</td>
<td>Medium</td>
<td></td>
<td></td>
<td>Jun 30, 2024</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Mar 21, 2024</td>
<td>13</td>
<td>24-1696</td>
<td>Sponsored Equipment and Supply Purchases</td>
<td>Purchases Near or After Award Expiration</td>
<td>Medium</td>
<td></td>
<td></td>
<td>Jun 30, 2024</td>
<td>1</td>
<td></td>
</tr>
</tbody>
</table>
## ATTACHMENT B

### Open Audit Recommendations

**COMPLIANCE, AUDIT, AND RISK COMMITTEE**

**March 31, 2024**

<table>
<thead>
<tr>
<th>Report Date</th>
<th>Item</th>
<th>Audit Number</th>
<th>Audit Name</th>
<th>Recommendation Name</th>
<th>Priority</th>
<th>Target Date</th>
<th>Follow Up Status</th>
<th>Status of Recommendations with Revised Priority / Target Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mar 22, 2024</td>
<td>14</td>
<td>24-1699</td>
<td>Facilities Management</td>
<td>DSA Warehouse Inventory</td>
<td>Medium</td>
<td>Sep 15, 2024</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Mar 25, 2024</td>
<td>15</td>
<td>24-1706B</td>
<td>IT Policy Compliance Review: Athletics</td>
<td>Information Technology Controls</td>
<td>High</td>
<td>Apr 01, 2025</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Mar 05, 2024</td>
<td>16</td>
<td>24-1715</td>
<td>College of Veterinary Medicine</td>
<td>Fixed Asset Management</td>
<td>Medium</td>
<td>May 01, 2025</td>
<td>2</td>
<td></td>
</tr>
</tbody>
</table>

**Follow Up Status**

1. Management confirmed during follow up discussions with OARC that actions are occurring and the target date has been or will be met. OARC will conduct testing after the due date to confirm that the Management Action Plan is implemented in accordance with the recommendations.

2. Target date is beyond current calendar quarter. Management has follow-up discussions with the auditor to monitor progress, to assist with actions that may be needed to meet target dates, and to assess the feasibility of the target date.

For Open Detail Report: “current calendar quarter” is used to refer to the current working quarter instead of the quarter being reported on.
ATTACHMENT C

Management Performance and Trends Regarding Office of Audit, Risk, and Compliance Recommendations

COMPLIANCE, AUDIT, AND RISK COMMITTEE

March 31, 2024

Seven Year Trend of Recommendations Closed - On Schedule

FY2018 | FY2019 | FY2020 | FY2021 | FY2022 | FY2023 | FY2024
------|------|------|------|------|------|------
100% | 100% | 100% | 95%  | 24%  | 13%  | 100%

% Closed - Extended
% Closed - On Schedule

Presentation Date: June 10, 2024
Audit Plan Status Report

COMPLIANCE, AUDIT, AND RISK COMMITTEE

June 10, 2024

Audit Plan Update

Audits were performed in accordance with the fiscal year 2023-24 annual audit plan at a level consistent with the resources of the Office of Audit, Risk, and Compliance (OARC). Since the April board meeting six planned projects have been completed including three risk-based audits and three advisory engagements. The first advisory project was an agreed upon procedures review of grant program activity within the Center for European and Transatlantic Studies, which was added to the audit plan and completed since the April board meeting. Next, a management requested review of internally developed software was completed. Finally, a planned risk-based review of IT inventory and classification was changed to an advisory project and completed in the period.

Ten projects are currently underway, including:
• Six risk-based projects: Aerospace and Ocean Engineering, Chemistry, Data Analytics: Travel Compliance Monitoring, Real Estate Management, Sponsored Programs - Pre Award/Contracts, and Student Wellness and Counseling.
• Three policy compliance reviews: College of Agricultural and Life Sciences, College of Architecture, Arts, and Design, and Vice President for Student Affairs.
• One advisory project: Athletics IT Security & Data Privacy.

Further, five planned engagements have been deferred or canceled since the April board meeting. Environmental Health and Safety was deferred while the procurement process is completed. Global Education Office was deferred with an anticipated comprehensive review of immigration services on next year’s audit plan. The advisory review regarding Remote Working Compliance was canceled as the Institutional Compliance program is taking the lead for the office on these efforts. School of Plant and Environmental Sciences was deferred based on available staff time. Finally, an advisory review of high-risk drug inventory and oversight was canceled to be combined with the previous scope of work in the Environmental Health and Safety review.
In fiscal year 2023-24, OARC has completed 63 percent of its audit plan as depicted below.

**FY 2023-24 Completion of Audit Plan**

<table>
<thead>
<tr>
<th>Audits</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total # of Audits Planned</td>
<td>33</td>
</tr>
<tr>
<td>Total # of Supplemental Audits</td>
<td>3</td>
</tr>
<tr>
<td>Total # of Carry Forwards</td>
<td>4</td>
</tr>
<tr>
<td>Total # of Planned Audits Canceled or Deferred</td>
<td>8</td>
</tr>
<tr>
<td>Total Audits in Plan as Amended</td>
<td>32</td>
</tr>
<tr>
<td>Total Audits Completed</td>
<td>20</td>
</tr>
<tr>
<td>Audits - Percentage Complete</td>
<td>63%</td>
</tr>
<tr>
<td>Audits - Percentage Complete or Underway</td>
<td>94%</td>
</tr>
</tbody>
</table>

Note: Includes Policy Compliance Reviews and Advisory Services
Background

This report provides a summary of engagements completed during this period, including both advisory and risk-based reviews. For risk-based engagements, the rating system definitions are included below.

<table>
<thead>
<tr>
<th>Risk-Based Engagement Reports</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital Campaign Processes and Reporting</td>
<td>Effective</td>
</tr>
<tr>
<td>Institute for Critical Technology and Applied Science</td>
<td>Improvements are Recommended</td>
</tr>
<tr>
<td>Parking Services: Permitting Processes</td>
<td>Improvements are Recommended</td>
</tr>
</tbody>
</table>

Advisory reviews are conducted in areas either requested by management or on processes where a full risk-based engagement isn’t necessary to achieve the desired evaluation or improvements. Advisory engagement reports are provided to the Compliance, Audit, and Risk Committee at the discretion of the Chief Audit Executive and where the engagement addresses enterprise-wide or significant strategic risk areas.

<table>
<thead>
<tr>
<th>Advisory Engagement Reports</th>
<th>Objective</th>
</tr>
</thead>
<tbody>
<tr>
<td>IT: Internally Developed Software</td>
<td>Determine whether governance and controls over internally developed software were adequate and if best practices were deployed.</td>
</tr>
<tr>
<td>IT: Inventory and Classification</td>
<td>Determine whether the 2023 inventory and classification efforts were suitably designed to support completeness and accuracy.</td>
</tr>
</tbody>
</table>

Reports Completed but not included in Report to the Committee

| Center for European and Transatlantic Studies              | Perform a sponsor-required end of grant agreed upon procedure financial review. |
Summary of Ratings

The Office of Audit, Risk, and Compliance’s rating system has four tiers from which to assess the controls designed by management to reduce exposures to risk in the area being audited. The auditor can use professional judgment in constructing the exact wording of the assessment in order to capture varying degrees of deficiency or significance.

Definitions of each assessment option

Effective – The audit identified opportunities for improvement in the internal control structure, but business risks are adequately controlled in most cases.

Improvements are Recommended – The audit identified occasional or isolated business risks that were not adequately or consistently controlled.

Significant or Immediate Improvements are Needed – The audit identified several control weaknesses that have caused, or are likely to cause, material errors, omissions, or irregularities to go undetected. The weaknesses are of such magnitude that senior management should undertake immediate corrective actions to mitigate the associated business risk and possible damages to the organization.

Unreliable – The audit identified numerous significant business risks for which management has not designed or consistently applied controls prior to the audit. Persistent and pervasive control weaknesses have caused or could cause significant errors, omissions, or irregularities to go undetected. The weaknesses are of such magnitude that senior management must undertake immediate corrective actions to bring the situation under control and avoid (additional) damages to the organization.

RECOMMENDATION:

That the internal audit reports listed above be accepted by the Compliance, Audit, and Risk Committee.

June 10, 2024
VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY

INTERCOLLEGIATE ATHLETICS PROGRAMS

FOR THE YEAR ENDED

JUNE 30, 2023

Auditor of Public Accounts
Staci A. Henshaw, CPA
www.apa.virginia.gov
(804) 225-3350
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INDEPENDENT ACCOUNTANT’S REPORT ON APPLYING AGREED-UPON PROCEDURES  
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  Statement of Revenues and Expenses of Intercollegiate Athletics Programs 8

  Notes to the Statement of Revenues and Expenses of Intercollegiate Athletics Programs 9-12
INDEPENDENT ACCOUNTANT’S REPORT
ON APPLYING AGREED-UPON PROCEDURES

We have performed the procedures enumerated below on the Virginia Polytechnic Institute and State University’s (University) Statement of Revenues and Expenses of Intercollegiate Athletics Programs (Statement) for the year ended June 30, 2023. University management is responsible for the Statement and its compliance with National Collegiate Athletic Association (NCAA) requirements.

University management has agreed to and acknowledged that the procedures performed are appropriate to meet the intended purpose of evaluating whether the Statement is in compliance with NCAA Constitution 20.2.4.17.1, for the year ended June 30, 2023. This report may not be suitable for any other purpose. The procedures performed may not address all the items of interest to a user of this report and may not meet the needs of all users of this report and, as such, users are responsible for determining whether the procedures performed are appropriate for their purposes.

Agreed-Upon Procedures Related to the Statement of Revenues and Expenses of Intercollegiate Athletics Programs

Procedures described below were limited to certain items. For the purpose of this report, and as defined in the agreed-upon procedures, revenue and expense reporting categories require detailed testing if they are greater than or equal to four percent of total revenues or total expenses, as applicable. Based on this defined threshold, we have not performed detailed testing on the following items:
Revenue Reporting Categories:

- Direct institutional support
- Indirect institutional support
- Guarantees
- In-kind
- NCAA distributions
- Conference distributions (non-media or bowl)
- Program, novelty, parking, and concession sales
- Royalties, licensing, advertisement and sponsorships
- Sports camp revenues
- Athletics-Restricted endowment and investment income
- Other operating revenue

Expense Reporting Categories:

- Guarantees
- Severance payments
- Recruiting
- Sports equipment, uniforms and supplies
- Fundraising, marketing and promotions
- Sport camp expenses
- Spirit groups
- Athletic facilities leases and rental fees
- Athletic facilities debt service
- Indirect institutional support
- Medical expenses and insurance
- Memberships and dues
- Student-Athlete meals

For purposes of performing these procedures, no exceptions were reported for differences of less than one-tenth of one percent (0.10%) of revenues and expenses, as applicable. We have not investigated any differences and/or reconciling items below the reporting threshold while performing these agreed-upon procedures. We did not perform any procedures over reporting items with zero balances, which have been excluded from the Statement herein. The procedures we performed and associated findings are as follows:

Internal Controls

1. We reviewed the relationship of internal control over intercollegiate athletics programs to internal control reviewed in connection with our audit of the University’s financial statements. In addition, we identified and reviewed those controls unique to the Intercollegiate Athletics Department, which were not reviewed in connection with our audit of the University’s financial statements.
2. Intercollegiate Athletics Department management provided a current organizational chart. We also made certain inquiries of management regarding control consciousness, the use of internal audit in the department, competence of personnel, protection of records and equipment, and controls regarding information systems with the Information Technology Department.

3. Intercollegiate Athletics Department management provided us with their process for gathering information on the nature and extent of affiliated and outside organizational activity for or on behalf of the University’s intercollegiate athletics programs. We tested these procedures as noted below.

**Affiliated and Outside Organizations**

4. Intercollegiate Athletics Department management identified all related affiliated and outside organizations and provided us with copies of audited financial statements for each such organization for the reporting period.

5. Intercollegiate Athletics Department management prepared and provided to us a summary of revenues and expenses for or on behalf of the University’s intercollegiate athletics programs by affiliated and outside organizations included in the Statement.

6. Intercollegiate Athletics Department management provided to us any additional reports regarding internal control matters identified during the audits of affiliated and outside organizations performed by independent public accountants. We were not made aware of any internal control findings.

**Statement of Revenues and Expenses of Intercollegiate Athletics Programs**

7. Intercollegiate Athletics Department management provided to us the Statement of Revenues and Expenses of Intercollegiate Athletics Programs for the year ended June 30, 2023, as prepared by the University and shown in this report. We recalculated the addition of the amounts in the Statement, traced the amounts on the Statement to management’s trial balance worksheets, and agreed the amounts in management’s trial balance worksheets to the Intercollegiate Athletics Department’s accounts in the accounting records. Certain adjustments to the Statement were necessary to conform to NCAA reporting guidance. We discussed the nature of adjusting journal entries with management and are satisfied that the adjustments are appropriate.

8. We compared each major revenue and expense account over ten percent of total revenues or total expenses, respectively, to prior period amounts and budget estimates. Variances exceeding ten percent of prior period amounts or budget estimates are explained below:
Fiscal Year 2023

<table>
<thead>
<tr>
<th>Line Item</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Media Rights</td>
<td>The increase of $4.18 million or 11.09 percent is attributable to an increase in Atlantic Coast Conference (ACC) media revenue funding.</td>
</tr>
<tr>
<td>Coaching salaries, benefits, and bonuses paid by the University and related entities</td>
<td>An increase of $2.6 million or 12.26 percent is due to several contract negotiations that increased certain coaches’ salaries for program success, other contractual increases and market adjustments, and a five percent statewide increase effective for non-contractual assistant coaches.</td>
</tr>
<tr>
<td>Support Staff/Administrative salaries, benefits, and bonuses paid by the University and related entities</td>
<td>An increase of $2.0 million or 10.86 percent is due to a five percent statewide increase and coaching contractual increases that included increased salary pools for support staff.</td>
</tr>
</tbody>
</table>

**Revenues**

9. We reviewed two monthly ticket sales reconciliations performed for accuracy and proper review and approval. We performed a recalculation of ticket sales revenue for football and men’s basketball by comparing the number of tickets sold, attendance, and sale price from the third-party ticketing system to total revenue recorded in the Statement. We determined the reconciliations reviewed to be accurate and properly approved. Revenue in the Statement was higher by $3.1 million for football and $1.2 million for basketball due to secondary ticket sales, handling and processing fees, and other adjusting entries.

10. We obtained documentation of the University’s methodology for allocating student fees to intercollegiate athletics programs. We compared student fees reported in the Statement to amounts reported in the accounting records and an expected amount based on fee rates and enrollment. We found a difference of $1.1 million which we attribute to the methodology used to estimate student fee revenue compared to actual distributions of student fees to the department.

11. Intercollegiate Athletics Department management provided us with a listing of all contributions of moneys, goods or services received directly by its intercollegiate athletics programs from any affiliated or outside organization, agency or group of individuals that constitutes ten percent or more of all contributions received during the reporting period. Except for contributions received from the Virginia Tech Foundation (VTF), an affiliated organization, we noted no individual contribution which constituted more than ten percent of total contributions received for intercollegiate athletics programs. We reviewed contributions from VTF, which exceeded ten percent of all contributions, and agreed them to supporting documentation. After adjusting contributions revenue in the Statement by $182,680, we determined contributions to be accurately reported in the Statement.
12. Intercollegiate Athletics Department management provided us with a listing and copies of all agreements related to media rights. We gained an understanding of the relevant terms of the agreements and agreed selected amounts to proper posting in the accounting records and supporting documentation with no reportable differences.

13. Intercollegiate Athletics Department management provided us with a listing and copies of all agreements related to participation in revenues from tournaments, conference distributions, and NCAA distributions. We inspected the terms of the agreements and agreed selected amounts to proper posting in the accounting records and supporting documentation with no reportable differences.

**Expenses**

14. Intercollegiate Athletics Department management provided us a listing of student aid recipients during the reporting period. Since the University did not use the NCAA Compliance Assistant software to prepare athletic aid detail, we selected 60 individual student athletes across all sports and obtained the students’ account detail from the University’s student information system. We agreed each student’s information to the information reported in the NCAA Membership Financial Reporting System. We identified two students with variances of $400 and 51 students with variances of $800 which are attributable to reporting estimated book fees and supplies for one or two terms, respectively. We also ensured that the total aid amount for each sport agreed to amounts reported as financial aid in the student accounting system and performed a check of selected students’ information as reported in the NCAA Membership Financial Reporting System to ensure proper calculation of revenue distribution equivalencies and noted no reportable differences.

15. Intercollegiate Athletics Department management provided us with a listing of coaches, support staff, and administrative personnel employed and paid by the University during the reporting period. We selected five coaches, including football and men’s and women’s basketball coaches, and five support and administrative personnel and compared amounts paid during the fiscal year from the payroll accounting system to their contract or other employment agreement document. We found that recorded expenses equaled amounts paid as salary and bonuses and were in agreement with approved contracts or other documentation with no reportable differences.

16. We obtained the Intercollegiate Athletics Department’s written recruiting and team travel policies from Intercollegiate Athletics Department management and documented an understanding of those policies. We compared these policies to existing University and NCAA policies and noted substantial agreement of those policies.

17. We selected a sample of five disbursements each for team travel, game expenses, direct overhead and administrative expenses, and other operating expenses. We compared and agreed the selected operating expenses to adequate supporting documentation. We found all reviewed amounts to be properly approved, reasonable to intercollegiate athletics, and properly recorded in the accounting records with no reportable differences.
18. We obtained a listing of debt service payments for athletics facilities for the reporting year. We selected a sample of three debt service payments included in the Statement, as well as the two highest payments, and agreed them to supporting documentation with no reportable differences.

19. We obtained an understanding of the University’s methodology for charging indirect cost to the athletic department. We evaluated indirect cost charges for reasonableness and noted proper reporting of these charges in the Statement with no reportable differences.

**Other Reporting Items**

20. We obtained repayment schedules for all outstanding intercollegiate athletics debt during the reporting period. We recalculated annual maturities reported in the notes to the Statement and agreed total annual maturities and total outstanding athletic-related debt to supporting documentation with no reportable differences.

21. We agreed total outstanding institutional debt to supporting debt schedules and the University’s audited financial statements with no reportable differences.

22. We agreed the fair value of athletics-dedicated endowments to supporting documentation provided by the University with no reportable differences.

23. We agreed the fair value of institutional endowments to supporting documentation and the audited financial statements of the University’s Foundation with no reportable differences.

24. We obtained a schedule of athletics-related capital expenditures made during the period. We selected a sample of five transactions to validate existence and accuracy of recording and recalculated totals with no reportable differences.

**Additional Procedures**

25. We compared the sports sponsored by the University, as reported in the NCAA Membership Financial Reporting System, to the Calculation of Revenue Distribution Equivalencies Report (CRDE) from the ARMS software for the University. We noted agreement of the sports reported.

26. We compared total current year grants-in-aid revenue distribution equivalencies to total prior year reported equivalencies per the NCAA Membership Financial Report submission and noted variations exceeding four percent when compared to prior year. The 7.14 percent decrease in grants-in-aid revenue distribution equivalencies was the result of reporting errors in the prior fiscal year that overstated football athletic aid equivalencies coupled with a current year decrease in exhausted eligibility and medical equivalencies for football and track and field and cross-country.

27. We obtained the University’s Sports Sponsorship and Demographics Forms Report for the reporting year. We validated that the countable sports identified by the institution met
the minimum requirements for number of contests and minimum number of participants as defined in NCAA Bylaw 20.10.6.3. We ensured that countable sports have been properly identified in the NCAA Membership Financial Reporting System for the purpose of revenue distribution calculations.

28. We compared the current number of sports sponsored to the prior year total reported in the University’s NCAA Membership Financial Report submission and noted no variations when compared to prior year.

29. We obtained a listing of student athletes receiving Pell grant awards from the University’s student information system and agreed the total value of these Pell grants to the amount reported in the NCAA Membership Financial Reporting System. We noted agreement of the amounts reported.

30. We compared the total number of Pell grant awards in the current year to the number reported in the prior year NCAA Membership Financial Report submission. We noted no variations greater than 20 grants when compared with the prior year.

We were engaged by University management to perform this agreed-upon procedures engagement and conducted our engagement in accordance with attestation standards established by the American Institute of Certified Public Accountants and the standards applicable to attestation engagements contained in Government Auditing Standards issued by the Comptroller General of the United States. We were not engaged to and did not conduct an audit, examination, or review engagement, the objective of which would be the expression of an opinion or conclusion, respectively, on the Statement of Revenues and Expenses of Intercollegiate Athletics Programs or any of the accounts or items referred to above. Accordingly, we do not express such an opinion or conclusion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

We are required to be independent of the University and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements related to our agreed-upon procedures engagement.

This report is intended solely for the information and use of the University and its management and is not intended to be and should not be used by anyone other than these specified parties. However, this report is a matter of public record, and its distribution is not limited.

Staci A. Henshaw  
AUDITOR OF PUBLIC ACCOUNTS

JMF/vks
<table>
<thead>
<tr>
<th>Operating revenues:</th>
<th>Football</th>
<th>Men's Basketball</th>
<th>Women's Basketball</th>
<th>Men's Other Sports</th>
<th>Women's Other Sports</th>
<th>Non-Program Specific</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ticket sales</td>
<td>$15,031,058</td>
<td>$3,116,891</td>
<td>$323,009</td>
<td>$123,742</td>
<td>$77</td>
<td>$18,594,777</td>
<td></td>
</tr>
<tr>
<td>Student fees</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>10,896,769</td>
</tr>
<tr>
<td>Direct institutional support</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>4,568,940</td>
</tr>
<tr>
<td>Indirect institutional support</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>1,548,987</td>
</tr>
<tr>
<td>Guarantees</td>
<td>425,000</td>
<td>30,000</td>
<td>-</td>
<td>9,000</td>
<td>1,500</td>
<td>-</td>
<td>465,500</td>
</tr>
<tr>
<td>Contributions</td>
<td>8,363,411</td>
<td>353,053</td>
<td>486,831</td>
<td>1,625,263</td>
<td>647,401</td>
<td>15,851,775</td>
<td>27,347,734</td>
</tr>
<tr>
<td>Media rights</td>
<td>1,133,621</td>
<td>101,466</td>
<td>3,000</td>
<td>44,596</td>
<td>9,489</td>
<td>9,027</td>
<td>281,109</td>
</tr>
<tr>
<td>Program, novelty, parking, and concession sales</td>
<td>1,149,418</td>
<td>91,687</td>
<td>43,546</td>
<td>56,507</td>
<td>17,233</td>
<td>29,688</td>
<td>1,688,077</td>
</tr>
<tr>
<td>Royalties, licensing, advertisement and sponsorships</td>
<td>1,218,064</td>
<td>60,000</td>
<td>60,000</td>
<td>309,053</td>
<td>208,250</td>
<td>1,444,173</td>
<td>3,299,540</td>
</tr>
<tr>
<td>Total operating revenue</td>
<td>68,986,170</td>
<td>15,174,463</td>
<td>1,498,002</td>
<td>2,352,815</td>
<td>3,850,247</td>
<td>37,660,382</td>
<td>129,522,079</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Operating expenses:</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Athletic student aid</td>
<td>4,209,834</td>
<td>794,810</td>
<td>716,399</td>
<td>3,431,188</td>
<td>5,100,637</td>
<td>1,777,872</td>
<td>10,030,740</td>
</tr>
<tr>
<td>Guaranrtees</td>
<td>550,000</td>
<td>253,443</td>
<td>105,000</td>
<td>220,981</td>
<td>18,218</td>
<td></td>
<td>1,147,642</td>
</tr>
<tr>
<td>Coaching salaries, benefits, and bonuses paid by the university and related entities</td>
<td>11,310,966</td>
<td>3,771,676</td>
<td>1,634,453</td>
<td>3,950,721</td>
<td>3,464,617</td>
<td>-</td>
<td>24,132,433</td>
</tr>
<tr>
<td>Support staff/administrative compensation, benefits, and bonuses paid by the university and related entities</td>
<td>3,418,516</td>
<td>1,024,806</td>
<td>817,193</td>
<td>587,334</td>
<td>364,736</td>
<td>14,623,697</td>
<td>20,836,281</td>
</tr>
<tr>
<td>Severance payments</td>
<td>982,452</td>
<td>373,675</td>
<td>127,318</td>
<td>273,590</td>
<td>253,975</td>
<td></td>
<td>462,521</td>
</tr>
<tr>
<td>Recruiting</td>
<td>1,185,264</td>
<td>363,775</td>
<td>127,318</td>
<td>273,590</td>
<td>253,975</td>
<td></td>
<td>4,203,922</td>
</tr>
<tr>
<td>Team travel</td>
<td>1,107,040</td>
<td>555,670</td>
<td>638,635</td>
<td>1,311,154</td>
<td>1,330,632</td>
<td></td>
<td>4,943,136</td>
</tr>
<tr>
<td>Sports equipment, uniforms, and supplies</td>
<td>786,892</td>
<td>79,185</td>
<td>89,634</td>
<td>827,546</td>
<td>721,771</td>
<td>51,125</td>
<td>2,558,153</td>
</tr>
<tr>
<td>Game expenses</td>
<td>2,218,937</td>
<td>745,318</td>
<td>654,818</td>
<td>471,233</td>
<td>327,454</td>
<td></td>
<td>5,162,138</td>
</tr>
<tr>
<td>Fundraising, marketing and promotion</td>
<td>254,664</td>
<td>78,061</td>
<td>33,267</td>
<td>67,076</td>
<td>52,656</td>
<td></td>
<td>1,516,040</td>
</tr>
<tr>
<td>Sport camp expenses</td>
<td>155,087</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
<td>155,087</td>
</tr>
<tr>
<td>Spirit groups</td>
<td>-</td>
<td>12,156</td>
<td>44,348</td>
<td>12,500</td>
<td>12,500</td>
<td></td>
<td>269,967</td>
</tr>
<tr>
<td>Athletic facilities leases and rental fees</td>
<td>-</td>
<td>450</td>
<td>-</td>
<td>125,682</td>
<td>126,240</td>
<td></td>
<td>252,372</td>
</tr>
<tr>
<td>Athletic facilities debt service</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
<td>1,161,086</td>
</tr>
<tr>
<td>Direct overhead and administrative expenses</td>
<td>1,267,779</td>
<td>1,171,326</td>
<td>135,404</td>
<td>1,525,436</td>
<td>323,184</td>
<td>5,175,138</td>
<td>9,598,267</td>
</tr>
<tr>
<td>Indirect cost paid to the institution by athletics</td>
<td>66,301</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
<td>6,318,080</td>
</tr>
<tr>
<td>Indirect institutional support</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td></td>
<td>1,548,987</td>
</tr>
<tr>
<td>Medical expenses and insurance</td>
<td>298,575</td>
<td>29,910</td>
<td>30,026</td>
<td>277,612</td>
<td>297,558</td>
<td>679,412</td>
<td>1,631,048</td>
</tr>
<tr>
<td>Memberships and dues</td>
<td>1,944</td>
<td>1,790</td>
<td>150</td>
<td>23,086</td>
<td>22,640</td>
<td>25,871</td>
<td>75,481</td>
</tr>
<tr>
<td>Student-Athlete meals (non-travel)</td>
<td>1,145,237</td>
<td>196,836</td>
<td>89,934</td>
<td>867,608</td>
<td>791,216</td>
<td>162,058</td>
<td>3,252,889</td>
</tr>
<tr>
<td>Other operating expenses</td>
<td>3,805,822</td>
<td>380,936</td>
<td>177,026</td>
<td>577,021</td>
<td>310,798</td>
<td>4,664,567</td>
<td>9,916,170</td>
</tr>
<tr>
<td>Total operating expenses</td>
<td>32,445,290</td>
<td>9,459,698</td>
<td>5,294,055</td>
<td>15,153,981</td>
<td>14,118,436</td>
<td>40,475,873</td>
<td>116,947,333</td>
</tr>
<tr>
<td>Excess (deficiency) of revenues over (under) expenses</td>
<td>$36,540,880</td>
<td>$5,714,765</td>
<td>$3,796,053</td>
<td>$12,401,166</td>
<td>$10,268,189</td>
<td>$(2,815,491)</td>
<td>$12,574,746</td>
</tr>
</tbody>
</table>

Other Reporting Items:
- Total athletics-related debt $94,668,000
- Total institutional debt $795,600,000
- Value of athletics-dedicated endowments $72,843,420
- Value of institutional endowments $1,792,103,974
- Total athletics-related capital expenditures $5,254,000

The accompanying Notes to the Statement of Revenues and Expenses of Intercollegiate Athletics Programs are an integral part of this Statement.
NOTES TO STATEMENT OF REVENUES AND EXPENSES OF INTERCOLLEGIATE ATHLETICS PROGRAMS FOR THE YEAR ENDED JUNE 30, 2023

1. BASIS OF PRESENTATION

The accompanying Statement of Revenues and Expenses of Intercollegiate Athletic Programs has been prepared on the accrual basis of accounting. The purpose of the Statement is to present a summary of revenues and expenses of the intercollegiate athletic programs of the University for the year ended June 30, 2023. The Statement includes those intercollegiate athletics revenues and expenses made on behalf of the University’s athletics programs by outside organizations not under the accounting control of the University. Because the Statement presents only a selected portion of the activities of the University, it is not intended to and does not present either the financial position, changes in financial position, or cash flows for the year then ended. Revenues and expenses directly identifiable with each category of sport presented are reported accordingly. Revenues and expenses not directly identifiable to a specific sport are reported under the category "Non-Program Specific."

2. AFFILIATED ORGANIZATIONS

The University received $31,081,246 from the Virginia Tech Foundation, Inc. Approximately $16,030,740 of these funds were used for grant-in-aid scholarships for student athletes. These amounts received are included in the accompanying Statement as follows: $27,327,734 is included in the Contributions line item and $3,753,512 is included in the Athletics-Restricted Endowment and Investment Income line item.

3. LONG-TERM DEBT, LONG-TERM LEASES, AND SBITAs

Externally-funded debt

The University, on behalf of the intercollegiate athletics program, has obtained debt financing for capital improvement projects as needed. These debts consist of Section 9(d) revenue bonds issued by the University and will be repaid by the program using operating revenues and private fundraising proceeds. Outstanding principal as of June 30, 2023 (in dollars):
<table>
<thead>
<tr>
<th>Project</th>
<th>Maturity</th>
<th>Principal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indoor Practice Facility</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Series 2015B, 9(d) revenue bond</td>
<td>2035</td>
<td>$510,000</td>
</tr>
<tr>
<td>Series 2021, 9(d) revenue bond</td>
<td>2036</td>
<td>$40,000</td>
</tr>
<tr>
<td>Lane Stadium - West Side Expansion</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Series 2021, 9(d) refunding revenue bond</td>
<td>2041</td>
<td>21,825,000</td>
</tr>
<tr>
<td>Lane Stadium - South End Zone</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Series 2021, 9(d) refunding revenue bond</td>
<td>2041</td>
<td>7,055,000</td>
</tr>
<tr>
<td>Hahn Hurst Basketball Practice Center</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Series 2021, 9(d) refunding revenue bond</td>
<td>2041</td>
<td>6,075,000</td>
</tr>
<tr>
<td>Internally-funded debt</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The University has internally loaned the intercollegiate athletics program funds for capital improvement projects as needed. These debts will be repaid by the program using operating revenues and private fundraising proceeds. Outstanding principal as of June 30, 2023 (in dollars):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Student Athletic Performance Center</td>
<td>2029</td>
<td>$2,839,000</td>
</tr>
<tr>
<td>ACC Media Studio</td>
<td>2031</td>
<td>8,397,000</td>
</tr>
<tr>
<td>Creativity &amp; Innovation District</td>
<td>2041</td>
<td>19,358,000</td>
</tr>
<tr>
<td>Baseball Stadium and Rector Field House</td>
<td>2045</td>
<td>26,258,000</td>
</tr>
<tr>
<td>Long-term lease payable</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The University, on behalf of the intercollegiate athletics program, has entered into a long-term lease with the Town of Christiansburg for the use of the town's aquatic center ending in 2035. The lease will be paid by the program using operating revenues and private fundraising proceeds. As of June 30, 2023, the outstanding principal on this lease was $1,343,000.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Subscription-based Information Technology Agreements (SBITAs)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The University, on behalf of the intercollegiate athletic program, has entered into multiple SBITAs to support the program's operations with various end dates. The SBITAs will be paid by the program using operating revenues and private fundraising proceeds. As of June 30, 2023, the outstanding principal for SBITAs was $968,000.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A summary of future principal and interest commitments for fiscal years subsequent to June 30, 2023, is presented as follows (in dollars):</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
4. UNIVERSITY ADMINISTRATION FEE

As with all auxiliary enterprises, the University charges the Athletic Department an administrative fee. During the fiscal year, the Athletic Department paid $6,384,381 to the University. This amount is included in the Indirect Cost Paid to the Institution by Athletics line item in the Football and Non-Program Specific categories.

5. CAPITAL ASSETS

Capital assets consisting of buildings, infrastructure, and equipment are stated at appraised historical cost or actual cost where determinable. Construction in progress (CIP) is capitalized at actual cost as expenses are incurred. All gifts of capital assets are recorded at acquisition value as of the donation date.

Intangible right-to-use assets consisting of the right-to-use buildings and Subscription-based Information Technology Arrangements (SBITAs) are stated at the net present value of future minimum lease payments at the commencement of the lease or subscription term. Intangible right-to-use assets are recognized when the net present value of future minimum lease or subscription payments is $50,000 or greater.

Equipment is capitalized when the unit acquisition cost is $2,000 or greater and the estimated useful life is one year or more. Software is capitalized when the acquisition and/or the development costs exceed $100,000. Renovation costs are capitalized when expenses total more than $100,000, the asset value significantly increases, or the useful life is significantly extended. Routine repairs and maintenance are charged to operating expense in the year the expense is incurred.

Depreciation is computed using the straight-line method over the useful life of the assets. The useful life is 40 to 60 years for buildings, ten to 50 years for infrastructure and land improvements, and three to 30 years for fixed and movable equipment. Right-to-use lease assets are amortized on a straight-line basis over the shorter of the lease term or the useful life of the underlying asset.

<table>
<thead>
<tr>
<th></th>
<th>Principal</th>
<th>Interest</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2024</td>
<td>$5,363,000</td>
<td>$1,646,000</td>
<td>$7,009,000</td>
</tr>
<tr>
<td>2025</td>
<td>5,670,000</td>
<td>1,575,000</td>
<td>7,245,000</td>
</tr>
<tr>
<td>2026</td>
<td>5,443,000</td>
<td>1,493,000</td>
<td>6,936,000</td>
</tr>
<tr>
<td>2027</td>
<td>5,443,000</td>
<td>1,414,000</td>
<td>6,857,000</td>
</tr>
<tr>
<td>2028</td>
<td>5,616,000</td>
<td>1,340,000</td>
<td>6,956,000</td>
</tr>
<tr>
<td>2029-2033</td>
<td>22,158,000</td>
<td>5,346,000</td>
<td>27,504,000</td>
</tr>
<tr>
<td>2034-2038</td>
<td>20,613,000</td>
<td>3,431,000</td>
<td>24,044,000</td>
</tr>
<tr>
<td>2039-2043</td>
<td>19,936,000</td>
<td>1,388,000</td>
<td>21,324,000</td>
</tr>
<tr>
<td>2044-2045</td>
<td>4,426,000</td>
<td>94,000</td>
<td>4,520,000</td>
</tr>
<tr>
<td></td>
<td>$94,668,000</td>
<td>$17,727,000</td>
<td>$112,395,000</td>
</tr>
</tbody>
</table>
The beginning balance has been restated for the implementation of GASB Statement 96, *Subscription Based Information Technology Arrangements*. A summary of changes in capital assets follows for the year ending June 30, 2023 (*all dollars in thousands*):

<table>
<thead>
<tr>
<th>Depreciable capital assets</th>
<th>Beginning Balance (Restated)</th>
<th>Additions</th>
<th>Retirements</th>
<th>Ending Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buildings</td>
<td>$233,664</td>
<td>$3,970</td>
<td>$</td>
<td>$237,634</td>
</tr>
<tr>
<td>Moveable equipment</td>
<td>15,978</td>
<td>702</td>
<td>533</td>
<td>16,147</td>
</tr>
<tr>
<td>Software</td>
<td>313</td>
<td>-</td>
<td>-</td>
<td>313</td>
</tr>
<tr>
<td>Fixed equipment</td>
<td>14,712</td>
<td>205</td>
<td>-</td>
<td>14,917</td>
</tr>
<tr>
<td>Infrastructure</td>
<td>22,896</td>
<td>187</td>
<td>-</td>
<td>23,080</td>
</tr>
<tr>
<td>Right to use leases – buildings</td>
<td>1,976</td>
<td>-</td>
<td>-</td>
<td>1,976</td>
</tr>
<tr>
<td>Right to use assets – SBITAs</td>
<td>1,248</td>
<td>299</td>
<td>110</td>
<td>1,437</td>
</tr>
<tr>
<td><strong>Total depreciable capital assets, at cost</strong></td>
<td>290,787</td>
<td>5,360</td>
<td>643</td>
<td>295,504</td>
</tr>
</tbody>
</table>

| Less accumulated depreciation              |                            |           |             |                |
| Buildings                                  | 73,268                     | 5,221     | -           | 78,489         |
| Moveable equipment                         | 8,941                      | 1,380     | 510         | 9,811          |
| Software                                   | 304                        | 9         | -           | 313            |
| Fixed equipment                            | 6,842                      | 670       | -           | 7,512          |
| Infrastructure                             | 18,676                     | 648       | -           | 19,324         |
| Right to use leases – buildings            | 279                        | 139       | -           | 418            |
| Right to use assets – SBITAs               | 259                        | 343       | 110         | 492            |
| **Total accumulated depreciation and amortization** | 108,569                  | 8,410     | 620         | 116,359        |

| Total depreciable capital assets, net of accumulated depreciation and amortization | 182,218 | (3,050) | 23 | 179,145 |

| Non-depreciable capital assets             |                            |           |             |                |
| Construction in progress                   | 4,514                      | 3,830     | 3,936       | 4,408          |
| **Total non-depreciable capital assets**   | 4,514                      | 3,830     | 3,936       | 4,408          |

| Total capital assets, net of accumulated depreciation and amortization | $186,732 | $780 | $3,959 | $183,553 |
In accordance with the resolution passed by the Finance and Audit Committee on April 25, 1985, and as amended on November 13, 1995 and March 31, 2008, each university-related corporation is required to provide the University's President audited annual financial statements, management letters from the external auditors, management's responses thereto, and an annual certification that all procedures outlined in the resolution have been met. These financial statements, management letters, and management responses have been reviewed as of June 30, 2023, and found to meet the standards set forth in the audit resolution, except as noted below.

### VIRGINIA TECH CORPORATIONS
### COMPLIANCE WITH AUDIT RESOLUTION FOR FISCAL YEAR 2023

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>VT Applied Research Corporation</td>
<td>✓</td>
<td>*</td>
<td>*</td>
<td>Ω</td>
<td>✓</td>
</tr>
<tr>
<td>VT Foundation, Inc.</td>
<td>✓</td>
<td>*</td>
<td>*</td>
<td>Ω</td>
<td>✓</td>
</tr>
<tr>
<td>VT Intellectual Properties, Inc.</td>
<td>✓</td>
<td>*</td>
<td>*</td>
<td>Ω</td>
<td>✓</td>
</tr>
<tr>
<td>VT Services, Inc.</td>
<td>✓</td>
<td>*</td>
<td>*</td>
<td>Ω</td>
<td>✓</td>
</tr>
<tr>
<td>VT Innovations Corporation</td>
<td>In Progress</td>
<td>In Progress</td>
<td>In Progress</td>
<td>In Progress</td>
<td>In Progress</td>
</tr>
<tr>
<td>VT India Research and Education Forum¹</td>
<td>✓</td>
<td>*</td>
<td>*</td>
<td>Ω</td>
<td>✓</td>
</tr>
</tbody>
</table>

* No material recommendations resulted from the audit.

¹ Corporation using same audit firm as in years past; management team has been rotated within the past five years in accordance with the audit resolution.

¹ The financial statement year end for VT India Research and Education Forum (VTIREF) is March 31.
1. **Introductions**

**Audit Team:**
- Megan Richard, Project Manager
- Shaye Doherty, Audit In-Charge
- Jimmy Quesenberry, Student Financial Aid Reviewer

Audit Period – July 1, 2023 through June 30, 2024

Planned Audit Timing – May 2024 through November 2024

Audit Deadline – November 18-19, 2024 BOV Meeting

2. **Audit Objectives, Audit Plan and Audit Roles:**

a. **Discussion of Auditor of Public Accounts (APA) audit team and resources** – Project Manager, In-charge Auditor, and Staff. Any specialists if required on the audit.

b. **Audit timing** – We will begin fieldwork in May and conclude in early November to provide support for the Commonwealth of Virginia’s Annual Comprehensive Financial Report (ACFR). Our Audit will cover the audit period July 1, 2023 through June 30, 2024. We anticipate exiting with the Board of Visitors at its regularly scheduled meeting in November.

c. **Audit objectives** – Our audit objectives are to determine if the financial statements present fairly the financial position, changes in financial position, and cash flows for the period in conformity with accounting principles generally accepted in the United States of America. We will also determine if disclosures in the financial statements are adequate and fairly stated, whether management has appropriately reviewed the financial statements, whether adequate internal controls exist over material account balances and transactions, and whether the agency is in compliance with applicable laws, regulations, and provisions of contracts or grant agreements. These objectives will enable us to provide an opinion to the university’s financial statements that will be included with the financial statements that are distributed by the university. We will also issue a report on internal controls and compliance that will include any findings or recommendations that we may issue as a result of the audit. We will follow up on any recommendations included in the prior year report to determine whether the institution has addressed any previously communicated deficiencies, as applicable. NCAA Agreed Upon Procedures will performed annually. We will complete agreed-upon procedures and issue a report that includes a schedule of financial activity related to intercollegiate athletics. This report is due to the University by January 15th and will be published and distributed in February or March.

d. **Commonwealth single audit support** – Federal funding received by institutions in the Commonwealth of Virginia is subject to the Single Audit Act. Code of Federal Regulations, Title 2,
Section 200 described the requirements for compliance and the associated audit requirements. The Student Financial Aid cluster is considered a major program under the audit requirements of 2 CFR 200 for fiscal year 2024. If applicable, to the extent that the institution expends any HEERF funding received by the end of the fiscal year, these expenses may be subject to audit. Any recommendations or noncompliance meeting reporting thresholds will be included in the institution’s audit report and the Commonwealth Single Audit report. Follow up testing will be performed to ensure previously communicated deficiencies related to Student Financial Aid have been resolved.

e. **Overview of the relationship between APA, internal audit, and foundation auditors** – The APA is the Commonwealth of Virginia’s independent external auditor responsible for annual financial statement audits of public agencies and institutions, and various other required audits. The APA reports to the Virginia General Assembly. Internal Audit is responsible for the institution’s audit workplan as approved by the institution’s Board of Visitors. Foundation auditors are responsible for the financial statement audits of the various foundations. We make reference to the work of these auditors in our financial statement opinion, but we generally do not take responsibility for the work of these auditors. Most foundations are presented as discretely presented component units in the institution’s financial statements.

3. **Discussion of Risk with Board Members**

The APA encourages the Board of Visitors to provide input regarding the risks they perceive to the University in completing its mission. While Board members can direct their comments to the Audit Committee Chair or the Internal Audit Director to be forwarded to the APA Project Manager, we also plan to meet directly with the Audit Committee Chair. We will discuss the following issues:

- Any areas of fraud risk
- Any areas of institutional risk
- Any matters that the Board believes should be considered in planning

4. **Terms of the Engagement** *(See Attached Summary)*
Terms of the Engagement

Responsibilities during the audit process:

Auditor’s (APA) Responsibilities

Overall Audit Objectives

We will conduct our audit in accordance with auditing standards generally accepted in the United States of America (GAAS) and standards for financial audit contained in the Government Auditing Standards. The objectives of our audit are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor’s report that includes our opinion(s) about whether your financial statements are fairly presented, in all material respects, in conformity with U.S. generally accepted accounting principles. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS and Governmental Auditing Standards will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users made on the basis of these financial statements.

Accounting Principles generally accepted in the United States of America, as promulgated by the Governmental Accounting Standards Board (GASB) require that certain information be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by GASB, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We will apply certain limited procedures to the required supplementary information (RSI) in accordance with GAAS, which will consist of inquiries of management about the methods of preparing the RSI and comparing the RSI for consistency with management’s responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We will not express an opinion or provide any assurance on the following RSI based on these limited procedures:

- Management Discussion and Analysis (MD&A)
- The Schedule of Virginia Tech’s Share of Net Pension Liability
- The Schedule of Virginia Tech’s Pension Contributions
- The Schedule of Virginia Tech’s Share of OPEB Liability (Asset)
- The Schedule of Virginia Tech’s Share of OPEB Contributions
- The Notes to the Required Supplementary Information

Supplementary information other than RSI is presented for the purpose of additional analysis and is not a required part of the basic financial statements. For the following supplementary information, we will subject the information to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the
basic financial statements or to the basic financial statements themselves, and additional procedures in accordance with GAAS. We intend to provide an opinion on the following supplementary information in relation to the basic financial statements as a whole:

- Virginia Tech Foundation, Inc. (Optional Supplementary Information)
- Affiliated Corp. Financial Highlights (Optional Supplementary Information)
- Consolidating Schedules (Optional Supplementary Information)

For the following other information, we will read the information for indications of material inconsistencies with the basic financial statements or the auditor’s understanding, and material misstatements of fact or information that is otherwise misleading. We will not express an opinion or provide any assurance on the following other information:

- University Highlights
- Financial Highlights
- Message from the Senior Vice President and Chief Business Officer

Audit Procedures - General

As part of an audit conducted in accordance with GAAS and Government Auditing Standards, we exercise professional judgment and maintain professional skepticism throughout the audit. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements; therefore, our audit will involve judgment about the number of transactions to be examined and the areas to be tested. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. We will plan and perform the audit to obtain reasonable, rather than absolute assurance, about whether the financial statements are free of material misstatement whether from (1) errors, (2) fraudulent financial reporting, (3) misappropriation of assets, or (4) violations of laws or governmental regulations that are attributable to the entity or to acts by management or employees acting on behalf of the entity.

Because of the inherent limitations of an audit, together with the inherent limitations of internal control, an unavoidable risk that some material misstatements may not be detected exists, even though the audit is properly planned and performed in accordance with GAAS and Government Auditing Standards. Because the determination of abuse is subjective, Government Auditing Standards do not expect auditors to perform specific procedures to detect waste or abuse in financial audits nor do they require auditors to provide reasonable assurance of detecting waste or abuse. An audit is not designed to detect immaterial misstatements or violations of laws or governmental regulations that do not have a direct and material effect on the financial activity.

We will also conclude, based on the audit evidence obtained whether there are conditions or events considered in the aggregate, which raise substantial doubt about the entity’s ability to continue as a going concern for a reasonable period of time.
**Audit Procedures - Internal Control and Compliance**

We will obtain an understanding of internal controls relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity’s internal control. Accordingly, we will express no such opinion. An audit is not designed to provide assurance on internal control or to identify significant deficiencies or material weaknesses. However, we will communicate in writing to management and those charged with governance any significant deficiencies or material weaknesses in internal control relevant to the audit of the financial statements that we have identified during the audit. Also, as part of obtaining reasonable assurance about whether the financial statements are free of material misstatement, we will perform tests of compliance with the provisions of applicable laws, regulations, contracts, agreements, and grants. However, the objective of our audit will not be to provide an opinion on overall compliance, and we will not express such an opinion.

**Audit Procedures – Group Audits**

Our audit will include obtaining an understanding of the consolidated group, sufficient to assess the risks of material misstatement of financial information derived from significant components to design the nature, timing, and extent of further audit procedures, including the basis for the decision to make reference in our audit opinion to audits of significant components performed by other auditors.

**Audit Procedures – Risk of Material Misstatement, Non-Compliance, and Significant Risks**

Our audit will identify and assess the risk of material misstatement and non-compliance of the financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion. The risk of not detecting a material misstatement or material non-compliance resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or override of internal control. Significant risks represent events or transactions where inherent risk of material misstatement or material non-compliance is elevated due to the likelihood and magnitude of potential misstatement or non-compliance. Based on our existing understanding of the University and its environment, and preliminary planning procedures performed as of the date of this memo, we have identified the following significant risks requiring special audit attention:

- **Management Override of Control** – management is in a unique position to perpetrate fraud because of management’s ability to manipulate accounting records and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. Although the level of risk of management override of controls will vary from entity to entity, the risk is, nevertheless present at all entities.
- **Improper Revenue Recognition** – Recognition of revenue in the proper period and amount is inherently risky and may be subject to manipulation, particularly when accounting for long-term contractual arrangements with other entities and federal grants.
Complexity of Governmental Accounting – Recent, complex accounting standards pertaining to accounting for Leases, Public Private Partnerships, Subscription-Based Information Technology Arrangements (SBITAs) which may not be properly identified or considered by management in preparing the financial statements, resulting in improper financial reporting.

Audit planning and risk assessment is an iterative process throughout the audit. Therefore, we will communicate any additional significant risks identified throughout fieldwork that may warrant the attention of management and those charged with governance if and when those circumstances arise.

Communication with Those Charged with Governance
We are responsible for communicating significant matters related to the financial statement audit that are, in the auditor's professional judgment, relevant to the responsibilities of those charged with governance in overseeing the financial reporting process. GAAS and Government Auditing Standards do not require the auditor to design procedures for the purpose of identifying other matters to communicate with those charged with governance.

Management’s Responsibilities

Our audit will be conducted on the basis that Management **acknowledge and understand that they have the following responsibilities:**

- Selection and application of accounting principles and preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America
- Design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error
- Identify and ensure compliance with applicable laws, regulations, contracts, and grant agreements
- Informing the APA about all known or suspected fraud affecting the entity involving (1) management, (2) employees who have significant roles in internal control, and (3) others where the fraud could have a material effect on the financial statements
- Informing the APA (and others as required by the Code of Virginia § 30-138) of knowledge of any allegations of fraud or suspected fraud affecting the University received in communications from employees, former employees, regulators, or others
- As received, forward copies of each federal audit performed on agency or institution programs or activities to the Auditor of Public Accounts as required by Chapter 1, §4-8.02a., of the 2023 Virginia Acts of Assembly, Special Session I. To forward these reports to the Auditor of Public Accounts, use APAFederal@apa.virginia.gov. If the federal report is only available in hardcopy or contains FOIA exempt information, DO NOT email the report, use this same email account to notify the Auditor of Public Accounts of the federal report and provide the contact information of the individual with the report.
- Informing the APA of any potential documents that are FOIA exempt
• Ensuring that financial information is reliable and properly recorded
• Making all financial records and related information available to the APA
• Providing the APA with (1) access to all information of which you are aware that is relevant to the preparation and fair presentation of the financial statements, (2) additional information that we may request for the purpose of the audit, and (3) unrestricted access to persons within the government from whom we determine it necessary to obtain audit evidence
• Responding to audit findings and recommendations, as well as providing your planned corrective actions and the timing and format for providing that information
• Providing the APA at the end of the audit with a written letter confirming certain representations made during the audit
• Adjusting the financial statements to correct material misstatements and providing the APA with a representation that the effects of any uncorrected misstatements are immaterial, both individually and in the aggregate, to the financial statements taken as a whole
• Preparation of the supplementary information in conformity with U.S. generally accepted accounting principles. You agree to include our report on the supplementary information in any document that contains and indicates that we have reported on the supplementary information. Your responsibilities include acknowledging to us in the written representation letter that (1) you are responsible for presentation of the supplementary information in accordance with GAAP; (2) that you believe the supplementary information, including its form and content, is fairly presented in accordance with GAAP; (3) that the methods of measurement or presentation have not changed from those used in the prior period (or, if they have changed, the reasons for such changes); and (4) you have disclosed to us any significant assumptions or interpretations underlying the measurement or presentation of the supplementary information.

• For Group audits, management is responsible for the following:
  • Informing the component’s management of any matter that the group engagement team becomes aware that may be significant to the financial statements of the component, but of which component management may be unaware.
  • Implementing procedures to determine if there are subsequent events for components through the APA’s audit report date.
  • Implementing procedures to identify and disclose the component’s related parties and related party transactions.
  • Implementing policies and procedures related to the consolidation of group financial information.

Audit Committee

• Communicate with APA about audit scope
• Communicate with management and internal audit regarding progress
• Receive reports and findings from management and external audit
Other Elements of the Audit Process

**Overall planned scope of the audit**

- **Approach to internal control** – We review internal controls to identify those areas where we can replace substantive testing with transactional testing. We look for management to have written formal policies and procedures and check for the implementation of those procedures.

- **Concept of materiality** – We do not review all transactions or accounts in detail. We use materiality to focus our work on those financial statement line items and those transactions that are material or significant to the University.

**Identification of potential fraud risks**

- **Approach to fraud** – Most of our audit is focused on our opinion on the financial statements and materiality. Our primary interest related to fraud would be in how it may affect the financial statements and those controls that the financial statements rely upon. The audit is not designed to detect error or fraud that is immaterial to the financial statements. However, we review policies and procedures for fraud risk and may direct our testwork towards addressing fraud risk.

- **Responsibility for identifying fraud risks and fraud** – Auditing standards require us to assess fraud risk, interview management and staff about their knowledge of fraud and fraud risk, and review exceptions for indications of possible fraudulent transactions. Auditors should be looking for red flag fraud indicators. Even though government entities are not always profit oriented, the auditors remain vigilant about financial statement fraud.

- **Report fraudulent transactions as required by Code of Virginia § 30-138** - Agencies are responsible for reporting circumstances that suggest a reasonable possibility that a fraudulent transaction has occurred involving funds or property under their control, where an officer or employee of the state or local government may be involved. Items should be reported to the Auditor of Public Accounts, the State Inspector General, and the Superintendent of State Police.

**Audit Reporting**

We will issue a written report upon completion of our audit of the University’s financial statements. We will make reference to the Component Auditor’s audit of Virginia Tech Foundation, Inc. in our report on the University’s financial statements. Our report will be addressed to the board of directors of the University. Circumstances may arise in which our report may differ from its expected form and content based on the results of our audit. Depending on the nature of these circumstances, it may be necessary for us to modify our opinion, add an emphasis-of-matter or other-matter paragraph(s), or if necessary, withdraw from the engagement. If our opinions on the basic financial statements are other than unmodified, we will
discuss the reasons with you in advance. If, for any reason, we are unable to complete the audit or are unable to form or have not formed opinions, we may decline to express opinions or to issue a report as a result of this engagement.

We will also provide a report (that does not include an opinion) on internal control related to the financial statements and compliance with the provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a material effect on the financial statements as required by Government Auditing Standards. The report on internal control and compliance will include a statement that the report is intended solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity’s internal control or on compliance. This report is an integral part of an audit performed in accordance with Government Auditing Standards in considering the entity’s internal control and compliance. Accordingly, this communication is not suitable for any other purpose.
Overview of Athletics Compliance

June 2024

Agenda:

Current Compliance Overview
New Areas of Risk
Mitigation Strategies
Compliance Office Overview

Primary Objectives
• Risk identification and management
• Effective and preventative monitoring systems
• Timely and intentional education
• Develop comprehensive policies
• Implement efficient operating systems

Guiding Principles
• Emphasis on personal integrity and commitment to compliance in hiring process
• Consistency with engagement
• Building and maintaining relationships
• Customer service and support

Maintain and Demonstrate Institutional Control
Shared Responsibility

Athletics
Compliance
President
FAR
Coaches
Student-Athletes
Other
University
Officials
Boosters
Academic
Support
Registrar's
Office
Office of
Scholarships
& Financial Aid
Office of
Admissions
Athletics
Staff
Industry Shift

High Risk Areas - 2016
- Extra Benefits
- Men’s Basketball National Culture
- Impermissible Coaching
- High School Diploma Mills
- Impermissible Recruiting

High Risk Areas - Today
- NIL
- Tampering (Transfer Portal)
- Sports Wagering
- NCAA Legislative Changes & Uncertainty
Mitigation Strategies

NIL
- Collectives
- Expectations
- Differing Applications

Mitigation
- Hokies Exchange
- Counsel – VT and Outside
- Conference Collaboration

Sports Wagering
- Student-Athletes
- Game Fixing
- Harassment

Mitigation
- U.S. Integrity
- ProhiBet

Transfer Portal
- Tampering
- Misinformation

Mitigation
- Intentional Education
- Personnel

Legislative Changes
- NCAA Process
- Judge issued injunctions
- Court Hearings

Mitigation
- Frequent, thorough, intentional education
- Conference Collaboration
Enterprise Risk Management Update

Sharon M. Kurek, CPA, CCEP, CFE, MBA
Vice President for Audit, Risk, and Compliance & Chief Risk Officer
The ERM process, a key tool in setting strategic goals across the enterprise, is designed to:

- identify potential events that may affect the university,
- manage those risks within the university’s risk tolerance, and
- support the achievement of Virginia Tech’s mission and objectives.
The Steering and Advisory Committees:

- Support the implementation and execution of the ERM and ICP programs
- Provide oversight and insight for strategic decision making and effective resource allocation
- Help to set program priorities and promote an institution-wide perspective related to risk and compliance
- Meet quarterly

GOVERNANCE STRUCTURE
<table>
<thead>
<tr>
<th>Risk Area</th>
<th>Risk Statement</th>
<th>Owner(s)</th>
<th>BOV Committee(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 - Employee Recruitment &amp; Retention</td>
<td>Recruit, develop, and retain high-performing and diverse talent to meet projected workforce needs in support of strategic goals</td>
<td>Clarke; Fricker; Sebring; Garey</td>
<td>Academic, Research, and Student Affairs + Governance and Administration</td>
</tr>
<tr>
<td>2 - Resource Diversification &amp; Management</td>
<td>Diversify revenue and effectively allocate available university personnel, finances, and space in alignment with strategic goals</td>
<td>Sebring; Clarke; Allen</td>
<td>Finance and Resource Management</td>
</tr>
<tr>
<td>3 - Technology &amp; Security</td>
<td>Modernize IT Infrastructure and address the complexities of operating and securing the hybrid model of centralized and decentralize academic, research, and administrative computing</td>
<td>Sebring; Pitt</td>
<td>Governance and Administration</td>
</tr>
<tr>
<td>4 - Access &amp; Affordability</td>
<td>Enhance ongoing resource availability and support for educational access and affordability</td>
<td>Sebring; Clarke; Pratt</td>
<td>Academic, Research, and Student Affairs + Finance and Resource Management</td>
</tr>
<tr>
<td>5 - Geo- &amp; Socio-Political Environment</td>
<td>Guide the university's response to external and global factors impacting its community and mission</td>
<td>Sands; Yianilos</td>
<td>Compliance, Audit, and Risk</td>
</tr>
</tbody>
</table>
# ERM Top 10 Risks – Owners & BOV Alignment

<table>
<thead>
<tr>
<th>Risk Area</th>
<th>Risk Statement</th>
<th>Owner(s)</th>
<th>BOV Committee(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>6 - Enrollment Management</td>
<td>Develop recruitment strategies to identify, admit, enroll, retain, and support students to graduation, while strategically managing enrollment in alignment with institutional priorities and capacity</td>
<td>Clarke; Espinoza</td>
<td>Academic, Research, and Student Affairs</td>
</tr>
<tr>
<td>7 - Athletics</td>
<td>Navigate the highly visible and complex environment of intercollegiate athletics</td>
<td>Babcock</td>
<td>Governance and Administration</td>
</tr>
<tr>
<td>8 - Health, Safety, &amp; Security</td>
<td>Prepare for internal and/or external threats and hazards to campus health, safety, and security</td>
<td>Sebring; Mulhare</td>
<td>Governance and Administration</td>
</tr>
<tr>
<td>9 - Research: Competitive Growth</td>
<td>Grow and diversify the research portfolio by prioritizing strengths and focusing on emerging areas</td>
<td>Clarke; Sui</td>
<td>Academic, Research, and Student Affairs + Finance and Resource Management</td>
</tr>
<tr>
<td>10 - Student Wellness &amp; Experience</td>
<td>Support student wellbeing, including their social, mental, physical, and emotional health, throughout their academic experience</td>
<td>Clarke; Keene</td>
<td>Academic, Research, and Student Affairs</td>
</tr>
</tbody>
</table>
RISK AREA – COMMITTEE ALIGNMENT

Academic, Research, and Student Affairs
- Access & Affordability *
- Competitive Growth *
- Inclusion & Diversity
- Enrollment Management *
- Employee Recruitment & Retention *

Buildings and Grounds
- Facilities

Compliance, Audit, and Risk
- Geo- & Socio-Political Environment *
- Legal & Regulatory
- Research Compliance
- Research Security

Finance and Resource Management
- Access & Affordability *
- Advancement
- Competitive Growth *
- Federal & State Funds
- Resource Diversification & Management *

Governance and Administration
- Athletics *
- Capacity & Capability
- Employee Recruitment & Retention *
- Health, Safety & Security *
- Technology & Security *

Board Level
- Higher Education Value Proposition
- Partners

Note: * indicates a Top Ten enterprise risk
FY 2023-24 ERM Summary

• Implemented new Risk and Compliance Governance Framework
  • Steering Committee co-chaired by EVPCOO and VPCRO
  • Advisory Committee chaired by Chief Compliance Officer
• Enhanced outreach on connected risk model to articulate synergies and differences between ERM, Compliance, and Internal Audit
• Reimagined risk assessment discussion, which helped to elevate cross-unit risks
• Refreshed risk landscape content and format to better connect risks to University strategy and priorities
QUESTIONS?
OVERVIEW

The Office of Audit, Risk, and Compliance (OARC) conducts risk-based assurance engagements, policy compliance reviews, management advisory services, and investigations. The risk-based assurance engagement is an objective examination of evidence to provide an independent assessment of governance, risk management, and the control systems within the university. The objective of the policy compliance review is to ensure all senior management areas (even low risk) receive periodic reviews from OARC every five years to perform tests of compliance with major university business policies. The nature and scope of management advisory service activities, developed through agreement with the client, add value and improve the university’s governance, risk management, and control processes without the internal auditor assuming management responsibility.

RISK ASSESSMENT PROCESS

Enterprise Risk Assessment

The university instituted an Enterprise Risk Management (ERM) initiative during fiscal year 2017–18 to provide enhanced visibility into the university’s risks and to align strategic planning with the resulting risk awareness. OARC facilitates the ERM program by working with university leadership to establish and maintain the framework for collectively identifying and assessing risks across the enterprise. The ERM program intends to strengthen the university’s ability to achieve its mission and strategic objectives by:

- Obtaining a holistic view of the most critical risks to the achievement of Virginia Tech’s mission and objectives;
- Creating a risk-aware culture, including the management of risks to an appropriate level;
- Improving focus and perspective on both internal and external risks and opportunities, including emerging risks and value drivers;
- Enhancing decision making and alignment with strategic goals; and
- Improving efficiency and optimizing allocation of resources through risk prioritization.

University leadership provided feedback to the ERM process by identifying risks and assessing the risks in terms of likelihood of occurrence, significance of impact, and velocity of onset, all grouped by the categories depicted below:

<table>
<thead>
<tr>
<th>ERM RISK CATEGORIES</th>
<th>ALTITUDES OF RISK</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic</td>
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</tbody>
</table>
In order to maximize efficiency and engagement from university senior leadership, OARC leveraged this complimentary process as an element of the traditional annual risk assessment in support of audit plan development.

**OARC Audit Planning Risk Assessment**

University departments and administrative operations were grouped into approximately 175 auditable entities or responsibility centers based on common missions and the existing organizational structure. For each auditable entity, OARC reviewed financial data, including expenditures, revenues, cash receipts, federal contracts and grants, and total employees. The relative risk was assessed on a judgmental basis for the following qualitative and quantitative factors.

<table>
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<th>RISK FACTORS</th>
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<tr>
<td>Quality and Stability of Control Environment</td>
</tr>
<tr>
<td>Business Exposure (Materiality and Liquidity of Operational Resources)</td>
</tr>
<tr>
<td>Public and Political Sensitivity</td>
</tr>
<tr>
<td>Compliance Requirements</td>
</tr>
<tr>
<td>Information Technology and Management Reporting</td>
</tr>
</tbody>
</table>

Elements considered within these factors included:
- Management’s awareness of internal controls;
- Stability and expertise of management;
- Interval since the last audit review;
- Complexity of operations and technology applications;
- Materiality or financial impact to the university;
- Potential impact to reputation;
- Impact of noncompliance with internal and external policy, procedure, regulatory, and statutory requirements; and
- Reliance on information and management reporting for operating decisions, monitoring performance, providing services, and allocating resources.

The chart depicts the results of the risk assessment classifications. The risk assessment results were consistent with previous risk assessments conducted by OARC.
**IT Risk Assessment**

OARC has also created a university-wide information technology (IT) risk-based audit plan mapped to the ISO 27002 standard, a best practice for developing and maintaining enterprise-wide IT security that is also referenced by university policies. OARC consulted with key IT personnel to ensure that audit coverage is maximized and properly targeted.

The IT risk assessment is driven by the Center for Internet Security’s Critical Security Controls and Virginia Tech’s Minimum Security Standards, which lay the IT security foundation for the university. OARC considers these controls and the relative risk of the decentralized computing environment as it identifies the topical audits in the plan. Careful consideration is made to ensure coverage includes administrative, academic, and research computing.

The IT audit approach includes a variety of topical audits to gain a better understanding of the university-wide environment instead of narrowly focusing on the performance of individual departments. This approach also allows OARC to maintain current knowledge of the IT security and operating conditions in a dynamic industry through the constant evaluation and reassessment of planned audit engagements.

**CORE AUDIT PLAN**

OARC has identified certain critical areas for inclusion in the core audit plan to ensure that adequate coverage is provided over a reasonable time. To obtain additional insight and to validate the plan, OARC management conducted surveys and discussions with senior leadership to identify reputation factors, regulatory changes, organization shifts, new initiatives, and deployment of new systems or technology tools.

The critical areas for core audit plan inclusion are:

- Academic Units
- Auxiliary Enterprises and Athletics
- Campus Safety and Security
- Enrollment Services
- Facilities and Operations
- Information Technology
- Financial Management
- Human Resources
- Off-Campus Locations
- Research
- Student Services

The core audit plan includes several multi-year audits that will allow for ongoing reviews of selected components of entities with high external compliance risk and complex operations. These entities are Athletics, Human Resources, Research, and University Scholarships and Financial Aid.
The audit plan focuses on delivering value to Virginia Tech with an emphasis on the following risk areas: strategic, operational, financial, compliance, and IT. If new topics emerge during the audit plan period that require more immediate attention, reconfiguration of the plan can be undertaken to accommodate these changes. The fiscal year 2024–25 audit plan includes 30 projects, and OARC’s goal is to complete 85 percent of the audit plan. As each audit is undertaken, risks will be re-evaluated to ensure proper audit coverage with consideration of confidentiality, integrity, and availability.

### Risk-Based Assurance

<table>
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<tr>
<th>Planned Engagement</th>
<th>Overview</th>
<th>Risk Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Athletics *</td>
<td>The Department of Athletics, an approximately $121.8 million enterprise, sponsors 22 athletic teams at the NCAA Division I level. A component of Athletics is included in the audit plan each year.</td>
<td>Compliance – Athletics</td>
</tr>
<tr>
<td>Bursar</td>
<td>The specific responsibilities of the Office of the University Bursar (OUB) include: providing timely and accurate billings to students and general users of the university’s services and ensuring that payments and credits are received and properly applied to each customer’s account in a timely manner, receipt and timely application of all other cash payments made to the university, and disbursement of payroll, all university payables, and collection of delinquent accounts and notes receivable. The last audit of the OUB was in 2019.</td>
<td>Financial – Financial Management</td>
</tr>
<tr>
<td>Data Analytics: Subscription Services</td>
<td>This review will seek to look across the various procurement avenues and analyze data looking for ongoing or continuous subscriptions, be that for technology or other services. The premise is to identify efficiencies where multiple subscriptions could be combined for savings, instances where university pricing is not being leveraged, or places where unnecessary subscriptions are being utilized. A review has not previously been completed.</td>
<td>Operational – Financial Management</td>
</tr>
<tr>
<td>Electrical and Computer Engineering</td>
<td>The Bradley Department of Electrical and Computer Engineering (ECE) is one of the country’s larger ECE departments. ECE offers bachelor, masters, and doctoral degrees in electrical and computer engineering with education and research opportunities in diverse areas, including control systems, computers, communications, electronics, electromagnetics, and power. ECE was last reviewed in 2015.</td>
<td>Operational – Academic</td>
</tr>
<tr>
<td>Environmental Health and Safety</td>
<td>Environmental Health and Safety provides institutional support and oversight for departments in maintaining regulatory requirements of laboratory safety and chemical hygiene. Department personnel perform routine inspections of areas both on and off campus. Additionally, the department provides training mandated by many federal and state agencies. The department was last reviewed in 2015.</td>
<td>Operational – Safety and Security</td>
</tr>
<tr>
<td>Human Resources: Benefits *</td>
<td>Human Resources administers the Commonwealth benefits program and provides benefit management and guidance for approximately 7,500 faculty and staff. The benefits program is an integral part of the university’s employee compensation package and includes health insurance, leave, legal resources, retirement plans through the Virginia Retirement System, tuition assistance, and workers compensation. This function was last reviewed in 2019.</td>
<td>Operational – Human Resources</td>
</tr>
<tr>
<td>Planned Engagement</td>
<td>Overview</td>
<td>Risk Area</td>
</tr>
<tr>
<td>------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>-----------------------------------------------</td>
</tr>
<tr>
<td>Immigration Services</td>
<td>As a global land-grant university, the institution teaches and employs a diverse set of international faculty, staff, and students. To assist these individuals in navigating the complex regulatory immigration environment, the institution has established several offices to provide support and to ensure compliance requirements are being met. Various components of these efforts have previously been reviewed in 2018.</td>
<td>Compliance – Human Resources and Student Services</td>
</tr>
<tr>
<td>IT: Cloud Services</td>
<td>Cloud service provider risk encompasses concerns such as data security, compliance issues, service reliability, and vendor lock-in. The institution faces challenges related to data protection, downtime, and dependency on a single provider. To mitigate these risks, the institution conducts risk assessments and security reviews. This engagement will assess these practices and evaluate controls for ongoing oversight. This was last reviewed in 2013.</td>
<td>Operational – Information Technology</td>
</tr>
<tr>
<td>IT: Network Infrastructure and Services</td>
<td>Network Infrastructure and Services (NIBS) provides and manages the university’s data, voice, and video networks and related services. A component of NIBS, network security, was last reviewed in 2017.</td>
<td>Operational – Information Technology</td>
</tr>
<tr>
<td>IT: Security Operations Center</td>
<td>The institution recently engaged with OmniSOC, a shared security operation center (SOC) that specializes in higher education and research institutions. OmniSOC delivers critical security alerts through ongoing monitoring 24/7. As a new risk mitigation and control strategy, it has never been reviewed.</td>
<td>Operational – Information Technology</td>
</tr>
<tr>
<td>National Security Institute</td>
<td>The National Security Institute (NSI), founded in September 2021, is aspiring to become the nation’s preeminent academic organization at the center of research, technology, policy, and talent development to advance national security. As one of the university’s thematic institutes, NSI will further the interdisciplinary faculty with unique research infrastructure to answer practical national security issues. This institute has never been reviewed.</td>
<td>Operational – Research</td>
</tr>
<tr>
<td>Programs for Minors</td>
<td>Educational programming and activities involving minors are integral to the institution’s engagement mission. The university recognizes that ensuring the safety and well-being of minors on campus is imperative. Formed in 2020, the Office of Youth Protection, within the College of Agriculture and Life Sciences, is responsible for the oversight and operating standards for programs involving minors on campus. These processes were last reviewed in 2019.</td>
<td>Compliance – Safety and Security</td>
</tr>
<tr>
<td>Recreational Sports</td>
<td>Recreational Sports provides opportunities for students, faculty, and staff to engage in physical activities to create healthy lifestyle habits. A department within the Division of Student Affairs, Recreational Sports deploys many strategies and manages multiple facilities to meet its goals. This department was last reviewed in 2017.</td>
<td>Operational – Student Services</td>
</tr>
<tr>
<td>Research: Cost Sharing</td>
<td>Cost sharing is the portion of a project or program cost that is not reimbursed by the sponsor. In a proposal or an award, cost sharing represents a commitment by the university. Cost sharing can be both mandatory, in which the sponsor requires the sharing as a condition of the award, or voluntary, wherein it is not required by the sponsor but the university offers cost sharing to be more competitive. Compliance with federal cost accounting standards requires that cost sharing expenses be treated in a consistent and uniform manner. The last cost sharing review was in 2015.</td>
<td>Compliance – Research</td>
</tr>
</tbody>
</table>
Planned Engagement | Overview | Risk Area
--- | --- | ---
School of Plant and Environmental Sciences | The School of Plant and Environmental Sciences, within the College of Agriculture and Life Sciences, seeks to train the next generation of professionals in the fields of plant breeding and genetics, agronomic and horticulture crop production, plant protection, soil and water systems management, agricultural technologies, environmental restoration, and agro-environmental stewardship. The school had an advisory review in 2019. | Operational – Academic
Subrecipient Monitoring | Federal regulations require prime recipients to monitor subawards and to assure subrecipients meet their obligations and are in compliance with federal requirements. The Office of Sponsored Programs has established policies and procedures that outline responsibilities and actions that must occur in the subrecipient processes. These controls were last reviewed in 2019. | Compliance – Research
Undergraduate Admissions | Undergraduate Admissions seeks to attract, recruit, and enroll a highly qualified, talented, and diverse student body. In addition to hosting thousands of prospective students each year, undergraduate admissions reviews over 45,000 applications through partnerships across the campus community. This department was last reviewed in 2020. | Compliance – Enrollment Services
University Building Official | The University Building Official, an office within the Division of Campus Planning, Infrastructure, and Facilities, has primary responsibility for the proper management for, and enforcement of, the Virginia Uniform Statewide Building Code to ensure that construction projects conducted on university property are completed in compliance with code, related laws, and regulations. The office serves as the primary liaison with outside regulatory agencies. This department was last reviewed in 2019. | Operational – Facilities and Operations
VT India | The institution has had a presence in South Asia countries since 2009, with research ties going back further. In 2023, the institution inaugurated a new satellite office in the IIT Madras Research Park in Chennai. The university maintains several collaborative partnerships across India. These activities have never been reviewed. | Operational – Off-Campus Locations

* Entity receives an annual audit on different components of their operation.

**University Policy Compliance Reviews**

OARC will continue its program of limited scope reviews of senior management areas. These reviews evaluate major aspects of a department’s administrative processes using internal control questionnaires and limited testing that provides broad audit coverage ensuring compliance with university policies on campus.

<table>
<thead>
<tr>
<th>Planned Engagement</th>
<th>Risk Area</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agricultural Research and Extension Centers: Hampton Roads, Middleburg, Reynolds, Southwest Virginia, Tidewater</td>
<td>Operational</td>
</tr>
<tr>
<td>College of Liberal Arts and Human Sciences</td>
<td>Operational</td>
</tr>
<tr>
<td>College of Natural Resources and Environment</td>
<td>Operational</td>
</tr>
<tr>
<td>Vice President and Dean for Graduate Education</td>
<td>Operational</td>
</tr>
<tr>
<td>Vice President for Information Technology</td>
<td>Operational</td>
</tr>
</tbody>
</table>
Management Advisory Services

<table>
<thead>
<tr>
<th>Planned Engagement</th>
<th>Overview</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Central Funds</td>
<td>The university maintains a series of centrally managed funds for a variety of purposes. This project will review the controls utilized to ensure appropriate oversight and use of these funds.</td>
<td>Operational – Financial Management</td>
</tr>
<tr>
<td>CMMC Readiness</td>
<td>The Department of Defense is nearing the end of a lengthy rule-making process called the Cybersecurity Maturity Model Certification (CMMC). Once implemented, the goal is to reinforce cybersecurity safeguards across sensitive unclassified information. While the exact regulatory timeline is unknown, this project will review the steps taken by the institution to prepare for this regulation.</td>
<td>Compliance – Information Technology</td>
</tr>
<tr>
<td>Corps of Cadets Armory</td>
<td>This review will ensure critical controls are included as the Corps of Cadets establishes its first armory.</td>
<td>Compliance – Safety and Security</td>
</tr>
<tr>
<td>Data Analytics: Research Compliance Dashboard</td>
<td>Over the past several years, Internal Audit has increased the depth and breadth of its research data analytics capabilities. This project seeks to formalize these efforts into routine processes and dashboards to provide a more robust and routine look at common research compliance risks.</td>
<td>Compliance – Research</td>
</tr>
<tr>
<td>Research Accounting Processes – HERD</td>
<td>The National Science Foundation’s Higher Education Research and Development (HERD) survey is the primary source of information on research and development expenditures at U.S. colleges and universities. The survey collects information on research expenditures by field of research and source of funds and gathers information on types of research, expenses, and headcounts of personnel. The survey is an annual census of institutions. At the university, the survey is a collaboration of processes that is spearheaded by the Controller’s Office. This review will look at processes and procedures used to compile and review the survey for accuracy.</td>
<td>Operational – Financial Management</td>
</tr>
<tr>
<td>Research: Post-Award Processes</td>
<td>The Office of Sponsored Programs has recently updated certain post-award processing efforts and has changed the way information flows across the department. This project seeks to assist management in understanding the flow of information and identify any potential effectiveness or efficiencies that can be gained within the updated processes.</td>
<td>Compliance – Research</td>
</tr>
</tbody>
</table>

Special Projects and Annual Audit Activities

<table>
<thead>
<tr>
<th>Activity</th>
<th>Overview</th>
</tr>
</thead>
<tbody>
<tr>
<td>Special Projects</td>
<td>Investigate fraud, waste, and abuse allegations.</td>
</tr>
<tr>
<td>Annual Audit Activities</td>
<td>Conduct follow-up audit procedures to ensure that management is implementing controls as described within their responses to audit report recommendations.</td>
</tr>
<tr>
<td>(Follow-up, Inventory)</td>
<td></td>
</tr>
<tr>
<td>External Audit Coordination</td>
<td>Manage and serve as the liaison for all external audit services, including contracted and regulatory-imposed audits.</td>
</tr>
</tbody>
</table>

AUDIT RESOURCES

The fiscal year 2024–25 audit plan is based on professional staffing of 12 full-time equivalents (FTEs). This plan includes a small adjustment to reflect historic trends of some turnover and extended family leave within the fiscal year. Staffing will continue to be augmented by the continuation of the student internship program in which two Virginia Tech students are employed.
Approximately 75 percent of OARC’s available resources are committed to the completion of planned audit projects, management advisory reviews, and investigations. The annual audit plan is designed to provide appropriate coverage utilizing a variety of audit methodologies, including audits of individual units, functional and process audits, university-wide reviews, and information system projects. OARC conducts follow-up audit procedures throughout the year to ensure that management is implementing controls as described within their responses to audit report recommendations.

Audit resources are allocated as follows:

- 55 percent of OARC’s available resources are committed to the completion of planned audit projects and follow-up audit procedures.
- 11 percent to accommodate requests from management and consultations with university departments.
- 7 percent to conduct investigations into fraud, waste, and abuse allegations.
- 12 percent for employee professional development, internal quality improvement projects, and other internal administrative functions.
- 15 percent for compensated absences such as annual, sick, and holiday leave.

**AUDIT PLAN MAPPED TO ERM**

As part of the ERM program, university leadership has identified key residual risks across six thematic areas. This year’s plan spans all six thematic areas and 11 of 23 risk areas. Specific risk areas include:

- Athletics
- Employee Recruitment & Retention
- Enrollment Management
- Facilities
- Global Engagement
- Health, Safety, & Security
- Legal & Regulatory
- Research Compliance
- Resource Diversification & Management
- Student Wellness & Experience
- Technology & Security
Proposed Audit Plan

FISCAL YEAR 2024-25
The annual risk assessment process informs and guides the audit plan development.

OARC conducts:
- Risk-based Assurance Engagements
- Policy Compliance Reviews
- Management Advisory Services
- Investigations
Risk Assessment Process

Designed as an ongoing and iterative process, the annual risk assessment takes into account many factors.
Core Audit Plan

The annual audit plan includes several critical areas to ensure a consistent focus on certain core university functions.

- Academic Units
- Auxiliary Enterprises and Athletics
- Campus Safety and Security
- Enrollment Services
- Facilities and Operations
- Financial Management
- Human Resources
- Information Technology
- Off-Campus Locations
- Research
- Student Services
Risk-based Audit Projects

The audit plan focuses on strategic, operational, financial, compliance, and IT risk areas. The audit plan will be reconfigured as needed when new topics requiring more immediate attention emerge.

- Athletics
- Bursar
- Data Analytics: Subscription Services
- Electrical and Computer Engineering
- Environmental Health & Safety
- Human Resources: Benefits
- Immigration Services
- IT: Cloud Services
- IT: Network Infrastructure and Services
- IT: Security Operations Center
- National Security Institute
- Programs for Minors
- Recreational Sports
- Research: Cost Sharing
- School of Plant and Environmental Sciences
- Subrecipient Monitoring
- Undergraduate Admissions
- University Building Official
- VT India
Policy Compliance Reviews

These surveys review major aspects of a senior management area’s administrative processes using internal control questionnaires and limited testing to provide broad coverage regarding compliance with certain policies.

- Agricultural Research and Extension Centers (limited)
- College of Liberal Arts and Human Sciences
- College of Natural Resources and Environment
- Vice President and Dean for Graduate Education
- Vice President for Information Technology
Management Advisory Services

The nature and scope of management advisory service activities, developed through agreement with the client, add value and improve the university’s governance, risk management, and control processes without the internal auditor assuming management responsibility.

- Central Funds
- Cybersecurity Maturity Model Certification (CMMC) Readiness
- Corps of Cadets Armory
- Data Analytics: Research Compliance Dashboard
- Research Accounting Processes – HERD (ongoing)
- Research: Post-Award Processes
Audit Resources

- 12 FTEs – professional audit staff
- 1 part-time student

Resource Allocations
- 55% - completion of audit projects and follow up
- 11% - accommodate management requests
- 7% - conduct investigations
- 12% - professional development and administration
- 15% - compensated absences (annual, sick, holiday)
Enterprise Risk Landscape
June 2024

Leadership and Governance

Academic
- Access & Affordability
- Enrollment Management
- Student Success

Research
- Competitive Growth
- Research Compliance
- Research Security
- Integrity & Conflicts of Interest

Outreach
- Athletics
- Global Engagement
- Advancement
- Partners

People & Culture
- Employee Recruitment & Retention
- Health, Safety & Security
- Student Wellness & Experience
- Inclusion & Diversity

External Environment
- Geo- & Socio-Political Environment
- Legal & Regulatory
- Federal & State Funds
- Higher Education Value Proposition

Enabling Infrastructure
- Resource Diversification & Management
- Technology & Security
- Facilities
- Capacity & Capability

Maroon border = Top 10 Risk
Questions?
OVERVIEW

Virginia Tech is committed to integrity, a culture of compliance, and the promotion of the highest ethical standards for all employees. President Sands, with the support of the Compliance, Audit, and Risk Committee of the Board of Visitors, formed the Institutional Compliance Program (ICP) in 2017 to promote and support a working environment which reflects this commitment. The ICP was directed to act as a resource for Virginia Tech’s efforts regarding compliance, to help the institution proactively meet its compliance obligations, and to manage compliance risks.

The charge of the compliance function within the Office of Audit, Risk, and Compliance is to be a resource and serve as a catalyst for the achievement of university best practices in compliance-related subject matter areas. Pursuant to the current Charter for the Office of Audit, Risk, and Compliance, institutional compliance is to provide services including, but not limited to:

- Providing oversight of the institutional compliance program and the distributed processes that support compliance across the university by working with subject matter experts and compliance risk owners.
- Conducting periodic risk assessments to identify potential areas of compliance vulnerability and risk, and ensuring management ownership for monitoring and managing compliance risks.
- Advising institutional compliance risk owners and decentralized compliance risk management leadership.

The structuring of formalized, enterprise-wide compliance programs followed from the U.S. Federal Sentencing Guidelines for Organizations Chapter 8B2.1 and subsequent guidance issued by the U.S. Department of Justice (USDOJ). The USDOJ continues, through written guidance and public remarks, to clarify factors representative of an effective compliance program. In other words, an effective compliance program needs to include measures designed to prevent, detect, and correct instances of noncompliance.

RISK ASSESSMENT PROCESS

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<tr>
<td>Reputational</td>
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</table>

In connecting the ERM landscape to compliance, compliance risks encompass possible violations of laws, regulations, contract terms, professional standards, and policies, due to acts or failures to act of employees which are attributed to the university. Consequences of noncompliance can include financial, reputational, legal, damage or harm, loss of competitive advantage, and lost opportunity.

Areas of current priority compliance risks based on the ERM and compliance landscape (not ranked):

- Accounting & Tax
- Athletics
- Campus Safety
- Conflicts of Interest/Conflicts of Commitment
- Contracts & Procurement
- Enrollment Management (Admissions, Financial Aid, Registrar)
- Environmental, Health, & Occupational Safety
- Equity & Accessibility
- Human Resources (Employment, Benefits)
- IT Security
- Privacy
- Research

**OARC Institutional Compliance Program Planning**

Institutional compliance describes a programmatic approach to an organization’s activities that help ensure significant compliance risks are identified, addressed, and managed effectively. The compliance work plan for fiscal year 2024-25 correlates programmatic activities with the elements of an effective compliance program. In planning programmatic activities by element, the areas of priority for the ICP are visible as well as flexible should additions or adjustments be necessary.
## 8 Elements of an Effective Compliance Program

<table>
<thead>
<tr>
<th>Elements of Effective Compliance Plan</th>
<th>DOJ Guidance</th>
<th>Annual Institutional Compliance Program Work Plan</th>
</tr>
</thead>
<tbody>
<tr>
<td>High-level personnel exercising oversight</td>
<td>The organization’s governing authority shall be knowledgeable, and high-level personnel shall be responsible for the compliance and ethics program.</td>
<td>Propose annual institutional compliance program work plan to Vice President and Chief Risk Officer and Compliance, Audit, and Risk Committee of the Board of Visitors</td>
</tr>
<tr>
<td>Well publicized disciplinary guidelines</td>
<td>Coordinate with Vice President and Chief Risk Officer on joint risk and compliance status meetings on a regular basis with designated executive leaders</td>
<td>Coordinate regular meetings and content for high priority compliance owners and distributed compliance owners</td>
</tr>
<tr>
<td>Written policies and procedures</td>
<td></td>
<td>Present annual report of the ICP to Compliance, Audit, and Risk Committee of the Board of Visitors</td>
</tr>
<tr>
<td>Training and Education</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lines of Communication</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Internal compliance monitoring &amp; auditing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Response to detected offenses</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Perform periodic compliance risk assessments</td>
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</tr>
</tbody>
</table>

Department of Justice Federal Sentencing Guidelines for Organizations (1992; amendments in 2004 and 2010)
<table>
<thead>
<tr>
<th>ELEMENTS OF EFFECTIVE COMPLIANCE PLAN</th>
<th>DOJ GUIDANCE</th>
<th>ANNUAL INSTITUTIONAL COMPLIANCE PROGRAM WORK PLAN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Written policies and procedures</td>
<td><em>The organization shall establish standards and procedures to prevent and detect criminal conduct.</em></td>
<td>Actively participate on the Policy Advisory Committee to support the consideration of ethics and compliance perspectives in the discussion and to allow for proactive support of policy operationalization.</td>
</tr>
<tr>
<td>• Policies and procedures</td>
<td></td>
<td>Support compliance partners and activities in priority areas such as laboratory animal research, environmental, health &amp; safety, research security, and Title IX; lead evaluation of university-wide approach to personal data privacy and development of privacy program focused on protecting personal information and the rights of individuals.</td>
</tr>
<tr>
<td>• Standards of Conduct</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Awareness and availability</td>
<td></td>
<td></td>
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<tr>
<td>Training and education</td>
<td><em>The organization shall take reasonable steps to conduct effective training programs and disseminate information.</em></td>
<td>Review and expand ethics and compliance content on OARC website</td>
</tr>
<tr>
<td>• Communicate standards and expectations</td>
<td></td>
<td>Develop and deliver ethics and compliance education through various means and mediums centered around Virginia Tech values.</td>
</tr>
<tr>
<td>• Training</td>
<td></td>
<td>Design Ethics and Compliance Week (November 2024) campaign components</td>
</tr>
<tr>
<td>• Education resources</td>
<td></td>
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<tr>
<td>Lines of communication</td>
<td><em>The organization shall take reasonable steps to ensure compliance and ethics program is followed, evaluate the effectiveness, allow for reporting anonymously or confidentially.</em></td>
<td>Continue to raise awareness of Hokie Hotline as a resource for reporting fraud, waste, abuse, or compliance concerns.</td>
</tr>
<tr>
<td>• Accessible</td>
<td></td>
<td>Promote availability of OARC for discussion of ethics, integrity, and compliance related questions and concerns.</td>
</tr>
<tr>
<td>• Anonymous reporting</td>
<td></td>
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<tr>
<td>• Engagement and dialogue</td>
<td></td>
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<tr>
<td>ELEMENTS OF EFFECTIVE COMPLIANCE PLAN</td>
<td>DOJ GUIDANCE</td>
<td>ANNUAL INSTITUTIONAL COMPLIANCE PROGRAM WORK PLAN</td>
</tr>
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<td>---------------------------------------</td>
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<td>--------------------------------------------------</td>
</tr>
<tr>
<td>Well publicized disciplinary guidelines</td>
<td>The organization’s compliance and ethics program shall be promoted and enforced consistently through appropriate incentives and disciplinary measures.</td>
<td>Promote accountability and consistent discipline</td>
</tr>
<tr>
<td>• Operational accountability</td>
<td></td>
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<tr>
<td>• Consistency in consequences</td>
<td></td>
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<tr>
<td>• Motivate compliance</td>
<td></td>
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<tr>
<td>Internal compliance monitoring</td>
<td>The organization shall use reasonable efforts to exercise due diligence.</td>
<td>Engage in regular discussions with high priority compliance risk partners, including to review and evaluate priority elements for effective compliance in the distributed compliance area</td>
</tr>
<tr>
<td>• Review risk areas</td>
<td></td>
<td>Provide consultation and support to compliance partners in areas with significant legislative or regulatory changes impacting compliance activities</td>
</tr>
<tr>
<td>• Monitor processes and remedies</td>
<td></td>
<td>Support policy compliance review activities including consultation and support for policy compliance review findings and corrective actions</td>
</tr>
<tr>
<td>• Follow up on identified weaknesses</td>
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<tr>
<td>Response to detected offenses</td>
<td>The organization shall take reasonable steps to respond appropriately to criminal conduct and to prevent similar conduct.</td>
<td>Serve as a resource for operational areas subject to regulatory inspections including with respect to findings and responses</td>
</tr>
<tr>
<td>• Timely investigations</td>
<td></td>
<td>Engage and consult on best practices for interfacing with regulators</td>
</tr>
<tr>
<td>• Timely response to regulators</td>
<td></td>
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<tr>
<td>• Appropriate remediation steps</td>
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</tbody>
</table>
**ELEMENTS OF EFFECTIVE COMPLIANCE PLAN** | DOJ GUIDANCE | ANNUAL INSTITUTIONAL COMPLIANCE PROGRAM WORK PLAN
---|---|---
Perform periodic compliance risk assessments  
- Continuous improvement | The organization shall periodically assess the risk of criminal conduct and take appropriate steps to design, implement, or modify requirements to reduce risk. | Conduct annual leadership compliance survey and evaluate responses against 2023 baseline  
Review results of 2024 Climate Survey conducted by Human Resources for data that intersects with compliance and integrity culture elements for insights and information including baseline and progression  
Engage with high priority compliance area partners to pilot self-assessment tool documenting compliance program effectiveness |

### Special Projects
Serve as a resource available to support compliance partners and campus leaders to consult and partner on specific projects, training, and/or evaluations.

### INSTITUTIONAL COMPLIANCE PROGRAM RESOURCES
At Virginia Tech, the foundational elements of an effective compliance program are in place and the current efforts are focused on highlighting and advancing a culture of ethics and compliance, strengthening and documenting actions tied to the seven elements in high priority compliance risk areas, and working toward programmatic efficiency.

Currently staffed with one position, the Chief Compliance Officer, the fiscal year 2024-25 institutional compliance program work plan is tailored to the resources available. Outside expertise has been engaged for evaluation of the university personal data privacy review and program development which will also inform a future approach to the university’s privacy compliance obligations. Should additional areas of responsibility be assigned to the Compliance function, additional resources and/or expertise may be needed to properly carry out such responsibilities.
Proposed Institutional Compliance Program Plan

FISCAL YEAR 2024-25
INSTITUTIONAL COMPLIANCE

A programmatic approach to an organization’s activities that help ensure significant compliance risks are identified, addressed, and managed effectively.
Areas of current priority compliance risks based on the ERM and compliance landscape (not ranked):

- Accounting & Tax
- Athletics
- Campus Safety
- Conflicts of Interest/Conflicts of Commitment
- Contracts & Procurement
- Enrollment Management (Admissions, Financial Aid, Registrar)
- Environmental, Health, & Occupational Safety
- Equity & Accessibility
- Human Resources (Employment, Benefits)
- IT Security
- Privacy
- Research
8 Elements of an Effective Compliance Program

- High-level personnel exercising oversight
- Written policies and procedures
- Training and Education
- Lines of Communication
- Well publicized disciplinary guidelines
- Internal compliance monitoring & auditing
- Response to detected offenses
- Perform periodic compliance risk assessments

Department of Justice Federal Sentencing Guidelines for Organizations (1992; amendments in 2004 and 2010)
<table>
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<tr>
<th>PREVENT</th>
<th>DETECT</th>
<th>CORRECT</th>
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<tr>
<td>Written Policies and Procedures</td>
<td>High-level Personnel Exercising Oversight</td>
<td>Response to Detected Offenses</td>
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<td>Well Publicized Disciplinary Guidelines</td>
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</tbody>
</table>
FY 2024-25 Institutional Compliance Program Plan

PREVENT

• Evaluate and advance university-wide personal data privacy program

DETECT

• Partner on policy compliance reviews and support outcomes

CORRECT

• Develop and pilot a practical framework for compliance partners to track activities designed to Prevent, Detect, and Correct
Questions?
The Chair of the Compliance, Audit, and Risk Committee will discuss agenda items for future meetings and adjourn the committee meeting.
Open Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE
Room 260, New Classroom Building
9:00 a.m.
June 11, 2023

Agenda Item                               Reporting Responsibility

1. Motion to Reconvene in Session          John Rocovich

2. Welcome and Opening Remarks            Dave Calhoun

3. Consent Agenda                          Dave Calhoun
   a. Approval of Items Discussed in Closed Session
   b. Approval of Minutes of the April 8, 2024 Meeting
   c. Auditor of Public Accounts Intercollegiate Athletics Program Report for Year Ended June 30, 2023
   * d. Approval of 2024-25 Hotel Roanoke Conference Center Commission Budget
   * e. Approval of Revisions to Policy 12005, Policy on Commemorative Tributes
   * f. Approval of Revision to the Resolution for Authority to Loan Funds to University-Related Corporation
   * g. Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies

4. Update from the Chief Operating Officer  Amy Sebring

# 5. Update on Advancement                 Charlie Phlegar

*#+ 6. Approval of 2024-25 University Operating and Capital Budgets  Tim Hodge
     Rob Mann

*  7. Approval of Resolution to Amend Delegation of Authority for Selected Personnel Actions  Amy Sebring

*  8. Approval of 2024-25 Faculty Compensation Plan                 Tim Hodge

*  9. Approval of 2024-25 Compensation for Graduate Assistants       Tim Hodge

*#+ 10. Approval of Graduate Candidacy Status Tuition Rate          Tim Hodge

*  11. Approval of Year-to-Date Financial Performance Report (July 1, 2023 – March 31, 2024)  Tim Hodge
     Rob Mann

12. Discussion of Future Agenda Topics and Closing Remarks          Dave Calhoun

* Requires full Board approval
# Discusses Enterprise Risk Management topic(s)
+ Discusses Strategic Investment Priorities topic(s)
Open Session

1. Motion to Reconcvene in Open Session

2. Welcome and Opening Remarks

3. Consent Agenda: The Committee will consider for approval and acceptance the items listed on the Consent Agenda.

   a. Approval of Items Discussed in Closed Session: The Committee will review and approve the items discussed in closed session.

   b. Approval of Minutes of the April 8, 2024 Meeting: The Committee will review and approve the minutes of the April 8, 2024 meeting.

   c. Auditor of Public Accounts Intercollegiate Athletics Program Report for Year Ended June 30, 2023: The Auditor of Public Accounts (APA) published its Intercollegiate Athletics Program review for fiscal year 2023. The APA performed certain agreed-upon procedures to evaluate whether the Schedule of Revenues and Expenses of the Intercollegiate Athletics Program for fiscal year ended June 30, 2023, is in compliance with the National Collegiate Athletic Association (NCAA) bylaws. The Schedules were found to be in material compliance.

   d. Approval of 2024-25 Hotel Roanoke Conference Center Commission Budget: The Hotel Roanoke Conference Center Commission was established by resolutions adopted by Virginia Tech and the City of Roanoke, under Commonwealth of Virginia enabling legislation. The enabling legislation provided that the Commission shall annually prepare and submit to both the City of Roanoke and Virginia Tech a proposed operating budget showing its estimated revenues and expenses for the forthcoming fiscal year. If the estimated expenses exceed the estimated revenues, the portion of the unfunded balance is to be borne equally by each participating party for the operation of the conference center.

   e. Approval of Revisions to Policy 12005, Policy on Commemorative Tributes: The proposed revisions to Policy 12005, Policy on Commemorative Tributes include removing the 12-month separation rule, which stipulates that buildings, physical facilities, or major academic units are not to be named for individuals employed by the
university during the year preceding the naming, from the policy; this proposed change eliminates the need to grant exceptions to this rule. Other adjustments to this policy include establishing tiers and standards for recognition signage for both corporate and individual donors and formalizing the coordination between the Division of Campus Planning, Infrastructure, and Facilities (CPIF) and University Advancement in reviewing and recommending individual and corporate donor recognition.

f. **Approval of Revision to the Resolution for Authority to Loan Funds to University-Related Corporation**: The university desires to increase advance working capital to a university-related Swiss Corporation, VT Swiss SA, to cover three months of operations expenditures at the center. This proposed revision authorizes the university to increase loan working capital to a maximum of $500,000.

g. **Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies**: This is the university’s annual notification to the Board of Visitors detailing the provisions of the Appropriation Act relating to indebtedness of state agencies, or unauthorized deficits.

4. **Update from the Chief Operating Officer**: Amy Sebring, Executive Vice President and Chief Operating Officer, will provide an update on the university’s Six-Year Plan submission to the state and the Virginia Tech Foundation’s plans for Hotel Roanoke Conference Center improvements. Amy will also introduce the university’s new Vice President for Finance and Chief Financial Officer, Simon Allen, and recognize Interim Vice President for Campus Planning, Instructure, and Facilities, Bob Broyden, upon his retirement.

# 5. **Update on Advancement**: Charlie Phlegar, Senior Vice President for Advancement, will provide a report on University Advancement’s work on volunteer boards and their fundraising efforts including current engagement numbers, giving totals, projections of future support through bequests, and communications and marketing efforts.

**#**+ 6. **Approval of 2024-25 University Operating and Capital Budgets**: The Committee will review for approval the proposed university operating and capital budgets for 2024-25.

The Operating Budget for the 2024-25 fiscal year has a recommended internal budget for all operations of $2.3 billion. This is an increase of $156.4 million, approximately 7.4 percent, over the adjusted budget for last year. The university’s total General Fund allocation is estimated to be approximately $450.7 million, an increase of $37.5 million over last year’s adjusted budget. General Fund revenues will provide $407.8 million in support for the instructional, research, and extension programs, $39.3 million for student financial assistance, and $3.6 million for the Unique Military Activities program. The increase in the General Fund will primarily be used to fund the salary increases included in the state budget.
The overall change in the budget includes an increase of $66.1 million attributable to the Educational and General programs and $22.4 million of projected growth in Auxiliary Enterprises. The Auxiliary Enterprise budget includes the budgets of four Auxiliary Systems; the Dormitory and Dining Hall System, the Electric Service Utility System, the University Services System, and, the Athletic Facilities System, in accordance with the resolutions authorizing and securing revenue bonds. The university’s Educational and General budget will be $1.2 billion and the Auxiliary Enterprise revenue budget is $480.4 million for fiscal year 2024-25. The projected annual budget for Sponsored Programs is $510.1 million, an increase of $73.6 million, or 16.9 percent higher than the adjusted budget for last year.

Understanding that strategic investments will not be realized solely through incremental new revenue, the university is planning for $25M of reinvestments over the next five years to support a portion of the multi-year initiative vision.

The Capital Budget capital outlay program for 2024-25 is comprised of 16 Educational and General projects and five Auxiliary Enterprise projects for a total of 21 projects. The total multi-year capital program for 2024-25 includes approximately $1.17 billion of authorizations with an annual expenditure budget of approximately $184 million for 2024-25.

7. **Approval of Resolution to Amend Delegation of Authority for Selected Personnel Actions:** The Committee will review for approval the Resolution to Amend Delegation of Authority for Selected Faculty Personnel Actions. This resolution proposes the amendment of the delegation of authority to delegate the implementation of Board-approved faculty compensation plans, to conform with the new Policy 4005, Exceptional Recruitment and Retention Incentive Options Policy, and to authorize the university to evaluate and adjust the threshold for salary actions based on merit or market changes.

8. **Approval of 2024-25 Faculty Compensation Plan:** The Committee will review for approval the 2024-25 Faculty Compensation Plan. Based on the university’s understanding of the state budget, a three percent faculty salary increase, effective on the July 1, 2024 paycheck, has been planned.

The university traditionally implements such state increases differentially on the basis of merit. In anticipation of this program, merit recommendations were developed during the spring of 2024, consistent with the proposed 2023-24 Faculty Compensation Plan. Implementation of this increase is subject to Board approval.

To maintain and improve upon the university’s standing relative to the 50th percentile of the Top 20 Land Grant peers, the higher levels of competing offers received by key faculty, and to minimize the high cost of turnover, the university will continue to explore opportunities to improve the competitiveness of Virginia Tech faculty compensation.
9. **Approval of 2024-25 Compensation for Graduate Assistants**: The Committee will review for approval the proposed 2024-25 schedule of stipends and support for the health insurance program for graduate students. The university proposes a three percent increase in the stipend scale and the establishment of a minimum stipend of $2,610 per month.

10. **Approval of Graduate Candidacy Status Tuition Rate**: The Committee will review for approval the proposed Graduate Candidacy Status tuition rate. In March 2021, the Board of Visitors approved a lower tuition rate for research and dissertation hours for doctoral students who have completed two years of course work, passed their preliminary exam, and are engaged in research and dissertation efforts. The reduced tuition rate for Candidacy Status is intended to incentivize time-to-degree for Ph.D. students, minimize the cost to research programs, and better position the university within the competitive market.

    To further advance these goals and support the Virginia Tech Global Distinction initiative, the university proposes increasing the Candidacy Status discount from 10 percent to 15 percent, effective Fall semester 2024.

11. **Approval of Year-to-Date Financial Performance Report (July 1, 2023 – March 31, 2024)**: The Committee will review for approval the Year-to-Date Financial Performance Report for July 1, 2023 to March 31, 2024. For the third quarter, budget adjustments were made to reflect revisions to projected revenues and expenditures. The report shows the actual revenues and expenses compared to the budgets and the overall status and expenditures of ongoing capital projects.

12. **Discussion of Future Agenda Topics and Closing Remarks**: The Committee will discuss possible topics for future meetings and other topics as needed.
WELCOME AND OPENING REMARKS

DAVE CALHOUN

FINANCE AND RESOURCE MANAGEMENT COMMITTEE
CONSENT AGENDA

a. Approval of Items Discussed in Closed Session
b. Approval of Minutes of the April 8, 2024 Meeting
c. Auditor of Public Accounts Intercollegiate Athletics Program Report for Year Ended June 30, 2023
d. Approval of 2024-25 Hotel Roanoke Conference Center Commission Budget
* e. Approval of Revisions to Policy 12005, Policy on Commemorative Tributes
* f. Approval of Revision to the Resolution for Authority to Loan Funds to University-Related Corporation
* g. Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies
Committee Minutes
FINANCE AND RESOURCE MANAGEMENT COMMITTEE
Torgersen Board Room
April 8, 2024

Open Session

Board members present: Janice Austin – Administrative and Professional Faculty Representative, Ed Baine, LaTawnya Burleson – Staff Representative, David Calhoun, Carrie Chenery, Sandy Davis, Nancy Dye, Greta Harris, Brad Hobbs, William Holtzman, Donald Horsley, Anna James, Tish Long, Joseph Merola – Faculty Representative, Chris Petersen, John Rocovich, William Storey – Undergraduate Representative, Emily Tirrell – Graduate and Professional Student Representative, Jeff Veatch

University personnel and guests: Beth Armstrong, Mac Babb, Callan Bartel, Lynsay Belshe, Eric Brooks, Brock Burroughs, Cyril Clarke, Al Cooper, Corey Earles, Jeff Earley, Juan Espinoza, Ron Fricker, Chelsea Haines, Brandon Hall, Kay Heidbreder, Clint Hill, Tim Hodge, Elizabeth Hooper, Anne Keeler, Frances Keene, Sharon Kurek, Lu Liu, Rob Mann, Elizabeth McClanahan, Nancy Meacham, Bryanna Meredith, Ken Miller, Justin Noble, Kim O’Rourke, Mark Owczarski, Charlie Phlegar, Sharon Pitt, Lori Rose, Lisa Royal, Tim Sands, Amy Sebring, Brennan Shepard, Mark Sikes, Aimée Surprenant, Rob Viers, Tracy Vosburgh, Mike Walsh, Melinda West, Lisa Wilkes, Payton Williams – Roanoke Times, Chris Wise, Chris Yianilos, and student guests

1. Motion to Reconvene in Open Session
2. Welcome and Opening Remarks
3. Consent Agenda: The Committee considered for approval and acceptance the items listed on the Consent Agenda.
   a. Approval of Items Discussed in Closed Session
   b. Approval of Minutes of the November 6, 2023 Meeting

The Committee approved the items on the Consent Agenda.

#+ 4. Update from the Chief Operating Officer: The Committee received an update from the Executive Vice President and Chief Operating Officer (EVP&COO). Amy

* Requires full Board approval
# Discusses Enterprise Risk Management topic(s)
+ Discusses Strategic Investment Priorities topic(s)
Sebring celebrated Ken Miller’s upcoming retirement at the end of this month, having dedicated almost 36 years of service to Virginia Tech. She also reviewed several current issues including the potential for leveraging artificial intelligence in university operations and the reinvestment exercise that campus has been working on throughout the year as part of a multi-year planning process to maximize the use of current resources. Finally, the EVP&COO updated the Committee on the status of two vice-president searches: Simon Allen will begin on May 6 as the university’s next Vice President for Finance and CFO, coming to us from a similar role at Cornell University. Final candidates for the Vice President of Campus Planning, Infrastructure, and Facilities search will be interviewing on campus later this month.

5. **Update on Advancement:** University Advancement provided a report on their fundraising efforts including the most recent numbers for New Gifts and Commitments and Cash. This update also provided an overview of fundraising growth, participation rate, and advisory board alignment.

6. **University’s Annual Financial Statements:** The Committee received an overview of the university’s annual financial statements for the fiscal year ending June 30, 2023.

The financial statements were prepared in accordance with generally accepted accounting principles, and the Auditor of Public Accounts issued an unmodified, or “clean” opinion with no material weaknesses or written comments.

At June 30, 2023, the university had a total net position of approximately $2.5 billion, an increase of 17.7 percent since fiscal year 2022. Total unrestricted net position increased to $288.1 million, a $127.5 million increase. A large portion of this was due to growth in the market value of investments. However, total unrestricted net position is still a small portion of the total net position.

7. **Intercollegiate Athletics Programs Report for Year Ended June 30, 2023:** Committee received a report on the Auditor of Public Accounts (APA) Intercollegiate Athletics Program review for fiscal year 2023.

The APA has not identified any matters requiring adjustments to the Schedule at the time of this report. In addition to the Schedule, the agreed-upon procedures address internal controls, affiliated and outside organizations, and separate procedures for specific revenues and expenses.

8. **Resolution for Approval of 2024-25 Tuition and Fee Rates:** The Committee reviewed for approval a resolution to approve the proposed 2024-25 tuition and fee
rates. The 2004 General Assembly authorized “Board of Visitors . . . of institutions of higher education may set tuition and fee charges at levels they deem to be appropriate for all resident student groups based on, but not limited to, competitive market rates...” The Committee received an overview of the unavoidable cost drivers of tuition and fee rates, including faculty and staff compensation, state-mandated healthcare rate increases, and student financial aid support. For 2024-25, the university proposed a 2.9 percent increase in tuition and mandatory educational and general (E&G) fee rates for in-state and out-of-state undergraduate and graduate students.

Additionally, this package proposed to increase the tuition and mandatory E&G fees for in-state and out-of-state, non-Maryland, Virginia/Maryland Veterinary Medicine and Virginia Tech Carilion School of Medicine students by 2.5 percent.

The university recommended an increase of $99 or 3.8 percent to total comprehensive fees for a total of $2,684 for in-state and out-of-state undergraduate and graduate students. An average 5.2 percent increase in room and board on the Blacksburg campus was recommended.

The Committee recommended the Resolution for Approval of 2024-25 Tuition and Fee Rates to the full Board for approval.

9. **Approval of Year-to-Date Financial Performance Report (July 1, 2023 – December 31, 2023):** The Committee reviewed for approval the Year-to-Date Financial Performance Report for July 1, 2023 to December 31, 2023. For the second quarter, budget adjustments were made to reflect revisions to projected revenues and expenditures. The report showed the actual revenues and expenses compared to the budgets and the overall status and expenditures of ongoing capital projects.

The Committee recommended the Year-to-Date Financial Performance Report to the full Board for approval.

10. **Discussion of Future Agenda Topics and Closing Remarks:** The Committee discussed possible topics for future meetings and other topics as needed.

There being no further business, the meeting adjourned at 5:24 p.m.
# Open Session Agenda

**FINANCE AND RESOURCE MANAGEMENT COMMITTEE**

**Torgersen Hall**

**3:30 p.m.**

**April 8, 2024**

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<td>Committee Member</td>
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<td>2. Welcome and Opening Remarks</td>
<td>Anna James</td>
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<td>3. Consent Agenda</td>
<td>Anna James</td>
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<td>b. Approval of Minutes of the November 6, 2023 Meeting</td>
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<tr>
<td>4. Update from the Chief Operating Officer</td>
<td>Amy Sebring</td>
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<td>5. Update on Advancement</td>
<td>Charlie Phlegar</td>
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<tr>
<td>6. University’s Annual Financial Statements</td>
<td>Ken Miller</td>
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<td>Melinda West</td>
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<tr>
<td>7. Intercollegiate Athletics Programs Report for Year Ended June 30, 2023</td>
<td>Ken Miller</td>
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<td>8. Resolution for Approval of 2024-25 Tuition and Fee Rates</td>
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<td>Anna James</td>
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* Requires full Board approval

# Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)
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INDEPENDENT ACCOUNTANT’S REPORT ON APPLYING AGREED-UPON PROCEDURES

STATEMENT

Statement of Revenues and Expenses of Intercollegiate Athletics Programs

Notes to the Statement of Revenues and Expenses of Intercollegiate Athletics Programs

Pages

1-7

8

9-12
INDEPENDENT ACCOUNTANT’S REPORT
ON APPLYING AGREED-UPON PROCEDURES

We have performed the procedures enumerated below on the Virginia Polytechnic Institute and State University’s Statement of Revenues and Expenses of Intercollegiate Athletics Programs (Statement) for the year ended June 30, 2023. University management is responsible for the Statement and its compliance with National Collegiate Athletic Association (NCAA) requirements.

University management has agreed to and acknowledged that the procedures performed are appropriate to meet the intended purpose of evaluating whether the Statement is in compliance with NCAA Constitution 20.2.4.17.1, for the year ended June 30, 2023. This report may not be suitable for any other purpose. The procedures performed may not address all the items of interest to a user of this report and may not meet the needs of all users of this report and, as such, users are responsible for determining whether the procedures performed are appropriate for their purposes.

Agreed-Upon Procedures Related to the Statement of Revenues and Expenses of Intercollegiate Athletics Programs

Procedures described below were limited to certain items. For the purpose of this report, and as defined in the agreed-upon procedures, revenue and expense reporting categories require detailed testing if they are greater than or equal to four percent of total revenues or total expenses, as applicable. Based on this defined threshold, we have not performed detailed testing on the following items:
Revenue Reporting Categories:

- Direct institutional support
- Indirect institutional support
- Guarantees
- In-kind
- NCAA distributions
- Conference distributions (non-media or bowl)
- Program, novelty, parking, and concession sales
- Royalties, licensing, advertisement and sponsorships
- Sports camp revenues
- Athletics-Restricted endowment and investment income
- Other operating revenue

Expense Reporting Categories:

- Guarantees
- Severance payments
- Recruiting
- Sports equipment, uniforms and supplies
- Fundraising, marketing and promotions
- Sport camp expenses
- Spirit groups
- Athletic facilities leases and rental fees
- Athletic facilities debt service
- Indirect institutional support
- Medical expenses and insurance
- Memberships and dues
- Student-Athlete meals

For purposes of performing these procedures, no exceptions were reported for differences of less than one-tenth of one percent (0.10%) of revenues and expenses, as applicable. We have not investigated any differences and/or reconciling items below the reporting threshold while performing these agreed-upon procedures. We did not perform any procedures over reporting items with zero balances, which have been excluded from the Statement herein. The procedures we performed and associated findings are as follows:

Internal Controls

1. We reviewed the relationship of internal control over intercollegiate athletics programs to internal control reviewed in connection with our audit of the University’s financial statements. In addition, we identified and reviewed those controls unique to the Intercollegiate Athletics Department, which were not reviewed in connection with our audit of the University’s financial statements.
2. Intercollegiate Athletics Department management provided a current organizational chart. We also made certain inquiries of management regarding control consciousness, the use of internal audit in the department, competence of personnel, protection of records and equipment, and controls regarding information systems with the Information Technology Department.

3. Intercollegiate Athletics Department management provided us with their process for gathering information on the nature and extent of affiliated and outside organizational activity for or on behalf of the University’s intercollegiate athletics programs. We tested these procedures as noted below.

**Affiliated and Outside Organizations**

4. Intercollegiate Athletics Department management identified all related affiliated and outside organizations and provided us with copies of audited financial statements for each such organization for the reporting period.

5. Intercollegiate Athletics Department management prepared and provided to us a summary of revenues and expenses for or on behalf of the University’s intercollegiate athletics programs by affiliated and outside organizations included in the Statement.

6. Intercollegiate Athletics Department management provided to us any additional reports regarding internal control matters identified during the audits of affiliated and outside organizations performed by independent public accountants. We were not made aware of any internal control findings.

**Statement of Revenues and Expenses of Intercollegiate Athletics Programs**

7. Intercollegiate Athletics Department management provided to us the Statement of Revenues and Expenses of Intercollegiate Athletics Programs for the year ended June 30, 2023, as prepared by the University and shown in this report. We recalculated the addition of the amounts in the Statement, traced the amounts on the Statement to management’s trial balance worksheets, and agreed the amounts in management’s trial balance worksheets to the Intercollegiate Athletics Department’s accounts in the accounting records. Certain adjustments to the Statement were necessary to conform to NCAA reporting guidance. We discussed the nature of adjusting journal entries with management and are satisfied that the adjustments are appropriate.

8. We compared each major revenue and expense account over ten percent of total revenues or total expenses, respectively, to prior period amounts and budget estimates. Variances exceeding ten percent of prior period amounts or budget estimates are explained below:
Fiscal Year 2023

<table>
<thead>
<tr>
<th>Line Item</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Media Rights</td>
<td>The increase of $4.18 million or 11.09 percent is attributable to an increase in Atlantic Coast Conference (ACC) media revenue funding.</td>
</tr>
<tr>
<td>Coaching salaries, benefits, and bonuses paid by the University and related entities</td>
<td>An increase of $2.6 million or 12.26 percent is due to several contract negotiations that increased certain coaches’ salaries for program success, other contractual increases and market adjustments, and a five percent statewide increase effective for non-contractual assistant coaches.</td>
</tr>
<tr>
<td>Support Staff/Administrative salaries, benefits, and bonuses paid by the University and related entities</td>
<td>An increase of $2.0 million or 10.86 percent is due to a five percent statewide increase and coaching contractual increases that included increased salary pools for support staff.</td>
</tr>
</tbody>
</table>

**Revenues**

9. We reviewed two monthly ticket sales reconciliations performed for accuracy and proper review and approval. We performed a recalculation of ticket sales revenue for football and men’s basketball by comparing the number of tickets sold, attendance, and sale price from the third-party ticketing system to total revenue recorded in the Statement. We determined the reconciliations reviewed to be accurate and properly approved. Revenue in the Statement was higher by $3.1 million for football and $1.2 million for basketball due to secondary ticket sales, handling and processing fees, and other adjusting entries.

10. We obtained documentation of the University’s methodology for allocating student fees to intercollegiate athletics programs. We compared student fees reported in the Statement to amounts reported in the accounting records and an expected amount based on fee rates and enrollment. We found a difference of $1.1 million which we attribute to the methodology used to estimate student fee revenue compared to actual distributions of student fees to the department.

11. Intercollegiate Athletics Department management provided us with a listing of all contributions of moneys, goods or services received directly by its intercollegiate athletics programs from any affiliated or outside organization, agency or group of individuals that constitutes ten percent or more of all contributions received during the reporting period. Except for contributions received from the Virginia Tech Foundation (VTF), an affiliated organization, we noted no individual contribution which constituted more than ten percent of total contributions received for intercollegiate athletics programs. We reviewed contributions from VTF, which exceeded ten percent of all contributions, and agreed them to supporting documentation. After adjusting contributions revenue in the Statement by $182,680, we determined contributions to be accurately reported in the Statement.
12. Intercollegiate Athletics Department management provided us with a listing and copies of all agreements related to media rights. We gained an understanding of the relevant terms of the agreements and agreed selected amounts to proper posting in the accounting records and supporting documentation with no reportable differences.

13. Intercollegiate Athletics Department management provided us with a listing and copies of all agreements related to participation in revenues from tournaments, conference distributions, and NCAA distributions. We inspected the terms of the agreements and agreed selected amounts to proper posting in the accounting records and supporting documentation with no reportable differences.

**Expenses**

14. Intercollegiate Athletics Department management provided us a listing of student aid recipients during the reporting period. Since the University did not use the NCAA Compliance Assistant software to prepare athletic aid detail, we selected 60 individual student athletes across all sports and obtained the students’ account detail from the University’s student information system. We agreed each student’s information to the information reported in the NCAA Membership Financial Reporting System. We identified two students with variances of $400 and 51 students with variances of $800 which are attributable to reporting estimated book fees and supplies for one or two terms, respectively. We also ensured that the total aid amount for each sport agreed to amounts reported as financial aid in the student accounting system and performed a check of selected students’ information as reported in the NCAA Membership Financial Reporting System to ensure proper calculation of revenue distribution equivalencies and noted no reportable differences.

15. Intercollegiate Athletics Department management provided us with a listing of coaches, support staff, and administrative personnel employed and paid by the University during the reporting period. We selected five coaches, including football and men’s and women’s basketball coaches, and five support and administrative personnel and compared amounts paid during the fiscal year from the payroll accounting system to their contract or other employment agreement document. We found that recorded expenses equaled amounts paid as salary and bonuses and were in agreement with approved contracts or other documentation with no reportable differences.

16. We obtained the Intercollegiate Athletics Department’s written recruiting and team travel policies from Intercollegiate Athletics Department management and documented an understanding of those policies. We compared these policies to existing University and NCAA policies and noted substantial agreement of those policies.

17. We selected a sample of five disbursements each for team travel, game expenses, direct overhead and administrative expenses, and other operating expenses. We compared and agreed the selected operating expenses to adequate supporting documentation. We found all reviewed amounts to be properly approved, reasonable to intercollegiate athletics, and properly recorded in the accounting records with no reportable differences.
18. We obtained a listing of debt service payments for athletics facilities for the reporting year. We selected a sample of three debt service payments included in the Statement, as well as the two highest payments, and agreed them to supporting documentation with no reportable differences.

19. We obtained an understanding of the University’s methodology for charging indirect cost to the athletic department. We evaluated indirect cost charges for reasonableness and noted proper reporting of these charges in the Statement with no reportable differences.

Other Reporting Items

20. We obtained repayment schedules for all outstanding intercollegiate athletics debt during the reporting period. We recalculated annual maturities reported in the notes to the Statement and agreed total annual maturities and total outstanding athletic-related debt to supporting documentation with no reportable differences.

21. We agreed total outstanding institutional debt to supporting debt schedules and the University’s audited financial statements with no reportable differences.

22. We agreed the fair value of athletics-dedicated endowments to supporting documentation provided by the University with no reportable differences.

23. We agreed the fair value of institutional endowments to supporting documentation and the audited financial statements of the University’s Foundation with no reportable differences.

24. We obtained a schedule of athletics-related capital expenditures made during the period. We selected a sample of five transactions to validate existence and accuracy of recording and recalculated totals with no reportable differences.

Additional Procedures

25. We compared the sports sponsored by the University, as reported in the NCAA Membership Financial Reporting System, to the Calculation of Revenue Distribution Equivalencies Report (CRDE) from the ARMS software for the University. We noted agreement of the sports reported.

26. We compared total current year grants-in-aid revenue distribution equivalencies to total prior year reported equivalencies per the NCAA Membership Financial Report submission and noted variations exceeding four percent when compared to prior year. The 7.14 percent decrease in grants-in-aid revenue distribution equivalencies was the result of reporting errors in the prior fiscal year that overstated football athletic aid equivalencies coupled with a current year decrease in exhausted eligibility and medical equivalencies for football and track and field and cross-country.

27. We obtained the University’s Sports Sponsorship and Demographics Forms Report for the reporting year. We validated that the countable sports identified by the institution met
the minimum requirements for number of contests and minimum number of participants as defined in NCAA Bylaw 20.10.6.3. We ensured that countable sports have been properly identified in the NCAA Membership Financial Reporting System for the purpose of revenue distribution calculations.

28. We compared the current number of sports sponsored to the prior year total reported in the University’s NCAA Membership Financial Report submission and noted no variations when compared to prior year.

29. We obtained a listing of student athletes receiving Pell grant awards from the University’s student information system and agreed the total value of these Pell grants to the amount reported in the NCAA Membership Financial Reporting System. We noted agreement of the amounts reported.

30. We compared the total number of Pell grant awards in the current year to the number reported in the prior year NCAA Membership Financial Report submission. We noted no variations greater than 20 grants when compared with the prior year.

We were engaged by University management to perform this agreed-upon procedures engagement and conducted our engagement in accordance with attestation standards established by the American Institute of Certified Public Accountants and the standards applicable to attestation engagements contained in Government Auditing Standards issued by the Comptroller General of the United States. We were not engaged to and did not conduct an audit, examination, or review engagement, the objective of which would be the expression of an opinion or conclusion, respectively, on the Statement of Revenues and Expenses of Intercollegiate Athletics Programs or any of the accounts or items referred to above. Accordingly, we do not express such an opinion or conclusion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

We are required to be independent of the University and to meet our other ethical responsibilities, in accordance with the relevant ethical requirements related to our agreed-upon procedures engagement.

This report is intended solely for the information and use of the University and its management and is not intended to be and should not be used by anyone other than these specified parties. However, this report is a matter of public record, and its distribution is not limited.

Staci A. Henshaw
AUDITOR OF PUBLIC ACCOUNTS

JMF/vks
### Fiscal Year 2023

#### Statement of Revenues and Expenses of Intercollegiate Athletics Programs

For the year ended June 30, 2023

<table>
<thead>
<tr>
<th>Category</th>
<th>Football</th>
<th>Men’s Basketball</th>
<th>Women’s Basketball</th>
<th>Men’s Other Sports</th>
<th>Women’s Other Sports</th>
<th>Non-Program Specific</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating revenues:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$ 18,594,777</td>
</tr>
<tr>
<td>Ticket sales</td>
<td>$ 15,031,058</td>
<td>$ 3,116,891</td>
<td>$ 323,009</td>
<td>$ 123,742</td>
<td>77</td>
<td></td>
<td>$ 18,594,777</td>
</tr>
<tr>
<td>Student fees</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Direct institutional support</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Indirect institutional support</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Guarantees</td>
<td>405,000</td>
<td>30,000</td>
<td>-</td>
<td>9,000</td>
<td>1,500</td>
<td>-</td>
<td>465,500</td>
</tr>
<tr>
<td>Contributions</td>
<td>8,363,411</td>
<td>353,053</td>
<td>486,831</td>
<td>1,625,263</td>
<td>647,401</td>
<td>15,851,775</td>
<td>27,327,734</td>
</tr>
<tr>
<td>Media rights</td>
<td>113,621</td>
<td>101,466</td>
<td>3,000</td>
<td>44,596</td>
<td>9,489</td>
<td>9,027</td>
<td>281,109</td>
</tr>
<tr>
<td>NCAA distributions</td>
<td>9,289,839</td>
<td>581,616</td>
<td>182,000</td>
<td>264,500</td>
<td>-</td>
<td>41,867,812</td>
<td>-</td>
</tr>
<tr>
<td>Conference distributions (non-media and non-football bowl)</td>
<td>167,054</td>
<td>183,847</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Program, novelty, parking, and concession sales</td>
<td>2,771,466</td>
<td>43,546</td>
<td>56,507</td>
<td>17,233</td>
<td>29,688</td>
<td>1,688,077</td>
<td>7,877,466</td>
</tr>
<tr>
<td>Royalties, licensing, advertisement and sponsorships</td>
<td>1,218,064</td>
<td>60,000</td>
<td>309,053</td>
<td>208,250</td>
<td>1,444,173</td>
<td>-</td>
<td>3,299,540</td>
</tr>
<tr>
<td>Sports camp revenues</td>
<td>101,648</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>101,648</td>
</tr>
<tr>
<td>Athletics-Restricted endowment and investment income</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Total operating revenues</td>
<td>68,986,170</td>
<td>15,174,463</td>
<td>1,498,002</td>
<td>2,352,815</td>
<td>3,850,247</td>
<td>37,660,382</td>
<td>129,522,079</td>
</tr>
</tbody>
</table>

#### Operating expenses:

<table>
<thead>
<tr>
<th>Category</th>
<th>Football</th>
<th>Men’s Basketball</th>
<th>Women’s Basketball</th>
<th>Men’s Other Sports</th>
<th>Women’s Other Sports</th>
<th>Non-Program Specific</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Athletic student aid</td>
<td>4,209,834</td>
<td>794,810</td>
<td>716,399</td>
<td>3,431,188</td>
<td>5,100,637</td>
<td>1,777,872</td>
<td>16,030,740</td>
</tr>
<tr>
<td>Guarantees</td>
<td>550,000</td>
<td>253,443</td>
<td>105,000</td>
<td>220,981</td>
<td>18,218</td>
<td>-</td>
<td>1,147,642</td>
</tr>
<tr>
<td>Coaching salaries, benefits, and bonuses paid by the university and related entities</td>
<td>11,310,966</td>
<td>3,771,676</td>
<td>1,634,453</td>
<td>3,950,721</td>
<td>3,464,617</td>
<td>-</td>
<td>24,132,433</td>
</tr>
<tr>
<td>Support staff/administrative compensation, benefits, and bonuses paid by the university and related entities</td>
<td>3,418,516</td>
<td>1,024,806</td>
<td>817,193</td>
<td>587,334</td>
<td>364,736</td>
<td>14,623,697</td>
<td>20,836,281</td>
</tr>
<tr>
<td>Tuition payments</td>
<td>256,452</td>
<td>-</td>
<td>14,565</td>
<td>7,956</td>
<td>77,548</td>
<td>-</td>
<td>462,531</td>
</tr>
<tr>
<td>Recruiting</td>
<td>1,355,264</td>
<td>363,775</td>
<td>127,318</td>
<td>273,590</td>
<td>253,975</td>
<td>-</td>
<td>2,403,922</td>
</tr>
<tr>
<td>Team travel</td>
<td>1,070,040</td>
<td>555,670</td>
<td>633,635</td>
<td>1,311,154</td>
<td>1,330,632</td>
<td>1,571,560</td>
<td>5,493,136</td>
</tr>
<tr>
<td>Sports equipment, uniforms, and supplies</td>
<td>786,892</td>
<td>79,185</td>
<td>89,634</td>
<td>827,546</td>
<td>721,772</td>
<td>51,125</td>
<td>2,558,153</td>
</tr>
<tr>
<td>Game expenses</td>
<td>2,318,917</td>
<td>745,318</td>
<td>654,816</td>
<td>471,223</td>
<td>327,454</td>
<td>-</td>
<td>5,156,764</td>
</tr>
<tr>
<td>Fundraising, marketing and promotion</td>
<td>254,664</td>
<td>78,061</td>
<td>33,267</td>
<td>67,076</td>
<td>52,656</td>
<td>1,516,040</td>
<td>2,001,764</td>
</tr>
<tr>
<td>Sport camp expenses</td>
<td>155,087</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>155,087</td>
</tr>
<tr>
<td>Spirit groups</td>
<td>-</td>
<td>12,156</td>
<td>44,348</td>
<td>12,500</td>
<td>12,500</td>
<td>-</td>
<td>269,967</td>
</tr>
<tr>
<td>Athletic facilities leases and rental fees</td>
<td>-</td>
<td>450</td>
<td>125,682</td>
<td>126,240</td>
<td>1,642,205</td>
<td>-</td>
<td>2,523,372</td>
</tr>
<tr>
<td>Athletic facilities debt service</td>
<td>-</td>
<td>-</td>
<td>589,640</td>
<td>580,649</td>
<td>2,934,798</td>
<td>-</td>
<td>4,114,086</td>
</tr>
<tr>
<td>Direct overhead and administrative expenses</td>
<td>1,267,779</td>
<td>1,171,326</td>
<td>135,404</td>
<td>1,525,436</td>
<td>323,184</td>
<td>5,175,138</td>
<td>9,598,267</td>
</tr>
<tr>
<td>Indirect cost paid to the institution by athletics</td>
<td>66,301</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>6,318,080</td>
<td>-</td>
<td>6,384,381</td>
</tr>
<tr>
<td>Indirect institutional support</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>1,548,987</td>
<td>-</td>
<td>1,548,987</td>
</tr>
<tr>
<td>Medical expenses and insurance</td>
<td>298,575</td>
<td>29,910</td>
<td>30,026</td>
<td>277,612</td>
<td>297,558</td>
<td>679,412</td>
<td>1,635,102</td>
</tr>
<tr>
<td>Memberships and dues</td>
<td>1,844</td>
<td>1,790</td>
<td>150</td>
<td>23,086</td>
<td>22,640</td>
<td>25,871</td>
<td>75,481</td>
</tr>
<tr>
<td>Student-Athlete meals (non-travel)</td>
<td>1,145,237</td>
<td>196,836</td>
<td>89,934</td>
<td>867,608</td>
<td>791,216</td>
<td>162,058</td>
<td>3,252,889</td>
</tr>
<tr>
<td>Other operating expenses</td>
<td>3,805,822</td>
<td>380,936</td>
<td>177,026</td>
<td>577,021</td>
<td>310,798</td>
<td>1,646,567</td>
<td>9,916,170</td>
</tr>
<tr>
<td>Total operating expenses</td>
<td>32,445,290</td>
<td>9,459,698</td>
<td>5,294,055</td>
<td>15,153,983</td>
<td>14,118,436</td>
<td>40,475,873</td>
<td>116,947,333</td>
</tr>
</tbody>
</table>

**Excess (deficiency) of revenues over (under) expenses**

$ 36,540,880 | $ 5,714,765 | ($ 3,796,053) | ($ 12,801,160) | ($ 10,268,189) | ($ 2,815,491) | $ 12,574,746

**Other Reporting Items:**

- Total athletics-related debt: $ 94,668,000
- Total institutional debt: $ 795,600,000
- Value of athletics-dedicated endowments: $ 72,843,420
- Value of institutional endowments: $ 1,792,103,974
- Total athletics-related capital expenditures: $ 5,254,000

The accompanying Notes to the Statement of Revenues and Expenses of Intercollegiate Athletics Programs are an integral part of this Statement.

Fiscal Year 2023
1. BASIS OF PRESENTATION

The accompanying Statement of Revenues and Expenses of Intercollegiate Athletic Programs has been prepared on the accrual basis of accounting. The purpose of the Statement is to present a summary of revenues and expenses of the intercollegiate athletic programs of the University for the year ended June 30, 2023. The Statement includes those intercollegiate athletics revenues and expenses made on behalf of the University’s athletics programs by outside organizations not under the accounting control of the University. Because the Statement presents only a selected portion of the activities of the University, it is not intended to and does not present either the financial position, changes in financial position, or cash flows for the year then ended. Revenues and expenses directly identifiable with each category of sport presented are reported accordingly. Revenues and expenses not directly identifiable to a specific sport are reported under the category "Non-Program Specific."

2. AFFILIATED ORGANIZATIONS

The University received $31,081,246 from the Virginia Tech Foundation, Inc. Approximately $16,030,740 of these funds were used for grant-in-aid scholarships for student athletes. These amounts received are included in the accompanying Statement as follows: $27,327,734 is included in the Contributions line item and $3,753,512 is included in the Athletics-Restricted Endowment and Investment Income line item.

3. LONG-TERM DEBT, LONG-TERM LEASES, AND SBITAs

Externally-funded debt

The University, on behalf of the intercollegiate athletics program, has obtained debt financing for capital improvement projects as needed. These debts consist of Section 9(d) revenue bonds issued by the University and will be repaid by the program using operating revenues and private fundraising proceeds. Outstanding principal as of June 30, 2023 (in dollars):
### Internally-funded debt

The University has internally loaned the intercollegiate athletics program funds for capital improvement projects as needed. These debts will be repaid by the program using operating revenues and private fundraising proceeds. Outstanding principal as of June 30, 2023 (in dollars):

<table>
<thead>
<tr>
<th>Project</th>
<th>Maturity</th>
<th>Principal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Athletic Performance Center</td>
<td>2029</td>
<td>$2,839,000</td>
</tr>
<tr>
<td>ACC Media Studio</td>
<td>2031</td>
<td>8,397,000</td>
</tr>
<tr>
<td>Creativity &amp; Innovation District</td>
<td>2041</td>
<td>19,358,000</td>
</tr>
<tr>
<td>Baseball Stadium and Rector Field House</td>
<td>2045</td>
<td>26,258,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td>$56,852,000</td>
</tr>
</tbody>
</table>

### Long-term lease payable

The University, on behalf of the intercollegiate athletics program, has entered into a long-term lease with the Town of Christiansburg for the use of the town's aquatic center ending in 2035. The lease will be paid by the program using operating revenues and private fundraising proceeds. As of June 30, 2023, the outstanding principal on this lease was $1,343,000.

### Subscription-based Information Technology Agreements (SBITAs)

The University, on behalf of the intercollegiate athletic program, has entered into multiple SBITAs to support the program's operations with various end dates. The SBITAs will be paid by the program using operating revenues and private fundraising proceeds. As of June 30, 2023, the outstanding principal for SBITAs was $968,000.

A summary of future principal and interest commitments for fiscal years subsequent to June 30, 2023, is presented as follows (in dollars):
4. UNIVERSITY ADMINISTRATION FEE

As with all auxiliary enterprises, the University charges the Athletic Department an administrative fee. During the fiscal year, the Athletic Department paid $6,384,381 to the University. This amount is included in the Indirect Cost Paid to the Institution by Athletics line item in the Football and Non-Program Specific categories.

5. CAPITAL ASSETS

Capital assets consisting of buildings, infrastructure, and equipment are stated at appraised historical cost or actual cost where determinable. Construction in progress (CIP) is capitalized at actual cost as expenses are incurred. All gifts of capital assets are recorded at acquisition value as of the donation date.

Intangible right-to-use assets consisting of the right-to-use buildings and Subscription-based Information Technology Arrangements (SBITAs) are stated at the net present value of future minimum lease payments at the commencement of the lease or subscription term. Intangible right-to-use assets are recognized when the net present value of future minimum lease or subscription payments is $50,000 or greater.

Equipment is capitalized when the unit acquisition cost is $2,000 or greater and the estimated useful life is one year or more. Software is capitalized when the acquisition and/or the development costs exceed $100,000. Renovation costs are capitalized when expenses total more than $100,000, the asset value significantly increases, or the useful life is significantly extended. Routine repairs and maintenance are charged to operating expense in the year the expense is incurred.

Depreciation is computed using the straight-line method over the useful life of the assets. The useful life is 40 to 60 years for buildings, ten to 50 years for infrastructure and land improvements, and three to 30 years for fixed and movable equipment. Right-to-use lease assets are amortized on a straight-line basis over the shorter of the lease term or the useful life of the underlying asset.

<table>
<thead>
<tr>
<th></th>
<th>Principal</th>
<th>Interest</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>2024</td>
<td>$5,363,000</td>
<td>$1,646,000</td>
<td>$7,009,000</td>
</tr>
<tr>
<td>2025</td>
<td>5,670,000</td>
<td>1,575,000</td>
<td>7,245,000</td>
</tr>
<tr>
<td>2026</td>
<td>5,443,000</td>
<td>1,493,000</td>
<td>6,936,000</td>
</tr>
<tr>
<td>2027</td>
<td>5,443,000</td>
<td>1,414,000</td>
<td>6,857,000</td>
</tr>
<tr>
<td>2028</td>
<td>5,616,000</td>
<td>1,340,000</td>
<td>6,956,000</td>
</tr>
<tr>
<td>2029-2033</td>
<td>22,158,000</td>
<td>5,346,000</td>
<td>27,504,000</td>
</tr>
<tr>
<td>2034-2038</td>
<td>20,613,000</td>
<td>3,431,000</td>
<td>24,044,000</td>
</tr>
<tr>
<td>2039-2043</td>
<td>19,936,000</td>
<td>1,388,000</td>
<td>21,324,000</td>
</tr>
<tr>
<td>2044-2045</td>
<td>4,426,000</td>
<td>94,000</td>
<td>4,520,000</td>
</tr>
<tr>
<td></td>
<td>$94,668,000</td>
<td>$17,727,000</td>
<td>$112,395,000</td>
</tr>
</tbody>
</table>
The beginning balance has been restated for the implementation of GASB Statement 96, *Subscription Based Information Technology Arrangements*. A summary of changes in capital assets follows for the year ending June 30, 2023 (all dollars in thousands):

<table>
<thead>
<tr>
<th>Depreciable capital assets</th>
<th>Beginning Balance (Restated)</th>
<th>Additions</th>
<th>Retirements</th>
<th>Ending Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buildings</td>
<td>$233,664</td>
<td>$3,970</td>
<td>$-</td>
<td>$237,634</td>
</tr>
<tr>
<td>Moveable equipment</td>
<td>15,978</td>
<td>702</td>
<td>533</td>
<td>16,147</td>
</tr>
<tr>
<td>Software</td>
<td>313</td>
<td>-</td>
<td>-</td>
<td>313</td>
</tr>
<tr>
<td>Fixed equipment</td>
<td>14,712</td>
<td>205</td>
<td>-</td>
<td>14,917</td>
</tr>
<tr>
<td>Infrastructure</td>
<td>22,896</td>
<td>187</td>
<td>-</td>
<td>23,080</td>
</tr>
<tr>
<td>Right to use leases – buildings</td>
<td>1,976</td>
<td>-</td>
<td>-</td>
<td>1,976</td>
</tr>
<tr>
<td>Right to use assets – SBITAs</td>
<td>1,248</td>
<td>299</td>
<td>110</td>
<td>1,437</td>
</tr>
<tr>
<td>Total depreciable capital assets, at cost</td>
<td>$290,787</td>
<td>5,360</td>
<td>643</td>
<td>$295,504</td>
</tr>
</tbody>
</table>

| Less accumulated depreciation | | | | |
| Buildings                    | 73,268                      | 5,221     | -           | 78,489         |
| Moveable equipment           | 8,941                       | 1,380     | 510         | 9,811          |
| Software                     | 304                         | 9         | -           | 313            |
| Fixed equipment              | 6,842                       | 670       | -           | 7,512          |
| Infrastructure               | 18,676                      | 648       | -           | 19,324         |
| Right to use leases – buildings | 279                     | 139       | -           | 418            |
| Right to use assets – SBITAs | 259                         | 343       | 110         | 492            |
| Total accumulated depreciation and amortization | 108,569 | 8,410 | 620 | 116,359 |
| Total depreciable capital assets, net of accumulated depreciation and amortization | 182,218 | (3,050) | 23 | 179,145 |

| Non-depreciable capital assets | | | | |
| Construction in progress      | 4,514                       | 3,830     | 3,936       | 4,408          |
| Total non-depreciable capital assets | 4,514 | 3,830 | 3,936 | 4,408 |
| Total capital assets, net of accumulated depreciation and amortization | $186,732 | $780 | $3,959 | $183,553 |
The Hotel Roanoke Conference Center Commission was established by resolutions adopted by Virginia Tech on November 18, 1991 and by the City Council of the City of Roanoke, Virginia on April 13, 1992, pursuant to Chapter 440 of the 1991 Acts of Assembly of the Commonwealth of Virginia, adopted March 20, 1991, and as amended in 1994 and 1997. Section 21 B of the enabling legislation provides that the Commission shall annually, prior to April 1 of each year, prepare and submit to the participating parties (City of Roanoke and Virginia Tech) (i) a proposed operating budget showing its estimated revenues and expenses on an accrual basis for the forthcoming fiscal year, and if such estimated expenses exceed such estimated revenues, the portion of the deficit proposed to be borne by each participating, and (ii) a proposed capital budget showing its estimated expenditures for such fiscal year for assets costing more than $20,000 (or such higher amount as the Commission and the participating parties may determine) and having an estimated useful life of twenty years or more and the source of funds for such expenditures, including any amount requested from the participating parties.

The Commission has adopted and approved the operating budget and planned capital expenditures for fiscal year 2024-25 as shown on the following pages. Virginia Tech and the City of Roanoke will make equal contributions of $80,000 to the Commission for fiscal year 2024-25.

**RECOMMENDATION:**

That the Hotel Roanoke Conference Center Commission budget and capital plan for FY2024-2025 be approved.

June 11, 2024
HOTEL ROANOKE CONFERENCE CENTER COMMISSION
OPERATING BUDGET
JULY 2024 - JUNE 2025

<table>
<thead>
<tr>
<th>Revenue from Participating Parties</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>City of Roanoke</td>
<td>$80,000</td>
</tr>
<tr>
<td>Virginia Tech</td>
<td>80,000</td>
</tr>
<tr>
<td><strong>Total Revenue from Participating Parties</strong></td>
<td><strong>$160,000</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Revenue from Operations</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Conference Service</td>
<td>$3,926,128</td>
</tr>
<tr>
<td>Garage and Parking</td>
<td>$660,291</td>
</tr>
<tr>
<td>Miscellaneous Income</td>
<td>$589,469</td>
</tr>
<tr>
<td><strong>Total Revenue from Operations</strong></td>
<td><strong>$5,175,888</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total Revenue</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>$5,335,888</strong></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Expenses – Commission Administrative</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries and Fringe Benefits</td>
<td>$77,471</td>
</tr>
<tr>
<td>Fees for Professional Services</td>
<td>$78,529</td>
</tr>
<tr>
<td>Administrative Supplies</td>
<td>$1,000</td>
</tr>
<tr>
<td>Training and Development</td>
<td>$2,500</td>
</tr>
<tr>
<td>Commission Operations – Bank Fees</td>
<td>$500</td>
</tr>
<tr>
<td><strong>Total Expenses – Commission</strong></td>
<td><strong>$160,000</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Expenses – Departmental</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Conference Services</td>
<td>$1,973,486</td>
</tr>
<tr>
<td>Garage &amp; Parking</td>
<td>$293,168</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$2,266,654</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Undistributed Operating Expenses</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrative &amp; General</td>
<td>$558,744</td>
</tr>
<tr>
<td>Information and Telecommunications Systems</td>
<td>$94,629</td>
</tr>
<tr>
<td>Sales &amp; Marketing</td>
<td>$916,150</td>
</tr>
<tr>
<td>Property Operations</td>
<td>$369,832</td>
</tr>
<tr>
<td>Utilities</td>
<td>$333,861</td>
</tr>
<tr>
<td><strong>Total Undistributed Expenses</strong></td>
<td><strong>$2,273,216</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total Expenses</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>$4,699,870</strong></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Gross Operating Profit</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Management Fees</td>
<td>$100,000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Non-Operating Income &amp; Expenses</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Rent</td>
<td>$132,027</td>
</tr>
<tr>
<td>Property and Other Taxes</td>
<td>$2,250</td>
</tr>
<tr>
<td>Other Income/Expenses</td>
<td>0</td>
</tr>
<tr>
<td>Insurance</td>
<td>$36,379</td>
</tr>
<tr>
<td>Other</td>
<td>$6,000</td>
</tr>
<tr>
<td><strong>Total Non-Operating Income and Expenses</strong></td>
<td><strong>$176,656</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Earnings Before Interest, Taxes, Depreciation</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>FF&amp;E Reserve</td>
<td>$258,794</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Net Income</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>$100,568</strong></td>
<td></td>
</tr>
</tbody>
</table>
## Hotel Roanoke Conference Center Capital Plan Budget
### FY2024-2025

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Design for public space restrooms</td>
<td>15,000</td>
</tr>
<tr>
<td>Designer Fees for Meeting Rooms Renovations/Upgrade (Includes: carpet/pad, wall vinyl, planner kits, whiteboard, painting, doors, hardware, artwork, drapery and possible technology adjustments.) – Last performed 12/13</td>
<td>25,000</td>
</tr>
<tr>
<td>Contingency for Emergency Repairs/Replacements</td>
<td>100,000</td>
</tr>
<tr>
<td>Acoustical Ceiling Replacement (Phase 1 of 2)</td>
<td>100,000</td>
</tr>
<tr>
<td>Laundry room lighting and ceiling (10/90) $25K shared</td>
<td>2,500</td>
</tr>
<tr>
<td>Upgrade CCTV Systems (67/33) $15K shared</td>
<td>4,950</td>
</tr>
<tr>
<td>Air Handler Units on Kitchen Roof – Phase 2 of 3 – (32/68) $58K shared</td>
<td>18,560</td>
</tr>
<tr>
<td>Parking lot lighting conversion to LED (50/50) $80K shared</td>
<td>40,000</td>
</tr>
<tr>
<td>R&amp;R Admin network switches (33/67) $35K shared</td>
<td>11,550</td>
</tr>
<tr>
<td>Lithonia lighting upgrade</td>
<td>550,000</td>
</tr>
<tr>
<td>Admin PC replacement (33/67) $20K shared</td>
<td>6,600</td>
</tr>
<tr>
<td>HotSOS device refresh (33/67) $7,500 shared</td>
<td>2,475</td>
</tr>
<tr>
<td>Heating boiler replacement – phase 2 of 3 (33/67) $75K shared</td>
<td>24,750</td>
</tr>
<tr>
<td>Security department key control platform and hardware (33/67) $25K shared</td>
<td>8,250</td>
</tr>
<tr>
<td>Replace large exterior doors</td>
<td>9,000</td>
</tr>
<tr>
<td>Replace Varimixer 5qt (32/68) $3,500 shared</td>
<td>1,120</td>
</tr>
<tr>
<td>Tilt skillet 40gal Redesign space (32/68) $35K shared</td>
<td>11,200</td>
</tr>
<tr>
<td>Dough sheeter – large scale for banquets (32/68) $5,000 shared</td>
<td>1,600</td>
</tr>
<tr>
<td>Automatic meat slicer (32/68) $5,000 shared</td>
<td>1,600</td>
</tr>
<tr>
<td>Replace CombiOven (32/68) $50K shared</td>
<td>16,000</td>
</tr>
<tr>
<td>Convection oven (phase 1 of 4) (32/68) $40K shared</td>
<td>12,800</td>
</tr>
<tr>
<td>Shure ULX-D quad receiver &amp; mics</td>
<td>6,000</td>
</tr>
<tr>
<td>Tenant walk behind floor scrubber (33/67) $12K shared</td>
<td>3,960</td>
</tr>
<tr>
<td>Ford Transit shuttle van (25/75) $82K shared</td>
<td>20,500</td>
</tr>
<tr>
<td>Vacuum for conference services</td>
<td>20,000</td>
</tr>
<tr>
<td>Gray ballroom drape – floor to ceiling</td>
<td>4,000</td>
</tr>
<tr>
<td>Replacemnt of 2 Christie DHD800 projectors (including rolling cases &amp; fly kits)</td>
<td>26,000</td>
</tr>
<tr>
<td>Replacement of 2 Christie LX 400 projectors (with fly kits)</td>
<td>8,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$1,051,415</strong></td>
</tr>
</tbody>
</table>
RESOLUTION TO REVISE UNIVERSITY POLICY #12005
ON COMMEMORATIVE TRIBUTES

WHEREAS, the Board of Visitors of Virginia Polytechnic and State University is responsible for the commemorative naming of all buildings, portions of buildings, streets, major academic components of the university, and other physical facilities; and for authorizing the erection or hanging of plaques, portraits, or other permanent memorials honoring individuals or organizations on the campus or outlying properties of the university; and

WHEREAS, on May 16, 1969, the Board of Visitors adopted a Policy on Commemorative Tributes and appointed a Commemorative Tributes Committee to make recommendations to the President of the university and to the Board of Visitors regarding the conferring of commemorative tributes; and

WHEREAS, this policy has been revised periodically over the ensuing years as the university’s advancement program has matured and a need for further refinements has emerged; and

WHEREAS, the prior revision to this policy, approved on June 8, 2021, added guidelines for changing or removing names in tribute to individuals, thus reducing the potential risk associated with commemorative namings and making it possible now to remove the stipulation in the policy that buildings, physical facilities, and major academic units not be named for individuals employed by the university during the 12 months preceding the naming, although the Commemorative Tributes Committee will continue to give such proposals judicious consideration; and

WHEREAS, this revision formalizes the role of the Division of Campus Planning, Infrastructure, and Facilities (CPIF) in reviewing/recommending individual and corporate donor recognition signage and specifies gift ranges and associated specifications for corporate donor recognition signage;

NOW, THEREFORE, BE IT RESOLVED, that in consideration of the importance of the Policy on Commemorative Tributes to the university and to advancement opportunities, the Board of Visitors adopts the revised policy (Revision 10), effective immediately.

RECOMMENDATION:
That the above resolution adopting Revision 10 of the Policy on Commemorative Tributes be approved, effective immediately.

June 11, 2024
Policy on Commemorative Tributes

1.0 Purpose
The following policy and procedures apply to the commemorative naming of physical spaces and/or other entities the University Commemorative Tributes Committee will take under consideration, such as buildings, portions of buildings, streets or other physical facilities, land spaces, and to the erection and plan for donor recognition walls or hanging of plaques, portraits or other permanent memorials honoring individuals or organizations on the campus or outlying properties of the university, as well as specific academic units, such as departments, schools, colleges, institutes, or centers that may be named in honor of individuals.

2.0 Policy
The university will approve commemorative namings of buildings, physical facilities, specific academic components, external areas and land spaces such as gardens, lawns and plazas, and the erection of plaques, signs, and portraits as a commemorative tribute in appropriate instances where the university has significantly benefited from the relationship with the person or organization and such naming brings no adverse reflection on the university. The process for securing a naming opportunity is as follows:

1. The University Commemorative Tributes Committee is responsible for reviewing proposals for the naming, renaming, or removal of names of buildings, other physical facilities, centers, institutes, etc., and for making recommendations to the president.

2. After review, the president will submit his/her selected proposals for commemorative tributes to the Board of Visitors.

3. The Board of Visitors will act on those proposals recommended by the president. Final approval rests with the Board of Visitors. In rare situations in which there is an exceptional time sensitivity, the Board delegates to the President, after consultation with the Rector, the authority to approve a naming proposal, contingent upon ratification by the full Board of Visitors at its next meeting.

4. The Board of Visitors authorizes the President, upon the recommendation of the Commemorative Tributes Committee, to approve the erection of plaques, permanent signs and other memorials (such as bricks and benches), and the commissioning and hanging of portraits related to the naming.

5. This policy applies only to the naming of facilities and physical spaces in honor of persons or organizations and does not apply to the identification of rooms or facilities with numbers, letters, colors, or generic terms.
2.1 Commemorative Tributes Committee

The Commemorative Tributes Committee will consist of the following:

1. Senior Vice President for Advancement, Chair
2. Executive Vice President and Provost
3. Executive Vice President and Chief Business Operating Officer
4. Vice President for Student Affairs
5. Vice President for Finance and Chief Financial Officer
6. Vice President for Strategic Affairs and Diversity*
7. President of the Faculty Senate (or designee)
8. President of the Undergraduate Student Senate (or designee)
9. Chief Executive Officer of the Virginia Tech Foundation, Inc.

(As the university’s organizational structure evolves, the President is authorized by the Board of Visitors to adjust the titles of the committee’s membership to reflect those organizational changes.)

* In the event that the role of Vice President for Strategic Affairs and Diversity is no longer held by one person and divided into two individual holders of the aforementioned positions, then the committee membership would be realigned to the senior administration role designated for the leadership of Inclusion and Diversity.

2.2 Policy for All Commemorative Tributes

1. Consideration should be given to the desirability of an appropriate relationship between the use of the physical facility and the person or organization for which the facility is named.

2. In reviewing proposals for names of buildings or other facilities, it is appropriate for the members of the Commemorative Tributes Committee to contact appropriate members of the university community to obtain and/or validate information.

3. Any building or other facility bearing the name of a person or organization should be clearly identifiable, distinctive, significant, enduring, and functional and should reflect honor on the person or organization for which it is named. Portions of buildings or rooms within buildings generally should meet these same criteria. In addition, names assigned to portions of buildings or rooms should be helpful to users in identification of the facilities.

4. External spaces, such as gardens, plazas, and lawns will go through the same review process as physical spaces.
   a. The steps to officially name a land space adjacent to an existing building in honor of an individual will require the same process as physical space namings. Further, a land-adjacent space will not assume the naming convention of the building physically situated next to the land.

5. This policy applies only to the naming of facilities and spaces in honor of persons or organizations and does not apply to the identification of rooms or facilities with numbers, letters, colors, or generic terms.

6. Buildings, physical facilities or major academic units are not named for individuals who have been employed by the university during the year preceding the naming. Exceptions may be granted in extraordinary cases.

Commented [HA1]: Striking this language to remove the 12-month separation rule and eliminate the need for exceptions.
a. In cases where the individual being honored may still be employed by the university but has been separated from the role for which his/her contributions have been most substantial for at least one year, the individual would qualify for an honorific naming.

6. Named structures and spaces will exist as long as a building is standing, or unless a major renovation occurs that will result in changes to the space. Circumstances will be evaluated on a case-by-case basis in circumstances where structures or spaces are removed or changed.

7. All Donor Recognition Signage for academic, non-academic, and athletic spaces, inclusive of satellite campuses beyond the main Blacksburg campus, must be reviewed and/or recommended by the Division of Campus Planning, Infrastructure, and Facilities (CPIF) to insure compliance with University Signage Standards, informed by the level of gift and appropriateness for the named building or space.

b.2. Advancement and CPIF will partner, as appropriate, in the preparation of recommended donor recognition signage examples aligned with the level of gift, and include with proposal.

2.3 Policy for Names in Tribute of Corporate Entities

1. Corporate names are considered to be appropriate for naming of internal spaces and designated exterior locations (i.e., courtyards, gardens, athletic fields). Such naming opportunities must be stated in the proposal, as part of the negotiation, prior to consideration by the Commemorative Tributes Committee.

a. Advancement and CPIF will partner in the preparation of recommended corporate donor recognition signage examples aligned with the level of gift, and include with proposal.

b. Corporate donor signage recognition will be applied commensurate with level of gift:

i. $0-$99,999 – Standard Signage Guidelines apply
ii. $100,000 - $999,999 – Tier I Corporate Signage Guidelines apply
iii. $1,000,000 - $2,499,999 – Tier II Corporate Signage Guidelines apply
iv. $2,500,000 - $4,999,000 – Tier III Corporate Signage Guidelines apply
v. $5,000,000 and over – Tier IV Corporate Signage Guidelines apply

4.2i. In the case of gifts defined as exceptional above the $5M level, the Design and Construction Standards Manual (DCSM) design waiver procedure may be employed in consultation with Advancement, CPIF, and the beneficiary area for appropriate recognition.

2. Corporate names are not considered to be appropriate for the external identification of buildings.

3. Naming privileges are to be negotiated for a period of up to ten years.

4. The naming privilege may be granted at the receipt of the pledge commitment and its first payment.

5. Exceptions may be granted in extraordinary situations.

2.4 Policy for Building Names in Tribute to Individuals

The following guidelines should be observed in naming buildings or portions of buildings:

1. Entire buildings, building additions, or portions of buildings may be named in honor of an individual or individuals.
2. The naming of a building, part of a building, or other facility or property of the university is a high honor and would not be done casually. The honor is reserved for those who have made extraordinary contributions to the University through their achievements in service and/or in financial support to the university.

3. To merit recognition in the naming of a building or portion of a building, an individual's relationship to the university should be truly exceptional in both quality and impact and be of significant duration.

   a. Honorary naming of buildings, exclusive of philanthropic contributions, is generally reserved for university presidents.

4. When financial contributions are a factor, the level of contribution needed to name a building, addition to a building, or portion of a building (as may be the case in a major renovation project) will vary depending on the financing considerations, purpose, size, prominence on campus, and the level of private support needed for construction. Such gift commitments must be tangible, payable over a defined pledge term, and the donor must provide a legally binding commitment enforceable against his/her assets/estate until the pledge is retired.

5. Prior to initiating the formal naming process, at least 75% of the gift commitment for the established naming opportunity must be received by the Virginia Tech Foundation, Inc. for any new construction or major renovation. When the naming opportunity is for an existing space with no associated debt service, it is recommended that at least 50% of the specified gift commitment be received before the naming process commences. Exceptions may be granted in extraordinary situations.

   a. In cases of existing construction, outright gifts and/or irrevocable deferred gifts, e.g., life income plans, may be used. The amount credited toward the naming opportunity will be based on the present value of the charitable gift plan.

   b. In cases of new construction and when financial support is needed for construction, only outright gifts of readily marketable assets may be used.

   c. The required gift level for naming spaces within buildings, such as auditoriums, classrooms, laboratories, etc., will be established following the same principles as to naming of existing major facilities.

6. Building names should reflect honor on the university as well as on the person or persons being honored and are considered to be permanent. When extraordinary circumstances arise where the removal or changing of a building name or individual named space may be warranted, those circumstances will be reviewed on a case-by-case basis in accordance with University Policy 12005, Section 2.4a.

2.4a Guidelines for Changing or Removing Names in Tribute to Individuals

1. For cases in which a review of a named building or space is warranted, the Commemorative Tributes Committee will receive and consider proposals for removal or changing of a name from members of the university community, including councils, commissions, authorized boards, and individuals with a verified and appropriate relationship with the university. Proposals to be considered must include justification, research, and ample information from which an informed and appropriate recommendation can be made.

2. The extraordinary circumstances that would warrant a review and potential recommendation for the removal or change of a named building or space include but would not be limited to:

   a. The building no longer exists. In this case, it is recommended that a commemorative plaque honoring the individual for which the former structure was named be placed within any new structure erected on the site of the former structure.
b. The individual for which the building or space was named has been found to not represent the values of the university through the discovery of information that dishonors the university and/or the individual.

c. Failure of the donor to fulfill the philanthropic commitment required and relied upon for the specific naming opportunity in the official agreement in place at the time of the approved building or space naming.

d. Request of the individual/donor/associated family member to remove or change the building or space name if the purpose and use of the space no longer aligns with the stated intentions at the time the naming was confirmed.

3. Notification of name changes will be public and transparent, in consultation with the office of communications and marketing for an appropriate communications plan.

2.5 Plaques and Portraits, and Miscellaneous Items of Recognition

1. Donor walls, plaques, portraits, and miscellaneous items (bricks, benches, etc.) should be encouraged to commemorate truly outstanding contributions, either in service or financial support, of persons or organizations.

2. Such tributes should be located inside or outside buildings or facilities that have strong identification with the persons or organizations being honored.

3. The cost of such plaques, portraits, and miscellaneous recognition items generally should be borne by donors interested in the tributes.

4. All internal and external designs need to be reviewed and approved by the Office of University Planning in accordance with university signage standards and design guidelines to assure compliance with the university’s master plan.

2.6 Departments, Schools, Colleges, Institutes, Centers, or Other Academic Units

1. A major academic unit may be named in honor of an individual in recognition of service to the university and/or in recognition of financial contributions sufficient to provide physical facilities and equipment for its academic and/or research programs, or which would provide sufficient income to cover an appropriate portion of the annual operating costs of the unit, or both.

2. The name applied to an academic unit should be appropriate to its purpose, and should reflect honor on the university as well as upon the person for which it is named.

3. Because the life of a university center or institute is not expected to continue indefinitely, gift funding for an institute or a center may be accomplished by endowment or current gifts. If accomplished by a current gift, the name of the institute or center shall generally be limited to the term during which the expendable gift provides funding. The policies and procedures for naming the center or institute shall be the same as for naming other major academic units of the university.

3.0 Procedures

4.0 Definitions

5.0 References
Policy on Commemorative Tributes

6.0 Approval and Revisions

Approved by the Board of Visitors on May 16, 1969 – Policy for Commemorative Tributes.

- Revision 1 - To update policy into standard policy format for inclusion in the University policies. Approved May 2, 1980 by the Board of Visitors.

- Revision 2 - Section 2.1 updated to include title changes of existing members and add additional vice presidents to the committee. Approved October 15, 1992 by the President, Dr. James McComas. Approved February 27, 2001 by the Vice President for Development and University Relations, Elizabeth A. Flanagan.

Administrative updates approved on October 31, 2001 by the President, Dr. Charles Steger.


- Revision 4
  April 1, 2008. Updates to position titles and/or responsibilities due to university reorganization.

- Revision 5
  The current university organization, additional procedural considerations giving context and definition to specific naming and funding options, and clarification of naming eligibility necessitates a full policy revision. This major revision updates the committee composition, modifies the 12-month separation rule to factor in eligibility based on the vacated role, incorporates the permanency of namings and the need to individually evaluate spaces that may move or cease to exist, defines the minimum criteria of philanthropic commitments that must be received from corporations and individuals before namings can be formally applied, and specifies the requirement that all identifying signage must be created in consultation with the Office of University Planning.
  Approved June 6, 2016 by the Board of Visitors.

- Revision 6
  The position of Vice Provost for Inclusion and Diversity was added to the membership of the Commemorative Tributes Committee, Section 2.1.
  Approved September 11, 2017 by the Board of Visitors.
  Approved September 11, 2017 by the President, Dr. Timothy D. Sands

- Revision 7
The title of the position of Vice Provost for Inclusion and Diversity was updated to Vice President for Strategic Affairs and Vice Provost for Inclusion and Diversity (Section 2.1).
- The Senior Vice President for Administration and Operations was added to the Committee membership (Section 2.1).
- New guidance was added relating to the gift commitment when the naming opportunity is for existing space with no associated debt service (Section 2.4, paragraph 5).
- In rare circumstances in which there is an exceptional time sensitivity, authority was delegated to the President, after consultation with the Rector, to approve a naming proposal, contingent upon ratification by the full Board of Visitors at its next meeting (Section 2.0, paragraph 3).

Approved November 5, 2018, by the Board of Visitors.
Approved by the Vice President for Advancement, Charles Phlegar on November 5, 2018.

- Revision 8
  - Incorporated references to non-physical, external land spaces to include gardens, lawns and plazas (Sections 1.0, 2.0, and 2.2, paragraph 4).
  - Added language to reflect the function of the committee to review proposals to rename or remove names, in addition to approve naming proposals. (Section 2.0, paragraph 1).
  - Updated process for naming external, land-adjacent spaces to named buildings. (Section 2.2, paragraph 4a).
  - Expanded definition of qualification for namings of former or current employees in accordance with the 12-month separation rule. (2.2, paragraph 6a).
  - Clarified that honorary building namings are generally reserved for university presidents. (Section 2.4, paragraph 3a).
  - Added exception clause for circumstances in which names that are considered permanent may be changed or removed from a building or individual named space. (Section 2.4, paragraph 6a).
  - Added Section 2.4a with guidelines for removing names in tribute to individuals.

Approved June 8, 2021, by the Board of Visitors.
Approved by the Vice President for Advancement, Charles Phlegar on June 8, 2021.

- Revision 9
  - Updated administrative/departmental titles.

- Revision 10
  - The title of the position of Executive Vice President and Chief Business Officer was updated to Executive Vice President and Chief Operating Officer. The title of the position Vice President for Finance was updated to Vice President for Finance and Chief Financial Officer. (Section 2.1)
  - Updated policy to remove the 12-month separation rule for university employees. (Section 2.2)
  - Added guidance for academic and non-academic units to include CPIF in the recommendation and review of donor recognition signage. (Section 2.2.7)
  - Expanded Section 2.3 on names in tribute of corporate entities to add review and recommendation of CPIF in proposed donor recognition signage.
▪ Expanded Section 2.3 on names in tribute of Corporate entities to specify gift ranges and associated specifications for corporate donor signage recognition.
Background:

The Board of Visitors adopted a Resolution for Authority to Loan Funds to the New University-Related Corporation at its November 14, 2022 meeting granting authority at the President's discretion to negotiate and execute service agreements and promissory notes or loan agreements from the university to a university-related Swiss corporation, VT Swiss, SA, a subsidiary of VTIC. The university desired to advance working capital to VT Swiss SA, to manage facilities and operations at the Steger Center for International Scholarship (Center). The resolution authorized the university to provide advance working capital up to a maximum of USD 250,000 to VT Swiss SA, to provide initial capitalization of CHF 100,000 and continued authorization to provide working capital loan(s) of up to three months expenditures to finance operations at the Center.

The university frequently makes “internal loans” to operating units within the university to support start-up or operational costs related to the units or specific initiatives. The university has earlier provided such loans to outside related organizations.

Section 23-1.1010 of the Restructuring Act titled “Covered institutions; operational authority; creation of entities and participation in joint ventures” provides the Board of Visitors authority to approve loans or obligate university funds to or on behalf of its affiliated organizations or joint venture activities.

The basic conditions and requirements for the loan(s) included:

- the loan(s) will be made in accordance with established university procedures for authorizing internal loans to operating units;
- the loan(s) will not carry an interest rate;
- the loan(s) will be for initial capitalization requirements of the new entity and up to three months of planned operating expenses;
- the repayment on the university’s loan(s) will occur no later than at the conclusion of the Management Services Agreement for operation of the Center;
- the university departments requiring third party administration are responsible for repayment if at the end of the Management Services Agreement with the affiliated entity costs are disallowed or funds unrecoverable; and
- the loan(s) would be underwritten by the university’s research overhead funds, a nongeneral fund revenue source.
Due to increased operating budget costs of the Center, they have exceeded the three months of operating expenditures average of $250,000 (the current three month average operating expenditures is $390,000); therefore, the proposed resolution authorizes the university to increase the maximum cumulative advances up to $500,000 to VT Swiss SA, and allow an interest rate to be charged on the working capital loan at the discretion of the Vice President of Finance and Chief Financial Officer, in coordination with, the Vice President for Outreach and International Affairs.
RESOLUTION FOR AUTHORITY TO INCREASE LOAN TO UNIVERSITY-RELATED CORPORATION

WHEREAS, on November 14, 2022, the Board of Visitors granted authority at the President’s discretion to negotiate and execute service agreements and promissory notes or loan agreements from the university to a university-related Swiss corporation, VT Swiss, SA, a subsidiary of VTIC; and

WHEREAS, the university’s strategic plan envisions experiential learning opportunities such as study abroad; and

WHEREAS, the university operates the Steger Center for International Scholarship located in Riva San Vitale in Southern Switzerland as the university’s European center and base for study abroad programs and support of its research and scholarship symposia in the region and in Europe; and

WHEREAS, the university desires to increase advance working capital to a university-related Swiss Corporation, VT Swiss SA, to cover three months of operations expenditures at the Center; and

WHEREAS, on November 14, 2022, the Board of Visitors authorized the university to provide advance working capital up to a maximum of USD 250,000 to VT Swiss SA, to provide initial capitalization of CHF100,000 and continued authorization to provide working capital loan(s) of up to three months expenditures to finance operations at the Center; and

WHEREAS, under section 23-1.1010 of Restructured Higher Education Financial and Administrative Operations Act of the Code of Virginia the Board of Visitors has the authority to authorize such transactions,

NOW, THEREFORE BE IT RESOLVED, that the Board of Visitors authorizes the university to increase the maximum cumulative advances up to $500,000 to VT Swiss SA, to provide working capital loan(s) of up to three months of expenditures to finance operations at the Center and allow an interest rate to be charged on the working capital loan.

BE IT FURTHER RESOLVED, the Vice President of Finance and Chief Financial Officer, in coordination with the Vice President for Outreach and International Affairs, is authorized to structure the loan including repayment terms, and to execute the loan transactions to a university-related Swiss Corporation, VT Swiss SA, contingent upon the need for capitalization and advance working capital.

RECOMMENDATION:
That the resolution authorizing the university to increase loan working capital up to a maximum of $500,000 to a university-related Swiss Corporation, VT Swiss SA, be approved.

June 11, 2024
§ 4-3.00 DEFICIT AUTHORIZATION AND TREASURY LOANS

§ 4-3.01 DEFICITS

a. GENERAL:

1. Except as provided in this section no state agency shall incur a deficit. No state agency receiving general fund appropriations under the provisions of this act shall obligate or expend moneys in excess of its general fund appropriations, nor shall it obligate or expend moneys in excess of nongeneral fund revenues that are collected and appropriated.

2. The Governor is authorized to approve deficit funding for a state agency under the following conditions:

a) an unanticipated federal or judicial mandate has been imposed,

b) insufficient moneys are available in the first year of the biennium for start-up of General Assembly-approved action, or

c) delay pending action by the General Assembly at its next legislative session will result in the curtailment of services required by statute or those required by federal mandate or will produce a threat to life, safety, health or property.

d) Such approval by the Governor shall be in writing under the conditions described in § 4-3.02 a Authorized Deficit Loans of this act and shall be promptly communicated to the Chairmen of the House Appropriations and Senate Finance Committees within five calendar days of deficit approval.

3. Deficits shall not be authorized for capital projects.

4. The Department of Transportation may obligate funds in excess of the current biennium appropriation for projects of a capital nature not covered by § 4-4.00 Capital Projects, of this act provided such projects a) are delineated in the Virginia Transportation Six-Year Improvement Program, as approved by the Commonwealth
Transportation Board; and b) have sufficient cash allocated to each such project to cover projected costs in each year of the Program; and provided that c) sufficient revenues are projected to meet all cash obligations for such projects as well as all other commitments and appropriations approved by the General Assembly in the biennial budget.

b. UNAUTHORIZED DEFICITS: If any agency contravenes any of the prohibitions stated above, thereby incurring an unauthorized deficit, the Governor is hereby directed to withhold approval of such excess obligation or expenditure. Further, there shall be no reimbursement of said excess, nor shall there be any liability or obligation upon the state to make any appropriation hereafter to meet such unauthorized deficit. Further, those members of the governing board of any such agency who shall have voted therefor, or its head if there be no governing board, making any such excess obligation or expenditure shall be personally liable for the full amount of such unauthorized deficit and, at the discretion of the Governor, shall be deemed guilty of neglect of official duty and be subject to removal therefor. Further, the State Comptroller is hereby directed to make public any such unauthorized deficit, and the Director, Department of Planning and Budget, is hereby directed to set out such unauthorized deficits in the next biennium budget. In addition, the Governor is directed to bring this provision of this act to the attention of the members of the governing board of each state agency, or its head if there be no governing board, within two weeks of the date that this act becomes effective. The governing board or the agency head shall execute and return to the Governor a signed acknowledgment of such notification.

c. TOTAL AUTHORIZED DEFICITS: The amount which the Governor may authorize, under the provisions of this section during the current biennium, to be expended from loans repayable out of the general fund of the state treasury, for all state agencies, or other agencies combined, in excess of general fund appropriations for the current biennium, shall not exceed one and one-half percent (1 1/2%) of the revenues collected and paid into the general fund of the state treasury as defined in § 4-2.02 b. of this act during the last year of the previous biennium and the first year of the current biennium.

d. The Governor shall report any such authorized and unauthorized deficits to the Chairmen of the House Appropriations and Senate Finance Committees within five calendar days of deficit approval. By August 15 of each year, the Governor shall provide a comprehensive report to the Chairmen of the House Appropriations and Senate Finance Committees detailing all such deficits.
UPDATE FROM THE CHIEF OPERATING OFFICER

AMY SEBRING, EXECUTIVE VICE PRESIDENT AND CHIEF OPERATING OFFICER

June 11, 2024
DISCUSSION
UPDATE ON ADVANCEMENT

CHARLIE PHLEGAR, SENIOR VICE PRESIDENT FOR ADVANCEMENT

June 11, 2024
PROJECTIONS OF FUTURE SUPPORT THROUGH BEQUESTS

Virginia Tech
Total Face Value of All Bequest Expectancies by Life Expectancy
As of 6/30/2023

<table>
<thead>
<tr>
<th>Life Expectancy</th>
<th>Face Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Undeterminable</td>
<td>$14,097,424</td>
</tr>
<tr>
<td>0 - 5 Years</td>
<td>$5,815,335</td>
</tr>
<tr>
<td>&gt;5 - 10 Years</td>
<td>$78,972,435</td>
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<tr>
<td>&gt;10 - 15 Years</td>
<td>$138,199,520</td>
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<tr>
<td>&gt;15 - 20 Years</td>
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<td>&gt;20 - 25 Years</td>
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<tr>
<td>&gt;25 - 30 Years</td>
<td>$59,097,761</td>
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<tr>
<td>&gt;30 Years</td>
<td>$44,010,837</td>
</tr>
</tbody>
</table>

Present Value of Bequest Expectancies: $280,407,123
Face Value of Bequest Expectancies: $627,727,132

Notes:
1) Individual bequest records may have different net appreciation and probability of realization rates.
3) The discount rate to calculate present value is 4.75% (Kaspick's estimate of Higher Education inflation rate).
DISCUSSION
Proposed FY25 Operating and Capital Budgets

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

May 16, 2024

The university provides the Board of Visitors with an overview of the operating budget and capital cash flows for the upcoming fiscal year to enable board action in advance of July 1. Attached schedules include Schedule 1, which displays the university’s overall operating budget; Schedule 2, which displays the Auxiliary budgets; and Schedule 3, which displays the projected fiscal year cash flows of previously approved capital projects.

State Appropriations

The Special Session of the 2024 General Assembly adjourned May 13 after approving the state’s 2024-26 biennial budget. The biennial budget provides the university with an understanding of the level of state support, costs, and policy for university program budgets. Virginia Tech anticipates an initial state authorization of $2.0 billion for fiscal year FY25 to carry out all its programs, based on the forecast of direct appropriations to the university. However, the annual internal budget varies from the external expenditure authorization for several reasons, some of which increase the annual expenditure authority while others reduce the expenditure plans. For example, the university’s expenditure authorization will be adjusted when the state allocates funding for the state share of compensation and fringe benefit rate changes. Additionally, under the sum sufficient authority granted as part of restructuring, nongeneral fund appropriations may be established as needed by the institution. For these reasons, the total internal budget presented to the Board of Visitors in Schedule 1 totals $2.3 billion.

Forecast of State Budget Revenue Changes

For FY25, the university forecasts an incremental increase in General Fund appropriation of $37.5 million from the adjusted FY24 budget. This is comprised of an estimated General Fund increase of $26.2 million for Educational and General (E&G) programs in the University Division (Agency 208), an estimated increase of $3.2 million for the programs in the Cooperative Extension and Agricultural Experiment Station (Agency 229), an increase of $6.0 million in General Fund support for the VT Patient Research Center under Financial Assistance for E&G Programs, and an increase of $2.1 million for undergraduate and graduate Student Financial Aid.
As shown in Table 1 on page 4, the General Fund increase for the University Division includes changes in direct appropriations, the estimated general fund share of state compensation program, fringe benefit rate increases, and Virginia Military Survivors & Dependents Education Program (VMSDEP). The university planning assumptions anticipate State support for Agency 208 will include $9.0 million to minimize in-state undergraduate tuition rate increases, improve retention and graduation and increase degree production in high demand programs. The details of the projected state support are further described in each budget section.

With these state resources, the state support per Virginia student will grow in FY25. Total state support per Virginia student for FY25 is projected to be 27.7 percent above the funding provided in 2001. The growth in per-student funding is a positive signal of the state’s continued support of higher education and for Virginia Tech. The university enrolls over 5,100 additional Virginia undergraduates as compared to fall 2004. However, adjusted for inflation, the university will receive 33.5 percent less General Fund support per student than in fiscal year 2001, as seen in Figure 1. It is important to note that this analysis presents the state support in the most favorable light since it includes all General Fund resources allocated to E&G, including support for activities beyond instruction such as research and public service. Figure 1 below is presented in this manner because it is a commonly utilized perspective by external groups.
Proposed Budgets for FY25

For FY25, the recommended internal budget for all operations is $2.3 billion. This is an increase of $156.4 million, approximately 7.4 percent, over the adjusted FY24 budget. This increase reflects changes in nongeneral fund revenues for FY25 and outcomes of the 2024 General Assembly Special Session which impacts the FY25 General Fund appropriation. The overall change includes an increase of $66.1 million attributable to the E&G program, $22.4 million of projected growth in Auxiliary Enterprises, $73.6 million attributable to Sponsored Programs, and $1.8 million in Student Financial Assistance. The overall change includes a decrease of $7.5 million in All Other Programs due to removal of a FY24 one-time item.

The total General Fund allocation is estimated to be approximately $450.7 million, an increase of $37.5 million from the FY24 adjusted budget. General Fund revenues will provide $407.8 million in support for the instructional, research, and extension programs, $39.3 million for student financial assistance and $3.6 million for the Unique Military Activities program.

As shown in Figure 2 below, the General Fund appropriation represents 26.6 percent of the University Division’s E&G budget (as compared to 53.6 percent in the FY02 budget) and 19.9 percent of the total budget.

![Figure 2: University Division Fund Split](image-url)
Schedule 1 displays the proposed operating budgets for FY25 by major program and revenue and expense category. Schedule 2 is an expansion of the projected auxiliary operations budgets, categorized by major activity. These schedules also display the FY24 budget, as approved in June 2023, and the current adjusted FY24 budget for comparison purposes. This report provides a brief discussion of the changes in the operating budget for each of the major programs.

**E&G Programs**

The university’s E&G budget will be $1.2 billion in FY25. The E&G budgets for the University Division (Agency 208) and the Cooperative Extension/Agricultural Experiment Station Division (Agency 229) are displayed on Schedule 1.

The year-to-year comparison of the budget in Schedule 1 reflects an overall revenue increase in the E&G program of $66.1 million, or 5.9 percent, over the adjusted FY24 budget.

The FY25 E&G operating budgets have been developed utilizing the following forecasted state funding support for the university in FY25:

<table>
<thead>
<tr>
<th>Table 1 - Projected General Fund Change from FY24 E&amp;G Adjusted Budget to FY25 E&amp;G Proposed Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>University Division</td>
</tr>
<tr>
<td>---------------------</td>
</tr>
<tr>
<td><strong>Annualization of 2% FY24 Compensation Program</strong></td>
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<tr>
<td><strong>Non-General Fund Interest Earnings</strong></td>
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<tr>
<td><strong>Virginia Military Survivors &amp; Dependents Education Program</strong></td>
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<tr>
<td><strong>State Share of Salary and Fringe Benefit Rate Changes</strong></td>
</tr>
<tr>
<td><strong>Access and Affordability</strong></td>
</tr>
<tr>
<td><strong>E&amp;G Program General Fund Change</strong></td>
</tr>
</tbody>
</table>

* Estimate - these items funded by the state at a later date

The percentage of the E&G budget for the University Division provided by the General Fund increased from 25.7 percent in the FY24 adjusted budget to 26.6 percent in FY25.

The FY25 tuition and fee budget increased by $37.1 million, or 5.3 percent, over the adjusted FY24 budget. The increase in tuition and fee budgets is attributable to the increase of tuition rates as approved by the Board of Visitors at the April 2024 meeting, enrollment growth, and residency mixture. The increase also includes unfunded and tuition-funded scholarships to student aid programs and adjustments to the other E&G fee budgets. Unfunded scholarships support both undergraduate need-based aid and a portion of the graduate tuition remission program. Tuition and fee funded scholarships are targeted to support the institution’s strategic priorities, including enrollment growth.
and the Virginia Tech Advantage program. Additionally, the revenue from the Facility and Equipment fee will be transferred to the commonwealth for debt service on new facilities and equipment; thus, it is not reflected in the net revenue total.

**Virginia Tech/Wake Forest SBES Budgets**

In August 2002, the Board of Visitors of Virginia Tech adopted a resolution that authorized the establishment of the Virginia Tech-Wake Forest University School of Biomedical Engineering and Sciences. The collaboration agreement outlines the relationship and responsibilities of each party and requires budget approval by the governing board. In accordance with this requirement, the FY25 recommended budget includes $6.2 million for Virginia Tech’s School of Biomedical Engineering and Science within the overall university budget as displayed within the 208 Educational and General budgets on Schedule 1.

**Auxiliary Enterprises**

The university provides certain essential support services (e.g., Residence Halls and Dining Programs) through the operation of Auxiliary Enterprises. These enterprises are intended to be financially self-supporting and do not receive tuition revenue or general fund support. The Auxiliary Enterprises are supported by charging for all of the services provided to cover direct costs and reimburse the E&G program for all indirect costs in accordance with state requirements.

**Auxiliary Enterprise Systems**

As self-supporting activities, Auxiliary Enterprises also fund the debt service on auxiliary facilities including four systems operated under master debt covenants (Dormitory and Dining System, Electric Service Utility System, University Services System and the Athletic Facilities System). In compliance with the resolution authorizing and securing the system revenue bonds, the rates and charges for the next fiscal year are sufficient for the operating, maintenance and repair, debt service, and reserve requirements. The university works to ensure that all Auxiliary Enterprises remain in good working order, are in compliance with the terms and conditions of the bond covenants, and effectively deliver essential support services.

The total FY25 auxiliary revenue budget is $480.4 million, a growth of $22.4 million or 4.9 percent over the adjusted FY24 budget. This increase includes resources to cover proposed changes in state authorized compensation programs and fringe benefit rate changes, service needs for student health and counseling services, student programming, wireless network equipment renewal, transit contract operating costs, bus replacement, maintenance of existing facilities, and the cost of new facilities.
Financial Assistance for E&G Programs (primarily Sponsored Programs)

The projected annual budget for Sponsored Programs is $510.1 million, an increase of $73.6 million, or 16.9 percent increase over the FY24 adjusted budget. The increase in the FY25 budget aligns with the budget with FY24 grant and contract activity and includes a projection of FY25 growth. The growth in the FY25 Sponsored Programs budget includes $6.0 million to reflect Virginia Tech’s share of the state’s Biotechnology Initiative, which will support the VT Patient Research Center. The budgets for Grants and Contracts are developed through the analysis of historic trends and projections of future activity levels.

The Sponsored Programs budget is comprised primarily of grant and contract activities but also includes returned overhead, the Eminent Scholars program, the Enterprise Fund for distance learning, and General Fund support for research. The most significant activity in this category is externally sponsored research.

Appropriated Student Financial Assistance

The projected FY25 budget for the Appropriated Student Financial Assistance program is $63.3 million, an increase of $1.8 million. The change in the Student Financial Aid budget is comprised of a $2.1 million increase in general fund support, continued university investment into the Virginia Tech Advantage Initiative to support access and affordability, support for the Funds for the Future Program, and the VT Scholarship Program. The increase is offset by the removal of one-time scholarships for the FY24 tuition rebate program.

The appropriated Student Financial Assistance budget is comprised of $39.3 million of state General Fund support for Undergraduate Scholarships, Graduate Fellowships, Soil Scientist Scholarships, Multicultural Academic Opportunity Program and estimates for the Virginia Military Survivors and Dependents Stipend and Two-Year College Transfer Grant. This budget also includes $24.0 million in nongeneral fund Student Financial Assistance.

Given that appropriated resources are only a portion of the total student financial assistance program, the university provides the Board with an annual report on the total student financial assistance program each November. The November report will include Appropriated Student Financial Assistance, unfunded scholarships, codified waivers, private support (from the Virginia Tech Foundation), federal support, and third-party aid.

All Other Programs

The All Other Programs component is comprised of the Unique Military Activities appropriation, surplus property, federal work study program, and local funds. The annual budget for these funds is based on historic trends and projections of activity levels by
program managers. These programs are funded by resources that are designated for specific purposes. For All Other Programs, the recommended budget is $18.2 million, and reflects a $7.5 million decrease from the adjusted budget for FY24 primarily due to one-time revenues and adjustments in the current year.

**Planned Change in Reserves**

Existing state requirements, along with the university’s budgeting and financial management strategies, generally result in the establishment of breakeven budgets for the major budget components, with the exception of Auxiliary Enterprises. This practice will continue in FY25, where only the auxiliary budgets project an addition to the reserves as of June 30, 2024. The projected addition of $20.4 million is the result of the intentional rebuilding of reserves in specific auxiliaries where expenditures in prior years created the need for restoring the reserves so that it may operate as a revolving fund. In other cases, the projected addition to reserves reflects the temporary positive impact of planning activities for new capital projects. The FY25 budget for Auxiliary Enterprises is also designed to ensure that the reserve levels remain in compliance with bond covenants as well as SCHEV reserve targets.

**Compensation Plan**

The university plans to implement faculty and staff compensation programs for FY25 consistent with the outcome of the special session of the general assembly. The attached operating budget includes funding, consistent with traditional funding principles, for the following proposed employee compensation actions:

- 3.00 percent faculty compensation program.
  - In addition, the university will fund the Promotion and Tenure cost for those faculty approved for Promotion and Tenure increases.
- 3.00 percent stipend increase for graduate assistants, as approved by the Board of Visitors.
  - Move stipend floor minimum to $2,682 per month, if approved by the Board.
- 3.00 percent Classified Staff salary increase. Classified Staff are defined as staff members hired before July 1, 2006 who have not subsequently converted to the University Staff system.
- 3.00 percent University Staff compensation program.
- Additionally, the university will support a 0.25 percent pool for national distinction and special adjustments for teaching and research faculty. The university is committed to retaining faculty members who have achieved distinction in their disciplines and who make outstanding contributions to the university. This process can be particularly helpful in the university’s efforts to retain outstanding mid-career faculty. It is expected that the adjustments will be limited in the number of faculty included, but meaningful in size.
Initiatives and Reinvestments

As previously reviewed, the university has a bold five-year plan for strategic investments focused on VT Advantage, Global Distinction, and Enabling Infrastructure. Strategic investments will be needed to realize the Beyond Boundaries vision. Incremental year-over-year investments based on major strategic priority area are outlined in Table 2, below.

<table>
<thead>
<tr>
<th></th>
<th>FY25</th>
<th>FY26</th>
<th>FY27</th>
<th>FY28</th>
<th>FY29</th>
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<td>Virginia Tech Global Distinction</td>
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<td>$14.4</td>
<td>$13.3</td>
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<td>Virginia Tech Advantage (less) Governmental &amp; Private Funding</td>
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<td>8.2</td>
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<td></td>
<td>(4.3)</td>
<td>(4.0)</td>
<td>(4.4)</td>
<td>(4.5)</td>
<td>(4.7)</td>
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<tr>
<td>Enabling Infrastructure</td>
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</tbody>
</table>

The plan for funding these strategic investments will not be realized solely through incremental new revenue (state, private, institutional resources), but will require the university to make strategic reinvestments. Strategic reinvestments seek to avoid reactionary responses and enable multi-year planning. Reinvestment of existing institutional resources is needed to support a portion of the initiative vision over the 5-year planning period. The university continues to envision a $25 million reallocation program, implemented through a combination of unit-based reinvestments and university-level reinvestments. For FY25, the university envisions $2.5 million of unit-based reinvestments, which will realign existing unit resources with initiatives to support the VT Global Distinction, Virginia Tech Advantage, and enable infrastructure. In addition, the university has identified $2.5 million of targeted reinvestment opportunities to support the strategic vision.

The university identified reinvestments which reduce or eliminate activities, discontinued leases and fold activities back into campus-owned space, implement business process changes, and targeted reductions at the unit level where resources could be redeployed to advance Virginia Tech Global Distinction and the Virginia Tech Advantage program. Over the next year, the President’s Council will continue working on opportunities to rethink how the university operates and to look for opportunities to free up existing resources that can be redirected in accordance with the university’s strategic priorities.

For the upcoming fiscal year, the university also asked units to identify reinvestments within their own span of control to advance strategic initiatives. Units identified or created
savings via reductions, change management, and eliminating vacant positions to enable reinvestment in lieu of providing new resources to units.

**Budget Allocations**

The process of finalizing the FY25 operating budget allocations for the colleges and major operating units is currently underway. This process will be completed in June 2024 and issued to the university community by the Executive Vice President and Chief Operating Officer. The Office of Budget and Financial Planning will allocate these budgets to the colleges and vice-presidential areas in time for the departments to open the new fiscal year with the allocations in place in the university accounting system. The university develops the annual budget as a one-year quantification of the university’s strategic plan. The strategic plan is the framework for enacting the university’s mission.

**Capital Outlay Projects**

Virginia Tech’s capital outlay program includes projects for the University Division and the Cooperative Extension/Agricultural Experiment Station Division. Initiation of a capital project requires authorization of a budget and funding sources from the state or the Board of Visitors.

The state appropriates projects supported entirely or partially with General Fund revenues. The university requests General Fund appropriations for new projects as part of the state capital budget cycle. If appropriated, these projects normally become effective and are added to the program at the beginning of a fiscal year.

Under the restructuring legislation and the 2006 Management Agreement between the Commonwealth and the university, the Board of Visitors has the authority to authorize capital projects funded entirely with nongeneral fund resources. New projects approved by the Board of Visitors become effective upon approval of a university resolution and are reflected in the subsequent Financial Performance Report.

The university develops a financing plan to support the entire budget of each capital project prior to its initiation. Upon initiation, the whole project budget is entered into the accounting system. The revenues to support capital expenditure budgets are a mix of state support, university supported debt, and self-generated cash resources including private gifts. When projects have multiple sources of funding, the university generally utilizes the resources in the following order: state support, bond proceeds, and then cash. This order allows the most effective use of the university’s nongeneral fund resources.

The typical project lifespan is three to five years. Cash flow models are used to predict the pace of spending by month for each project for its anticipated life. This analysis is then used to plan the timing to move resources to a project budget on an as needed basis. Under this approach, project resources are held in their most productive location for as long as possible to maximize earnings. This analysis is further used to optimize the timing for external debt issuances to manage exposure to the cost of capital and arbitrage spend down requirements.
Each active capital project is included on the Financial Performance Report for its entire fiscal life and until all its funds in the accounting system are terminated. A Project is removed from the Financial Performance Report at the end of the fiscal year it closes.

The portfolio of the capital outlay program for FY25 is comprised of 16 E&G projects and five Auxiliary Enterprise projects for a total of 21 projects with a total program budget of $1.17 billion and an estimated annual budget of approximately $184 million. This includes the following $49 million of new funding items in the 2024-26 biennial budget: $14 million of construction funding for the Improve Center Woods project, $18.9 million for Maintenance Reserve, $8 million for the Improve Campus Accessibility project, and $8 million for Equipment for Workforce Development. The Appropriations Act includes two planning projects, Improvements for the Eastern Shore AREC and Renovate Derring Hall Building Envelope, where the planning appropriations are unknown until the State issues its cost verification report. The project funding and annual budgets will be updated at that time.

Schedule 3 lists the projects by program and phase of progress. Each project is listed with the total project authorization by revenue source for FY25, annual budget for FY25, and estimated balance at the close of FY25. Capital project performance is measured against the total project budget authorization. The accuracy of annual budgets, and the cash flows models on which they are based, are generally most sensitive to projected construction start dates. For example, a large project that enters construction three months later than expected may underspend its annual budget by several million dollars for the fiscal year. Adjustments in the pace of spending do not impact the expected total budget, but rather the timing of planned expenditures.

**RECOMMENDATION:**

That the proposed FY25 operating budget and capital expenditure projections, as displayed on Schedules 1, 2, and 3, be approved.

June 11, 2024
## TOTAL OPERATING BUDGET FOR VIRGINIA TECH

### FY25

(Dollars in Thousands)

<table>
<thead>
<tr>
<th></th>
<th>FY24 Original Budget</th>
<th>FY24 Adjusted Budget</th>
<th>FY25 Recommended Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Educational and General</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>University Division</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Fund</td>
<td>$251,676</td>
<td>$262,261</td>
<td>$288,480</td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>699,830</td>
<td>699,121</td>
<td>736,209</td>
</tr>
<tr>
<td>All Other Income</td>
<td>56,127</td>
<td>58,421</td>
<td>59,850</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>$1,007,633</td>
<td>$1,019,803</td>
<td>$1,084,539</td>
</tr>
<tr>
<td><strong>CE/AES Division</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Fund</td>
<td>$89,041</td>
<td>$89,693</td>
<td>$92,942</td>
</tr>
<tr>
<td>Federal Funds</td>
<td>15,647</td>
<td>17,261</td>
<td>15,647</td>
</tr>
<tr>
<td>All Other Income</td>
<td>1,129</td>
<td>1,634</td>
<td>1,427</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>$105,816</td>
<td>$108,588</td>
<td>$110,015</td>
</tr>
<tr>
<td>Total Educational and General</td>
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<td>$1,128,391</td>
<td>$1,194,554</td>
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<tr>
<td><strong>Auxiliary Enterprises</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Auxiliary Fees</td>
<td>$88,918</td>
<td>$88,228</td>
<td>$93,175</td>
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<tr>
<td>Auxiliary User Charges (Room &amp; Board)</td>
<td>146,598</td>
<td>142,231</td>
<td>151,747</td>
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<tr>
<td>Auxiliary Sales and Services</td>
<td>217,208</td>
<td>227,569</td>
<td>235,462</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>$452,724</td>
<td>$458,028</td>
<td>$480,384</td>
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<tr>
<td>Financial Assistance for E&amp;G Programs (a)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Fund</td>
<td>$19,389</td>
<td>$20,389</td>
<td>$26,389</td>
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<tr>
<td>Nongeneral Fund</td>
<td>$415,914</td>
<td>$416,064</td>
<td>$483,690</td>
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<td><strong>Subtotal</strong></td>
<td>$435,303</td>
<td>$436,453</td>
<td>$510,079</td>
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<tr>
<td>Appropriated Student Financial Assistance</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>General Fund</td>
<td>$33,593</td>
<td>$37,169</td>
<td>$39,261</td>
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<tr>
<td>Nongeneral Fund</td>
<td>17,265</td>
<td>24,363</td>
<td>24,076</td>
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<tr>
<td><strong>Subtotal</strong></td>
<td>50,858</td>
<td>61,532</td>
<td>63,337</td>
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<tr>
<td>All Other Programs (b)</td>
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<td></td>
</tr>
<tr>
<td>General Fund (UMA)</td>
<td>$3,649</td>
<td>$3,649</td>
<td>$3,649</td>
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<tr>
<td>Nongeneral Fund</td>
<td>12,532</td>
<td>22,099</td>
<td>14,562</td>
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<td><strong>Subtotal</strong></td>
<td>$16,181</td>
<td>$25,748</td>
<td>$18,211</td>
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<tr>
<td>Total</td>
<td>$2,068,515</td>
<td>$2,110,153</td>
<td>$2,266,565</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Educational and General</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>University Division</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Fund</td>
<td>$261,633</td>
<td>$262,352</td>
<td>$288,480</td>
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<tr>
<td>Tuition and Fees</td>
<td>699,830</td>
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<tr>
<td><strong>Subtotal</strong></td>
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<td>$1,019,903</td>
<td>$1,084,539</td>
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<tr>
<td><strong>CE/AES Division</strong></td>
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<td></td>
<td></td>
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</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td>$105,816</td>
<td>$108,588</td>
<td>$110,015</td>
</tr>
<tr>
<td>Total</td>
<td>$2,068,515</td>
<td>$2,110,153</td>
<td>$2,266,565</td>
</tr>
<tr>
<td><strong>Planned Change in Reserve</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit) (c)</td>
<td>-$17,627</td>
<td>$7,231</td>
<td>-$20,400</td>
</tr>
<tr>
<td><strong>Net</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

(a) Financial Assistance for E&G Programs includes Sponsored Programs, the Eminent Scholars Program, and General Fund Research Initiative.
(b) All Other Programs include Unique Military Activities, Surplus Property, Local Funds, and Federal Work Study.
(c) Reserve contributions are based on the budget plans of Auxiliary Enterprise and All Other Program units.

*Presentation Date: June 11, 2024*
### TOTAL OPERATING BUDGETS FOR AUXILIARY ENTERPRISES
#### Fiscal Year FY25
(Dollars in Thousands)

<table>
<thead>
<tr>
<th></th>
<th>FY24 Original Budget</th>
<th>FY24 Adjusted Budget</th>
<th>FY25 Recommended Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Residence and Dining Hall System</strong>*</td>
<td>$173,674</td>
<td>$167,902</td>
<td>$184,819</td>
</tr>
<tr>
<td>Revenues</td>
<td>$173,674</td>
<td>$167,902</td>
<td>$184,819</td>
</tr>
<tr>
<td>Expenses</td>
<td>-170,540</td>
<td>-172,045</td>
<td>-179,256</td>
</tr>
<tr>
<td>Reserve Drawdown/(Addition)</td>
<td>-3,134</td>
<td>4,143</td>
<td>-5,563</td>
</tr>
<tr>
<td>Net</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

| **Parking and Transportation** | $24,284             | $25,013             | $26,078                |
| Revenues                   | $24,284             | $25,013             | $26,078                |
| Expenses                   | -21,544             | -24,448             | -23,789                |
| Reserve Drawdown/(Addition) | -2,740              | 453                 | -2,289                 |
| Net                        | $0                   | $0                   | $0                      |

| **Telecommunications Services** | $27,790             | $26,726             | $23,347                |
| Revenues                   | $27,790             | $26,726             | $23,347                |
| Expenses                   | -26,055             | -31,679             | -22,557                |
| Reserve Drawdown/(Addition) | -1,735              | 4,953               | -790                   |
| Net                        | $0                   | $0                   | $0                      |

| **University Services System*** | $65,063             | $64,813             | $69,450                |
| Revenues                   | $65,063             | $64,813             | $69,450                |
| Expenses                   | -63,538             | -72,545             | -68,664                |
| Reserve Drawdown/(Addition) | -1,525              | 7,732               | -786                   |
| Net                        | $0                   | $0                   | $0                      |

| **Intercollegiate Athletics System*** | $95,786             | $104,263            | $101,540               |
| Revenues                   | $95,786             | $104,263            | $101,540               |
| Expenses                   | -91,010             | -95,891             | -96,923                |
| Reserve Drawdown/(Addition) | -4,776              | -8,372              | -4,617                 |
| Net                        | $0                   | $0                   | $0                      |

| **Electric Service System*** | $43,740             | $44,892             | $48,576                |
| Revenues                   | $43,740             | $44,892             | $48,576                |
| Expenses                   | -41,670             | -44,490             | -46,410                |
| Reserve Drawdown/(Addition) | -2,070              | -402                | -2,166                 |
| Net                        | $0                   | $0                   | $0                      |

| **Inn at Virginia Tech and Skelton Conference Center** | $11,840             | $13,500             | $14,171                |
| Revenues                   | $11,840             | $13,500             | $14,171                |
| Expenses                   | -12,905             | -14,090             | -12,788                |
| Reserve Drawdown/(Addition) | 1,065               | 590                 | -1,383                 |
| Net                        | $0                   | $0                   | $0                      |

| **Other Enterprise Functions** | $10,547             | $10,919             | $12,403                |
| Revenues                   | $10,547             | $10,919             | $12,403                |
| Expenses                   | -7,835              | -9,942              | -9,597                 |
| Reserve Drawdown/(Addition) | -2,712              | -977                | -2,806                 |
| Net                        | $0                   | $0                   | $0                      |

| **TOTAL**                  | $452,724             | $458,028            | $480,384               |
| Revenues                   | $452,724             | $458,028            | $480,384               |
| Expenses                   | -435,097             | -465,130            | -459,984               |
| Reserve Drawdown/(Addition) | -17,627             | 7,102               | -20,400                |
| Net                        | $0                   | $0                   | $0                      |

* University Systems include the Dormitory and Dining Hall System, Electric Service Utility System, University Services System, and Athletic Facilities System. The University Services System includes Health Services, Career & Professional Development, Student Engagement & Campus Life, Cultural & Community Centers, Recreational Sports, Center for the Arts, Student Organizations and VT Rescue Squad.

Presentation Date: June 11, 2024
### Educational and General Capital Project Authorizations for Fiscal Year 2025

(Dollars in Thousands) as of March 31, 2024

<table>
<thead>
<tr>
<th></th>
<th></th>
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<th></th>
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<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Mitchell Hall (Randolph Hall Replacement)</td>
<td>Jul 2020 $264,453</td>
<td>$11,000</td>
<td>$16,828</td>
<td>$292,281</td>
<td>$20,042</td>
<td>$272,239</td>
<td>$30,000</td>
</tr>
<tr>
<td>Planning: New Business Building</td>
<td>Apr 2022 -</td>
<td>8,000</td>
<td>-</td>
<td>8,000</td>
<td>1,700</td>
<td>6,300</td>
<td>-</td>
</tr>
<tr>
<td>Expand VT-C SOM &amp; Fralin Biomedical Research Institute</td>
<td>Sept 2023 -</td>
<td>9,000</td>
<td>-</td>
<td>9,000</td>
<td>200</td>
<td>8,800</td>
<td>3,500</td>
</tr>
<tr>
<td>Improve Center Woods Complex</td>
<td>Nov 2023 14,550</td>
<td>296</td>
<td>-</td>
<td>14,846</td>
<td>32</td>
<td>14,814</td>
<td>1,500</td>
</tr>
<tr>
<td>Improve Campus Accessibility</td>
<td>Jul 2024 8,000</td>
<td>-</td>
<td>-</td>
<td>8,000</td>
<td>-</td>
<td>8,000</td>
<td>250</td>
</tr>
<tr>
<td>Planning: Renovate Derring Hall Building Envelope</td>
<td>Jul 2024 -</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Planning: Improvements to Eastern Shore AREC</td>
<td>Jul 2024 -</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Maintenance Reserve</td>
<td>On-going 24,429</td>
<td>-</td>
<td>-</td>
<td>24,429</td>
<td>-</td>
<td>24,429</td>
<td>20,765</td>
</tr>
<tr>
<td>Innovation Campus - Academic Building</td>
<td>Jul 2019 177,164</td>
<td>80,336</td>
<td>44,636</td>
<td>302,136</td>
<td>240,858</td>
<td>61,278</td>
<td>40,895</td>
</tr>
<tr>
<td>Hitt Hall</td>
<td>Apr 2017 -</td>
<td>31,657</td>
<td>53,343</td>
<td>85,000</td>
<td>73,587</td>
<td>11,413</td>
<td>9,112</td>
</tr>
<tr>
<td>Undergraduate Science Laboratory Building</td>
<td>Jul 2017 90,412</td>
<td>-</td>
<td>-</td>
<td>90,412</td>
<td>-</td>
<td>90,412</td>
<td>60,723</td>
</tr>
<tr>
<td>Building Envelope Improvements</td>
<td>Aug 2022 -</td>
<td>13,580</td>
<td>33,620</td>
<td>47,200</td>
<td>4,914</td>
<td>42,286</td>
<td>8,000</td>
</tr>
<tr>
<td>Life, Health, Safety, Accessibility, &amp; Code Compliance</td>
<td>Jul 2020 10,400</td>
<td>-</td>
<td>-</td>
<td>10,400</td>
<td>6,731</td>
<td>3,669</td>
<td>2,800</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Equipment and Special Initiatives</th>
<th>Total Project Authorization</th>
<th>State Support</th>
<th>Nongeneral Fund</th>
<th>Agency Debt</th>
<th>Total</th>
<th>Annual Balance Available for FY2025</th>
<th>Total Balance at Close of FY2025</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equipment for Workforce Development</td>
<td>May 2021 42,437</td>
<td>-</td>
<td>-</td>
<td>42,437</td>
<td>-</td>
<td>42,437</td>
<td>12,518</td>
</tr>
</tbody>
</table>

<table>
<thead>
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<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Corps Leadership and Military Science Building</td>
<td>Jun 2019 -</td>
<td>21,600</td>
<td>30,400</td>
<td>52,000</td>
<td>49,964</td>
<td>2,036</td>
<td>2,036</td>
</tr>
</tbody>
</table>

Total Educational and General Projects

| $663,610 | $175,469 | $178,827 | $1,017,906 | $496,543 | $521,363 | $148,158 | $373,205 |
# AUXILIARY ENTERPRISE CAPITAL PROJECT AUTHORIZATIONS FOR FISCAL YEAR 2025

(Dollars in Thousands)

as of March 31, 2024

<table>
<thead>
<tr>
<th>PROJECT INITIATED</th>
<th>STATE SUPPORT</th>
<th>NONGENERAL FUND</th>
<th>AGENCY DEBT</th>
<th>TOTAL</th>
<th>ESTIMATED TOTAL EXPENSES June 30, 2024</th>
<th>ESTIMATED ANNUAL BUDGET FY2025</th>
<th>ESTIMATED BALANCE AT CLOSE OF FY2025</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Design Phase</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Planning: Student Life Village, Phase I</td>
<td>Jun 2023</td>
<td>$ -</td>
<td>$ 19,500</td>
<td>$ -</td>
<td>$ 19,500</td>
<td>$ 800</td>
<td>$ 18,700</td>
</tr>
<tr>
<td><strong>Construction Phase</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintenance Reserve</td>
<td>On-going</td>
<td>-</td>
<td>13,000</td>
<td>-</td>
<td>13,000</td>
<td>-</td>
<td>13,000</td>
</tr>
<tr>
<td>Student Wellness Improvements</td>
<td>Jun 2016</td>
<td>-</td>
<td>25,574</td>
<td>44,426</td>
<td>70,000</td>
<td>55,200</td>
<td>14,800</td>
</tr>
<tr>
<td>Football Locker Room Renovations</td>
<td>Jun 2023</td>
<td>-</td>
<td>5,900</td>
<td>-</td>
<td>5,900</td>
<td>3,000</td>
<td>2,900</td>
</tr>
<tr>
<td><strong>Close-Out</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>New Upper Quad Residence Hall</td>
<td>Jun 2019</td>
<td>-</td>
<td>16,071</td>
<td>25,929</td>
<td>42,000</td>
<td>40,000</td>
<td>2,000</td>
</tr>
<tr>
<td><strong>Total Auxiliary Enterprise Projects</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$ -</td>
<td>$ 80,045</td>
<td>$ 70,355</td>
<td>$ 150,400</td>
<td>$ 99,000</td>
<td>$ 51,400</td>
<td>$ 35,600</td>
</tr>
</tbody>
</table>

| GRAND TOTAL ALL CAPITAL PROJECTS | $ 663,610 | $ 255,514 | $ 249,182 | $ 1,168,306 | $ 595,543 | $ 572,763 | $ 183,758 | $ 389,005 |

Presentation Date: June 11, 2024
FY 25 OPERATING AND CAPITAL BUDGETS

AMY SEBRING
EXECUTIVE VICE PRESIDENT & CHIEF OPERATING OFFICER

TIM HODGE
ASSOCIATE VICE PRESIDENT FOR BUDGET & FINANCIAL PLANNING

ROB MANN
ASSISTANT VICE PRESIDENT CAPITAL BUDGETING AND FINANCING

JUNE 11, 2024
FY 25 Operating Budget

January 2024
• University critical needs request and call for strategic reinvestments initiated.

February 2024
• General Assembly convenes
• BOV holds tuition public hearing and receives update on tuition and fees.
• Legislature approves conference budget.

March 2024

April 2024
• BOV adopts FY25 2.9% tuition and fees (T&F) rates.
• Governor introduces package of amendments to conference budget.

May 2024
• Internal Budget Development based on approved T&F rates.
• 2024-26 biennial budget approved in Special Session

June 2024
• FY25 Operating Budget Recommended to the BOV for approval

FY 25 Capital Budget
• The capital plan reflects the fiscal year cash flows of previously authorized capital projects
OPERATING BUDGET
The General Assembly approved the 2024-26 biennial budget during the 2024 Special Session, which was subsequently signed by Governor Youngkin May 13.

Highlights of FY25 General Fund impacts:

- 3.0% Compensation Program
- $9M for Affordable Access, Degree Production, & Operating Support
- $1.3M for undergraduate student financial aid, $0.5M for graduate remission
- $6M in FY25 to support the Virginia Tech Patient Research Center at FBRI
  - $20.5M in operating support for FY26 with $4.0M in equipment funds
- Statewide pool to support a portion of the cost of the Virginia Military Survivors & Dependents Education Program
## FY25 OPERATING BUDGET +7.4%

### All Programs

<table>
<thead>
<tr>
<th>Budget Category</th>
<th>FY24 Adjusted Budget</th>
<th>FY25 Proposed Budget</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$1,019.8</td>
<td>$1,084.5</td>
<td>$64.7</td>
</tr>
<tr>
<td>Eudcational and General (E&amp;G)</td>
<td></td>
<td></td>
<td>6.3%</td>
</tr>
<tr>
<td>University Division</td>
<td>108.6</td>
<td>110.0</td>
<td>1.4</td>
</tr>
<tr>
<td>Coop Ext/Ag Experiment Station Division</td>
<td></td>
<td></td>
<td>1.3%</td>
</tr>
<tr>
<td>Subtotal, E&amp;G</td>
<td>$1,128.4</td>
<td>$1,194.5</td>
<td>$66.1</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>5.9%</td>
</tr>
<tr>
<td>Auxiliary Enterprises</td>
<td>$458.0</td>
<td>$480.4</td>
<td>$22.4</td>
</tr>
<tr>
<td>Sponsored Programs</td>
<td>436.5</td>
<td>510.1</td>
<td>73.6</td>
</tr>
<tr>
<td>Appropriated Student Financial Assistance</td>
<td>61.5</td>
<td>63.3</td>
<td>1.8</td>
</tr>
<tr>
<td>All Other Programs</td>
<td>25.7</td>
<td>18.2</td>
<td>(7.5)</td>
</tr>
<tr>
<td>Total Operating Budget</td>
<td>$2,110.1</td>
<td>$2,266.5</td>
<td>$156.4</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>7.4%</td>
</tr>
</tbody>
</table>
INCREASE IN UNIVERSITY DIVISION E&G DRIVEN BY STATE SUPPORT

Dollars in Millions

<table>
<thead>
<tr>
<th>University Division (E&amp;G)</th>
<th>FY24 Adjusted Budget</th>
<th>FY25 Proposed Budget</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>General Fund</td>
<td>$262.3</td>
<td>$288.5</td>
<td>$26.2</td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>699.1</td>
<td>736.2</td>
<td>37.1</td>
</tr>
<tr>
<td>All Other Income</td>
<td>58.4</td>
<td>59.8</td>
<td>1.4</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td><strong>$1,019.8</strong></td>
<td><strong>$1,084.5</strong></td>
<td><strong>$64.7</strong></td>
</tr>
</tbody>
</table>

6.3%
STRATEGIC INVESTMENTS ARE SUPPORTED BY MULTIPLE FUNDING SOURCES

**Virginia Tech Advantage**

**Virginia Tech Global Distinction**

- Enabling Infrastructure

**Net Enrollment, Unrestricted**

- State, Self-Generated (Professional Masters)

**PRIVATE FUNDS**

**RESOURCES**

**UNIVERSITY LEVEL REINVESTMENTS**

**UNIT LEVEL REINVESTMENTS**
FY25 REINVESTMENT PROCESS

COMMITMENT
$25M over 5 years

FY 25 BUDGET PROCESS
Added unit level reinvestment exercise to:
• annual critical needs requests (CNR); and
• PIBB reallocations

RESULT
$2.5M redirected internally within units to fund CNRs aligned with strategic priorities
$2.5M recovered centrally to support enabling infrastructure
YEAR 1 GOAL ($5M) ACCELERATES THE PACE OF STRATEGIC INVESTMENTS

- Reduce or eliminate activities
  - Capture salary savings through targeted reorganizations, turnover and vacancies
  - Deprovision low usage equipment
  - Optimize computer labs
  - Redirect funds from low performing activities
- Discontinue leases and fold activities into campus owned space
  - UMall, including Math Emporium
  - Kent Square
- Business process changes
  - Reallocate revenue capture
  - Align distributions to support strategic areas (e.g., tuition remissions)
- Redirect resources to high priority areas, including
  - Student internships
  - Core research facilities and shared use labs
REINVESTMENTS SET FRAMEWORK FOR ONGOING EFFORT

- It’s not just about the money…

- Improve services and outcomes
- Reduce duplication and streamline efforts
- Develop and expand communities of practice
- Invest to save
72% OF NEW E&G FUNDING DIRECTED TO COMPENSATION AND UNAVOIDABLE COSTS

Dollars in Millions

<table>
<thead>
<tr>
<th>MANDATORY, STATE &amp; UNAVOIDABLE COSTS</th>
<th>E&amp;G</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compensation &amp; Benefits</td>
<td>$38.5</td>
</tr>
<tr>
<td>Virginia Military Dependent &amp; Survivor Benefit</td>
<td>1.5</td>
</tr>
<tr>
<td>Fixed Costs</td>
<td>1.9</td>
</tr>
<tr>
<td>Operation &amp; Maintenance of New Facilities</td>
<td>4.9</td>
</tr>
<tr>
<td><strong>Subtotal Mandatory, State, &amp; Unavoidable Costs</strong></td>
<td><strong>46.8</strong></td>
</tr>
</tbody>
</table>

Technical (remove FY24 One-time items) (9.4)
Enrollment (includes professional masters, special sessions, etc) 8.3

**Capacity for University Initiatives (toward $28.2M vision)** 19.0 *

University Division Budget Change from Slide 5 $64.7

* Includes $2.5M of university-level Reinvestments
## ADVANCING GLOBAL DISTINCTION AND VIRGINIA TECH ADVANTAGE

<table>
<thead>
<tr>
<th></th>
<th>FY25 Aspiration</th>
<th>FY25 University Investment (includes $2.5M of University-level Reinvestments)</th>
<th>FY25 University Investment &amp; $2.5M of Unit –level Reinvestments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Virginia Tech Global Distinction</td>
<td>$14.9</td>
<td>$7.6</td>
<td>$9.6*</td>
</tr>
<tr>
<td>Virginia Tech Advantage (Institution)**</td>
<td>3.8</td>
<td>3.8</td>
<td>3.8</td>
</tr>
<tr>
<td>Enabling Infrastructure ***</td>
<td>9.5</td>
<td>7.6</td>
<td>8.1*</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$28.2</strong></td>
<td><strong>$19.0</strong></td>
<td><strong>$21.5</strong>*</td>
</tr>
</tbody>
</table>

* Unit level reinvestments supported $2M of Global Distinction and $0.5M of Enabling Infrastructure in FY25
** In addition, the commonwealth allocated $1.2M for FY25 undergraduate need based financial aid
*** Includes support for technology, SVPI, Innovation Campus
SPONSORED RESEARCH CONTINUES TO DRIVE FY25 BUDGET FOR FINANCIAL ASSISTANCE FOR E&G WITH NEW STATE SUPPORT

General Fund (includes $6M new for FY25 for Patient Research Center), $26,388,544

Grants & Contracts and Indirect (Sponsored Research and other sponsored programs), $465,356,735

Other (Enterprise Fund, Eminent Scholars, misc), $18,333,595

FY25 Revenue $510M +16.9%
FY25 Total Revenue = $ 480M  +4.9%

Self-generated revenues include: athletic ticket sales, athletic conference income, hotel & conference center sales, electric service sales, summer conference etc.
4.9% total budget growth, includes 3.0% state compensation program, 6.3% health care, and inflation but also includes:

- Staffing and support for health and counseling, residential well-being, and TimelyCare virtual health services
- Enhanced career service
- Wireless network improvement/enhancements/update
- War Memorial Hall reopening
- Perry Place dining venue opening summer 2024 within Hitt Hall
CAPITAL BUDGET
The General Assembly approved the 2024-26 biennial budget during the 2024 Special Session, which was subsequently signed by Governor Youngkin May 13.

Highlights of FY25 Capital Outlay Budget impacts:

- $43.4M of Maintenance Reserve funding for the biennium
- $14.7M construction authorization for the Center Woods Improvements
- $8M full project authorization for the Campus Accessibility Improvements
- Planning authorization for the Renovate Derring Hall Building Envelope project
- Planning authorization for the Eastern Shore AREC Improvements
FISCAL YEAR 2025 CAPITAL PROJECTS

End FY24
Projects closed June 30th
New projects effective July 1st

Start FY25

<table>
<thead>
<tr>
<th></th>
<th>Design</th>
<th>Construction</th>
<th>Equipment</th>
<th>Closeout</th>
</tr>
</thead>
<tbody>
<tr>
<td>23</td>
<td>- 5</td>
<td>3</td>
<td></td>
<td>2</td>
</tr>
</tbody>
</table>

8 10 21
CAPITAL AUTHORIZATION FUND SOURCES

State Support: $663 million
Self-generated Cash: $110 million
University Debt: $249 million*
Private Cash: $146 million

Resources for Capital Budgets: $1.17 Billion

*$17 million to carry timing of future pledge payments
## Major Budget Adjustments

### Dollars in Thousands

### Budget at Close of FY24

- **$ 1,266,374**

### Reductions for FY24 Project Closeouts

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount (in Thousands)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data &amp; Decision Science Building</td>
<td>(79,000)</td>
</tr>
<tr>
<td>Maintenance Reserve Close Biennium, E&amp;G</td>
<td>(33,629)</td>
</tr>
<tr>
<td>Fralin Biomedical Research Institute Equipment</td>
<td>(18,133)</td>
</tr>
<tr>
<td>Maintenance Reserve Close FY, Aux</td>
<td>(12,000)</td>
</tr>
<tr>
<td>Dietrick Renovation</td>
<td>(9,129)</td>
</tr>
<tr>
<td>Slusher Hall Renovation</td>
<td>(7,500)</td>
</tr>
<tr>
<td>Commerce Street Property Acquisition</td>
<td>(555)</td>
</tr>
</tbody>
</table>

### Budget Increases for FY25

- Maintenance Reserve, E&G                              | 18,885                |
- Maintenance Reserve, Aux                              | 13,000                |
- Improve Center Woods Complex                           | 14,000                |
- Improve Campus Accessibility                           | 8,000                 |
- Equipment for Workforce Development                    | 7,993                 |

### Net Change

- (98,068)

### Budget at Start of FY25

- **$ 1,168,306**
<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY25 starting total capital budget</td>
<td>$1,168,000</td>
</tr>
<tr>
<td>Less project to-date expenditures as of June 30(^{th})</td>
<td>-596,000</td>
</tr>
<tr>
<td>Budget available to complete projects</td>
<td>$572,000</td>
</tr>
<tr>
<td>Estimated capital expenditures for FY25</td>
<td>$184,000</td>
</tr>
</tbody>
</table>
APPROVAL OF 2024-25 UNIVERSITY OPERATING AND CAPITAL BUDGETS

RECOMMENDATION

That the proposed 2024-25 Operating budget and Capital expenditure projections as displayed on Schedules 1, 2, and 3 be approved.

June 11, 2024
Backup
CAPITAL PROJECT AUTHORIZATION LEVELS

- Improvements =>$3 million and/or =>5,000 gross square feet of new construction
- Acquisitions regardless of cost
- Long-term leases =>$3 million
- Authorizations encompass program, scope, total cost, and funding sources
RESOLUTION TO AMEND THE DELEGATION OF AUTHORITY 
FOR SELECTED FACULTY PERSONNEL ACTIONS

WHEREAS, faculty employment and policies are under the purview of the Board of Visitors (the Board), which holds the authority to approve all faculty appointments; and

WHEREAS, the Board, as the governing authority of the university, delegates authority to the President to oversee and to administer the policies of the Board and manage the administrative, instructional, research, and public service programs of the university; and

WHEREAS, on June 1, 2009, the Board approved a resolution titled Delegation of Authority for Selected Faculty Personnel Actions and subsequently on November 16, 2020, and June 8, 2021, amended that Delegation of Authority; and

WHEREAS, the Board’s Rector and committee chairs have encouraged streamlining processes to make the best use of technology and efficient use of personnel resources; and

WHEREAS, a recent review of the delegation of authority for faculty personnel actions resulted in the identification of potential administrative and managerial efficiencies; and

WHEREAS, amending the delegation of authority to recognize delegation of annual merit actions and recruitment, retention, and other special bonus payments is also needed to comply with the Board of Visitors Bylaws; and

WHEREAS, the Board will continue to approve a select set of appointments and compensation actions;

NOW, THEREFORE, BE IT RESOLVED, that the Board of Visitors delegates authority to the President or the President's designee for selected faculty appointment and compensation actions as described in the attachment, effective immediately; and

BE IT FURTHER RESOLVED, that the Personnel Changes Report presented quarterly to the Board for ratification contain the actions for the prior quarter with the threshold noted.

RECOMMENDATION:
That the Board of Visitors approve the Resolution to Amend the Delegation of Authority for Selected Faculty Personnel Actions, effective immediately.

June 11, 2024
The amended delegation of authority to the president or the president’s designee for routine and modest salary adjustments and selected new appointments allows the Board of Visitors (the Board) to focus on high-level appointments and compensation; appointment and promotion of tenure-track or continued appointment-track faculty members who have permanent status with the institution; salary adjustments with more significant financial impact; deferred compensation; and appointment and compensation packages for athletic personnel.

The Board would retain approval (or confirmation/ratification) of the following faculty-related personnel actions:

**Appointment/Promotion Actions:**
- Appointments of Provost and Vice Presidents
- Appointments of instructional and research faculty members on the tenure-track or continued appointment track confirmed in quarterly Personnel Changes Report
- Appointments with tenure considered by the Academic, Research, and Student Affairs Committee and approved by the full Board
- Salaries of faculty appointments with tenure confirmed in the quarterly Personnel Changes Report based on their effective or start date
- Appointments of faculty-ranked athletic personnel above a threshold* salary level confirmed in quarterly Personnel Changes Report
- All bonuses of faculty-ranked athletic personnel confirmed in the quarterly Personnel Changes Report
- Appointments of administrative and professional faculty hired above a threshold* salary level prorated for type of appointment (e.g. 9-, 10-, or 11- month) if not a 12-month appointment confirmed in the quarterly Personnel Changes Report
- Appointments to distinguished or endowed professorships: individual resolutions considered by the Academic, Research, and Student Affairs Committee and approved by the full Board
- Appointments to emeritus/a status: individual resolutions considered by the Academic, Research, and Student Affairs Committee and approved by the full Board
- Award of tenure or continued appointment and/or promotions in rank as identified in the faculty compensation plan confirmed in the Promotion, Tenure and Continued Appointment Program Report approved at the June Board meeting
Compensation Actions:

- Overall faculty compensation plan approved at the June Board meeting, including authorization of annual merit process.
- Annual merit adjustments for all faculty members approved at appropriate Board meeting based on timing determined by state.
- Compensation packages for athletic director and head coaches confirmed annually as an addendum to the quarterly Personnel Changes Report.
- Off-cycle salary adjustments greater than or equal to 20% for all regular faculty members that result in a salary at or above a threshold* salary level prorated for type of appointment (e.g. 9-, 10-, or 11-month) if not a 12-month appointment confirmed in the quarterly Personnel Changes Report.
- Deferred compensation.
- Special payments for recruitment or separation.
- Decrease in salary for disciplinary action.

Through such delegation, the Board does not receive the following actions as part of the quarterly Personnel Changes Report:

- Changes in employment status that do NOT involve any salary action, such as "regular" to "restricted" or conversion from staff to faculty;
- Salary adjustments made in accordance with Board-approved compensation plans, existing policies, and/or standard formulas:
  - Academic-year to calendar-year conversions and the reverse.
  - Research extended appointments.
  - Change in percent employment.
  - Addition or deletion of extension unit coordinator supplement.
  - Overseas allowance.
  - Increase for completing advanced degree.
- Off-cycle salary adjustments less than 20%;
- Off-cycle salary adjustments for faculty below threshold* salary level prorated for type of appointment (e.g. 9-, 10-, or 11-month) if not a 12-month appointment;
- New appointments and salary adjustments for faculty members on restricted contracts, such as research faculty;
- New appointments of non-tenure-track instructional faculty, or administrative and professional faculty below threshold* salary level; and
- Special payments for recruitment or retention consistent with Policy 4005, Exceptional Recruitment and Retention Incentive Options Policy.

*Salary Threshold: The initial threshold for salary actions is $125,000 for a 12-month appointment in 2020. The threshold will be evaluated over time and adjusted and approved by the Board of Visitors as needed to reflect state and university-wide compensation.
increases. The current threshold will be noted in each quarterly Personnel Changes Report brought to the Board of Visitors for approval.
RESOLUTION TO AMEND THE DELEGATION OF AUTHORITY FOR SELECTED FACULTY PERSONNEL ACTIONS

AMY SEBRING, EXECUTIVE VICE PRESIDENT AND CHIEF OPERATING OFFICER

June 11, 2024
Background: Delegation of Authority

• The *Delegation of Authority for Selected Faculty Personnel Actions* delegates routine compensation acts to the president, including:
  
  • Off-cycle salary actions below a specific threshold and adjustment percentage; and
  
  • Those made in accordance with existing policies and/or standard formulas.
Proposed Amendments to the Delegation of Authority

- Delegates the implementation of Board-approved faculty compensation plans

- Conforms with new Policy 4005, Exceptional Recruitment and Retention Incentive Options Policy
  - Recognizes moving and relocation stipends as one-time bonuses consistent with 2018 changes in tax code
  - Establishes administrative process for providing recruitment and retention bonuses with bonuses

- Authorizes the university to evaluate and adjust the threshold for salary actions based on merit/market changes included in quarterly Personnel Changes Report
Approval of Resolution to Amend the Delegation of Authority for Selected Faculty Personnel Actions

RECOMMENDATION:
That the Board of Visitors approve the Resolution to Amend the Delegation of Authority for Selected Faculty Personnel Actions, effective immediately.

June 11, 2024
2024-25 Faculty Compensation Plan

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

April 24, 2024

As the university develops the annual Faculty Compensation Plan, it continues to use historical guidance provided by the commonwealth\(^1\) and the university’s Faculty Handbook. This faculty compensation plan defines the qualification criteria for faculty, provides guidance on the compensation process for faculty, and requires Board of Visitors’ approval.

The university’s 2024-25 Faculty Compensation Plan covers:

1. the 2024-25 pay structure;
2. the promotion and tenure process;
3. the annual evaluation and salary adjustment process for teaching and research faculty (T&R) and administrative/professional (A/P) faculty; and
4. salary adjustments within the evaluation period.

This faculty compensation plan is only for faculty positions. The compensation plan for staff is administered separately by the university administration in accordance with the Board of Visitors’ approval of the university’s Management Agreement, effective July 1, 2006, as well as guidance from the commonwealth and the state’s Department of Human Resource Management.

Virginia Tech Salary Average and Benchmark Ranking for T&R Faculty

For strategic planning purposes, the university has established a metric goal of reaching the 50\(^{th}\) percentile of the Top 20 Land Grant universities in the nation as ranked by the Wall Street Journal/Times Higher Education World University Rankings. The university’s actual salary average as compared to the Top 20 Land Grant group can be seen in the table below. The university’s competitive positioning among this group for Fall 2023 will be computed once the Integrated Postsecondary Education Data System (IPEDS) data becomes available.

<table>
<thead>
<tr>
<th>Top 20 Land Grant Group</th>
<th>Fall 2022</th>
<th>Fall 2023*</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>50(^{th}) percentile (excl. VT)</td>
<td>$119,260</td>
<td>N/A</td>
<td>-</td>
</tr>
<tr>
<td>VT Average Salary</td>
<td>$115,498</td>
<td>$123,858</td>
<td>7.24%</td>
</tr>
<tr>
<td>VT Rank</td>
<td>14 of 20</td>
<td>N/A</td>
<td>-</td>
</tr>
<tr>
<td>VT Percentile</td>
<td>37(^{th})</td>
<td>N/A</td>
<td>-</td>
</tr>
</tbody>
</table>

*IPEDS peer salary data for Fall 2023 is not yet available.

Attachment A provides a list of the university’s peer group and the comparative salary averages for Fall 2022.

Although peer salary data is not yet available for Fall 2023, Virginia Tech’s salary average was $123,858. This overall average was 7.24% more than the Fall 2022 salary average. Within this overall average:

- **Continuing faculty**: 1,757 T&R faculty were a part of both the Fall 2022 and Fall 2023 averages and had an average salary of $125,956, an increase of 8.0% over the prior year.
- **Departing faculty**: 182 T&R faculty who were a part of the Fall 2022 average did not subsequently appear in the Fall 2023 average and had an average salary of $104,862.
- **New faculty**: 274 T&R faculty were a part of the Fall 2023 average who were not included in the Fall 2022 average and had an average salary of $110,405.

**2024-25 Faculty Pay Structure**

Consistent with traditional commonwealth guidance, a pay structure for T&R faculty for 2024-25 is presented in Attachment B. This plan is derived from the 2023-24 approved plan and incorporates the estimated impact of the planned merit program on entrance rates for 2024-25. The attachment also displays the normal entrance rate for each faculty category along with the change from the approved compensation rate for each rank, along with the distribution of faculty across the ranks. T&R faculty entering salaries will vary based on faculty discipline.

**Promotion, Tenure, and Continued Appointment**

Promotion to a higher rank and appointment with tenure may be granted to faculty members on a regular faculty appointment who have demonstrated outstanding accomplishments in an appropriate combination of learning, discovery, and engagement. A current curriculum vitae together with student and peer evaluations of teaching, reprints of publications, evaluations by external reviewers from the same or a related field, and other similar documents comprise a dossier which furnishes the principal basis for promotion and tenure decisions. Faculty members being considered for either promotion or the awarding of tenure will have their dossiers reviewed at three levels:

- by a departmental committee and the head or chair;
- by a college committee and the dean; and
- by a university committee and the Provost.

Each candidate for promotion or tenure will be evaluated in the light of the tripartite mission of the university: learning, discovery, and engagement. Although not all candidates can be expected to have equal levels of commitment or equal responsibilities in each of these missions, a high level of general competence is expected in recognition
of the need for flexibility in the future establishment of priorities in academic programs. Beyond that basic foundation of competence, decisions related to tenure or promotion to associate professor will require evidence of excellence in at least one area.

The university’s mission and commitment as a major research institution requires high accomplishment for promotion to professor. Faculty members must demonstrate a high level of competence in an appropriate combination of instruction, outreach, and professional activities relevant to their assignment. Because of the university’s mission and commitment as a major research institution, successful candidates for the rank of professor must demonstrate excellence in research, scholarship, or creative achievement, as appropriate for the candidate’s discipline and assignment. Promotion to the rank of professor is contingent upon national or international recognition as an outstanding scholar and educator.

In addition to the rank promotions within the faculty categories described below, faculty may be promoted to ranks within other faculty categories, as appropriate (for example, an Instructor may be promoted to a rank within the Professor of Practice or Collegiate Faculty categories).

The Faculty Handbook provides detailed policies and procedures for the departmental evaluation, the college evaluation, and the university evaluation.

Members of the Library faculty and Cooperative Extension faculty not holding appointments in a collegiate department may be considered for continued appointment or for promotion in faculty rank in recognition of appropriate professional accomplishments. Candidates for promotion or continued appointment will be reviewed at two levels: first by the University Libraries or Extension promotion and continued appointment committee and Dean of University Libraries or Director of Virginia Cooperative Extension, and second by the University Promotion and Continued Appointment Committee and the Provost.

The following raises are recommended for promotions to:

<table>
<thead>
<tr>
<th>Rank</th>
<th>Raise</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor</td>
<td>$10,000</td>
</tr>
<tr>
<td>Associate Professor</td>
<td>7,000</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>5,000</td>
</tr>
</tbody>
</table>

For academic-year faculty members who have Research Extended Appointments (10-, 11-, or 12-month appointments funded by sponsored projects) with salaries adjusted in accordance with formulas in Policy 6200 – Policy on Research Extended Appointments, or for those who have a limited-term appointment as department head or other administrator, the stipend is adjusted by the same conversion rate to preserve its value when the faculty member returns to the academic-year base appointment.
**Clinical Faculty**

The clinical faculty track provides for long-term, full-time or part-time faculty appointments to individuals whose primary responsibilities are instruction and/or service in a clinical setting, such as veterinary medicine. Tenure cannot be earned in these ranks, and time spent in one of these ranks is not applicable toward probationary tenure-track faculty service. There are four non-tenure-track clinical ranks beginning with Clinical Instructor. Those clinical faculty members with outstanding performance may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

The following raises are recommended for promotions to:

- **Clinical Professor**
  -  $10,000
- **Clinical Associate Professor**
  -  $7,000
- **Clinical Assistant Professor**
  -  $5,000

**Collegiate Faculty**

The collegiate professor series provides for short- or long-term, full- or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. There are three non-tenure-track collegiate professor ranks, beginning with Collegiate Assistant Professor. Tenure will not be awarded at any of these ranks and service at these ranks is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position. Collegiate faculty members with a record of significant scholarly and/or professional achievement may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

- **Collegiate Professor**
  -  $10,000
- **Collegiate Associate Professor**
  -  $7,000
- **Collegiate Assistant Professor**
  -  $5,000

**Professor of Practice**

The professor of practice series provides for short- or long-term, full- or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. There are three non-tenure-track professor of practice ranks, beginning with Assistant Professor of Practice. Tenure will not be awarded at any of these ranks and all service at one of these ranks will be excluded from the probationary period should the faculty member later be appointed to a tenure-track position. Professor of practice faculty members with a record of outstanding performance
may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

<table>
<thead>
<tr>
<th>Rank</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor of Practice</td>
<td>$10,000</td>
</tr>
<tr>
<td>Associate Professor of Practice</td>
<td>7,000</td>
</tr>
<tr>
<td>Assistant Professor of Practice</td>
<td>5,000</td>
</tr>
</tbody>
</table>

**Instructors**

The instructor track provides for full- and part-time appointments to individuals whose primary responsibilities are to the undergraduate instructional program. Tenure will not be awarded at any of these ranks and all service at any instructor rank will be excluded from the probationary period should the faculty member later be appointed to a tenure track position. There are three ranks in the series: Instructor, Advanced Instructor, and Senior Instructor. Those faculty members with outstanding performance may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

The following raises are recommended for promotions to:

<table>
<thead>
<tr>
<th>Rank</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Instructor</td>
<td>$7,000</td>
</tr>
<tr>
<td>Advanced Instructor</td>
<td>5,000</td>
</tr>
</tbody>
</table>

**Extension Agents**

There are three ranks for extension agents: Associate Extension Agent, Extension Agent, and Senior Extension Agent. Criteria for promotion in rank include educational preparation, performance, and professionalism. The Director of Cooperative Extension makes a recommendation to the Provost based on an evaluation of the candidate’s dossier and recommendations of the Peer Review Committees, District Director, and Associate Directors of Cooperative Extension.

The following raises are recommended for promotions within Cooperative Extension:

<table>
<thead>
<tr>
<th>Rank</th>
<th>Salary</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Extension Agent</td>
<td>$7,000</td>
</tr>
<tr>
<td>Extension Agent</td>
<td>5,000</td>
</tr>
</tbody>
</table>

**Extension Specialists**

There are three ranks for extension specialists: Associate Extension Specialist, Extension Specialist, and Senior Extension Specialist. Extension faculty may or may not hold an appointment in an academic college. They are, nonetheless, subject to high professional standards in the dissemination of knowledge through the Virginia Cooperative Extension programs and in the planning and delivery of educational programs and programs of assistance to industries and local governmental agencies. Recommendations for
promotion in rank are made to the Provost based on an evaluation of the candidate’s dossier and recommendations of the Promotion Review Committee and Department Head and/or District Director.

The following raises are recommended for promotions to:

<table>
<thead>
<tr>
<th>Position</th>
<th>Raise</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Extension Specialist</td>
<td>$7,000</td>
</tr>
<tr>
<td>Extension Specialist</td>
<td>5,000</td>
</tr>
</tbody>
</table>

Virginia Tech Carilion School of Medicine Faculty

Faculty members of the Virginia Tech Carilion School of Medicine are of two types: faculty employed by the university or faculty employed by affiliate entities (in most cases Carilion Clinic). At all times, regardless of employer, faculty members providing instruction, academic support, or performing academic duties or roles as a Virginia Tech Carilion School of Medicine faculty member are governed by Virginia Tech’s policies and procedures. In the Virginia Tech Carilion School of Medicine, tenure-to-title is granted at the discretion of the school without any right to, interest in, or expectation of any compensation or guarantee for compensation or future employment and is granted only in the Virginia Tech Carilion School of Medicine to individuals who are not employed by Virginia Tech. Tenure-to-title is recognition of a faculty member’s significant accomplishments in teaching, clinical care (if relevant), scholarship, and service to the school.

The tenure-to-title and/or promotion in rank dossier is reviewed at three levels: (1) by an appropriately charged departmental committee and the department head or chair, (2) by an appropriately charged college-level committee and the dean, (3) and by the Provost. The department head or chair and dean make separate recommendations to the subsequent review levels. The Provost reviews college and dean recommendations and makes recommendations to the President. The Board of Visitors grants final approval.

**Annual Evaluation and Salary Adjustments**

**Teaching and Research Faculty**

An evaluation of every faculty member’s professional performance is held each year. All persons holding non-temporary faculty appointments are asked to prepare a report at the end of each academic year (or other appropriate 12-month period) citing their instructional activities, creative scholarship, and other professional activities and recognitions during the year. Salary recommendations are based upon performance documented in these annual reports, which are reviewed by departmental personnel committees in some cases, by the department head or chair, and the dean.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the department head or chair and are reviewed by the
The dean then provides the salary adjustment recommendations for review by university leadership prior to submission to President or designee.

Administrative/Professional Faculty

The Administrative/Professional Faculty are comprised of Senior Administrators and Managers and Professionals. Senior Administrators perform work directly related to management of the educational and general (E&G) activities of the institution at least 50 percent or more of their contractual time, and typically serve in executive leadership roles such as vice president, dean, director, and assistant or associate vice president or dean. Managers have responsibility for supervision and evaluation of a significant number of staff and/or professional faculty, and budgetary responsibility for their unit or a substantive program. Professionals provide direct service to students, other university constituencies, or clients external to the university as part of the university’s missions of learning, discovery, and engagement. Professionals include, but are not limited to, extension agents, librarians, coaches, physicians, lawyers, engineers, architects, student or academic affairs professionals, development officers, specialists in public relations, human resources, information technology, and finance.

Evaluations are based upon standards set by the supervisor with the participation of the faculty member and relate closely to the duties inherent in the functional title and job description of the position. Annually set expectations become one of the important criteria for judging professional job performance in the subsequent year. In addition to maintaining a high level of performance in carrying out their job-related duties and responsibilities, senior administrators, managers, and professionals are expected to participate in and provide leadership of departmental, divisional, or university-wide committees, special university-wide assignments, or similar activity on behalf of important university priorities.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the supervisor and are reviewed as appropriate by the department head, dean, and vice president. The dean or vice president provides salary adjustment recommendations for approval by university leadership prior to being considered by the President or designee.

Research Faculty

Research faculty are those with the titles of research associate, senior research associate, postdoctoral associate, research scientist, senior research scientist, research assistant professor, research associate professor, research professor, project associate, senior project associate, or project director. Research faculty appointments are intended to promote and expedite the research activities of the university. Tenure cannot be earned in these ranks and service is not applicable toward probationary faculty service. Each research faculty member is evaluated and given a merit adjustment on the same schedule for evaluations and raise recommendations as the other faculty groups. Salary
adjustments are based on merit; they are not automatic. An annual performance review by the principal investigator and/or department head becomes part of the basis for salary adjustments. Recommendations for salary adjustments originate with the supervisor (usually the principal investigator or the department head or chair) and are reviewed, as appropriate, by the department head or chair, dean, and vice president for research and innovation. At the university level, the dean or vice president reviews the salary adjustment with university leadership prior to being considered by the President or designee.

**Other Salary Adjustments**

Faculty salary adjustments are normally reviewed and approved in two phases: adjustments for promotion are recommended at the June meeting and compensation programs are planned in the university budget process and in compensation plans developed in congruence with any applicable state compensation program.

In addition to this process, it is sometimes necessary to adjust the salaries of specific faculty members at other times during the fiscal year. These adjustments are primarily for changes in duties and responsibilities, special temporary assignments, retention or other exceptional needs, and faculty selected for a different position as part of a search. Adjustments on the anniversary date of appointment for a restricted faculty member may also be approved in lieu of the normal merit process.

To recognize continued educational attainment, faculty members may receive a base salary adjustment of up to $3,000 for completion of the doctorate effective upon official certification by the degree-granting institution that all requirements have been met for award of the degree.

By a separate resolution, the Board has delegated authority to the President, or designee for various employment and salary adjustments. The President, Provost, and Chief Operating Officer are authorized to administer the faculty compensation plan during the year and act upon requests for salary adjustments. The President has issued a set of guidelines establishing the parameters for approval of special salary adjustments. The quarterly Personnel Changes Report will reflect those actions of strategic importance to the institution not otherwise delegated through separate resolution.

**Faculty Research Incentive Plan**

During 2011-12, a university workgroup developed a university savings program by incentivizing faculty research activities. This effort resulted in the Board’s creation of a Faculty Research Incentive Program (FRIP) that has similarities to programs at peer institutions. This plan was implemented in 2012-13 and will be continued in 2024-25.

The goal of the FRIP is to provide an incentive for principal or co-principal investigators to secure additional competitively awarded, externally sponsored activities. Through the
leveraging of appropriately charged time to competitive grants and contracts, research
time that is funded by departments or colleges can be reduced, resulting in salary savings
that can be used to both support the incentive program as well as to support academic
initiatives.

One-time research incentive payments are made from department or college salary
savings and are based on a minimum savings threshold that is applied equitably within
departments or colleges. Faculty must apply in advance to be considered for the program.
Research incentive payments must be approved by the department head or chair, the
dean, and the vice president for research and innovation (or the appropriate
administrators based on reporting structure); all disapprovals must also be reviewed by
each management level. When salary savings result in a reduction in faculty assignments,
those salary savings are excluded from the program.

**Update on 2023-24 Faculty Compensation Plan**

Consistent with the biennial budget approved by the Governor and General Assembly,
the Board of Visitors approves an average three-percent faculty merit increase for
teaching, research, administrative and professional faculty, effective on the July 1, 2024
paycheck, with salary increases being implemented differentially based on individual
performance. The President, or designee, shall implement the results of the merit
program within the parameters specified in the final state Appropriation Act and the
university’s Faculty Compensation Plan. A summary of the results of this process will be
shared with the Board at its next regularly scheduled meeting following full
implementation of the plan.

**Other 2024-25 Compensation Actions**

To maintain and improve upon the university’s standing relative to the 50th percentile of
the Top 20 Land Grant peers, the higher levels of competing offers offered to key faculty,
and to minimize the high cost of turnover, the university will continue to explore
opportunities to improve the competitiveness of Virginia Tech faculty compensation.

In addition to the merit program outlined previously, the university may also elect to create
a supplemental pool to achieve certain targeted salary compensation or retention needs.
For example, in some years the university has worked to address issues such as salary
compression and equity needs. For 2024-25, such changes may result from one or more
of the following processes:

- The university establishes a special pool of funds to address salary for faculty who
  have achieved national distinction in their field. The funding will only be used to make
  adjustments based on evaluations of specific circumstances surrounding individual
  faculty members. As such, these adjustments would not be available to all faculty
members and may occur at any time during the year, subject to approval by the President or designee.

- The President may use a special pool of funds to adjust individual salary recommendations made by the vice presidents and deans when he determines that a different adjustment is warranted.

**RECOMMENDATION:**

That the proposed 2024-25 Faculty Compensation Plan be approved.

June 11, 2024
# VIRGINIA TECH
### T&R Faculty Peer Salary Benchmarking

**Fall 2022**

Top 20 Land Grants Ranked in THE 2023 World Ranking*

<table>
<thead>
<tr>
<th>Institution</th>
<th>Average T&amp;R Salary (1)</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>University of California-Davis</td>
<td>$151,148</td>
<td>1</td>
</tr>
<tr>
<td>University of Maryland-College Park</td>
<td>135,474</td>
<td>2</td>
</tr>
<tr>
<td>University of Wisconsin Madison</td>
<td>128,426</td>
<td>3</td>
</tr>
<tr>
<td>University of Delaware</td>
<td>124,021</td>
<td>4</td>
</tr>
<tr>
<td>Ohio State University – Main Campus</td>
<td>122,952</td>
<td>5</td>
</tr>
<tr>
<td>University of Illinois at Urbana-Champaign</td>
<td>122,060</td>
<td>6</td>
</tr>
<tr>
<td>Purdue University – Main Campus</td>
<td>121,387</td>
<td>7</td>
</tr>
<tr>
<td>University of Hawaii Manoa</td>
<td>120,613</td>
<td>8</td>
</tr>
<tr>
<td>Texas A&amp;M College Station</td>
<td>119,976</td>
<td>9</td>
</tr>
<tr>
<td>Rutgers University – New Brunswick</td>
<td>119,251</td>
<td>10</td>
</tr>
<tr>
<td>University of Minnesota – Twin Cities</td>
<td>116,648</td>
<td>11</td>
</tr>
<tr>
<td>University of Massachusetts Amherst</td>
<td>116,437</td>
<td>12</td>
</tr>
<tr>
<td>Michigan State University</td>
<td>116,379</td>
<td>13</td>
</tr>
<tr>
<td><strong>Virginia Tech</strong></td>
<td><strong>115,498</strong></td>
<td>14</td>
</tr>
<tr>
<td>University of Florida</td>
<td>114,823</td>
<td>15</td>
</tr>
<tr>
<td>University of Tennessee-Knoxville</td>
<td>108,731</td>
<td>16</td>
</tr>
<tr>
<td>North Carolina State University</td>
<td>108,689</td>
<td>17</td>
</tr>
<tr>
<td>University of Arizona</td>
<td>102,736</td>
<td>18</td>
</tr>
<tr>
<td>Washington State University</td>
<td>96,937</td>
<td>19</td>
</tr>
<tr>
<td>Pennsylvania State University – Main Campus</td>
<td>**</td>
<td>20</td>
</tr>
</tbody>
</table>

**Virginia Tech Actual Salary Average Percentile**

37th

---

(1) Average salary of peer institutions is based on the latest available data (Fall 2022) from IPEDS
*Excludes University of California-Berkeley and Cornell University
**Pennsylvania State University data under review with IPEDs
### 2024-25 T&R Faculty Proposed Pay Structure

**Virginia Tech**

<table>
<thead>
<tr>
<th>Rank</th>
<th>Minimum Entering Salary for 9-Month T&amp;R Faculty</th>
<th>Minimum Entering Salary for 12-Month T&amp;R Faculty</th>
<th>Distribution of Faculty by Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor</td>
<td>$109,605</td>
<td>$133,679</td>
<td>29%</td>
</tr>
<tr>
<td>Associate Professor</td>
<td>83,829</td>
<td>101,578</td>
<td>28%</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>69,348</td>
<td>84,352</td>
<td>29%</td>
</tr>
<tr>
<td>Senior Instructor</td>
<td>59,477</td>
<td>77,390</td>
<td>2%</td>
</tr>
<tr>
<td>Advanced Instructor</td>
<td>53,027</td>
<td>68,792</td>
<td>2%</td>
</tr>
<tr>
<td>Instructor</td>
<td>48,602</td>
<td>63,236</td>
<td>9%</td>
</tr>
</tbody>
</table>
APPROVAL OF 2024-25 FACULTY COMPENSATION PLAN

TIM HODGE, ASSOCIATE VICE PRESIDENT FOR BUDGET AND FINANCIAL PLANNING

JUNE 11, 2024
2024-25 Faculty Compensation Plan

- Benchmarking
- Promotion and tenure process
- Annual evaluation and salary adjustments
BENCHMARKING – TOP 20 LAND GRANTS

Strategic Objective: Achieve progress in competitive faculty salaries toward the 50th percentile of Research (R1) Public Land-Grant Universities by 2024

Source: IPEDS, VT Consolidated Salary Average. Pennsylvania State University data under review with IPEDs

*IPEDS peer salary data for Fall 2023 is not yet available.
Promotion to a higher rank and appointment with tenure may be granted to faculty members on a regular faculty appointment who have demonstrated outstanding accomplishments.

Each candidate for promotion or tenure will be evaluated in light of the tripartite mission of the university: instruction, research, and outreach.

Update P&T promotion amounts, first update since 2015

<table>
<thead>
<tr>
<th>Faculty Rank</th>
<th>Prior</th>
<th>Proposed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor</td>
<td>$7,000</td>
<td>$10,000</td>
</tr>
<tr>
<td>Associate Professor</td>
<td>$5,000</td>
<td>$7,000</td>
</tr>
<tr>
<td>Assistant Professor</td>
<td>$3,000</td>
<td>$5,000</td>
</tr>
</tbody>
</table>
ANNUAL EVALUATION

- **Faculty Activity Report (FAR)**
  - Teaching/Research Faculty: instructional activities, creative scholarship, outreach and service contributions, and other professional activities and recognitions
  - Administrative/Professional Faculty: activities in support of their specific job goals as they relate to the broader mission of the university

- All non-temporary faculty members must submit a FAR annually

- FAR serves as the basis of faculty evaluations conducted annually by departments

- This process also serves as part of the basis for awarding merit adjustments
State budget included 3.0% increase (July 1, 2024 paycheck)

Merit recommendations were developed during the spring of 2023, consistent with the proposed 2023-24 Faculty Compensation Plan

The university was in the final stages of that process as these board materials were being developed

President, or designee, shall implement the results of the merit program within the parameters specified in the final state Appropriation Act and the university’s Faculty Compensation Plan

A summary of the results of this process will be shared with the Board at its next regularly scheduled meeting following full implementation of the plan
2024-25 FACULTY COMPENSATION PLAN

RECOMMENDATION

That the proposed 2024-25 Faculty Compensation Plan be approved.

June 11, 2024
Background

Graduate students who serve as graduate assistants while pursuing their master’s or doctoral degrees provide valuable contributions to the university. Many teach undergraduate classes while others support faculty in scholarly and sponsored research activities. To be competitive in the recruitment and retention of high-quality graduate students, it is important that the university provide compensation packages that are comparable to those offered by peer institutions. The key components of the total compensation package are a stipend, stipend supplement, tuition assistance, and health insurance benefit.

Graduate Stipends

Across the campus, graduate assistants have a variety of responsibilities. To recognize the differences in services performed by these students, the university created a stipend scale that defines ranges of stipend amounts, providing academic and support units flexibility in compensating graduate assistants. The levels within the stipend table have been adjusted over the years to remain competitive.

To respond to increasing competition for quality graduate students among peer institutions, the university took several actions beginning in the Fall 2023 to put Virginia Tech in a competitive position relative to peers. The result of those actions was the adoption of a graduate stipend scale with 50 pay ranges (Attachment). These ranges provide flexibility in situations where a defined level of resources does not exactly match one of the existing steps and allow for an actual stipend to be established within the range of a step. In an effort to increase minimum stipend levels, starting in 2023-24, the university restricted steps 1-11 to be used only in instances where a student was receiving a fellowship that in combination with a graduate stipend in that range would result in a total of at least the minimum stipend level of Step 12.

Graduate Stipend Supplement

In 2011-12, an academic year supplement was added to the graduate stipend scale to help offset university assigned costs such as the Health Services fee. As a result, the graduate assistantship stipend is currently comprised of two components: 1) a base stipend and 2) a fixed supplement. For administrative efficiency and processing, the two components are combined into the traditional stipend scale. As of Spring 2024, the current average monthly stipend for full-time graduate assistants is $2,713 per month, which falls within step 15 of the 2023-24 stipend scale. This represents a 11.6 percent increase over the prior year.
Tuition Assistance

The tuition remission program for graduate students on assistantship includes the remission of tuition, mandatory Educational and General (E&G) fees (excluding the state assigned Commonwealth Capital and Equipment Fee), and non-executive graduate program fees. Tuition remission benefits are provided on a per-semester basis for the duration of the contracted period. The tuition program is financed by four sources including: the General Fund appropriation for graduate student financial assistance, a tuition remission program in the university’s E&G budget, tuition payments planned in the budgets of externally sponsored grants and contracts, and private funds.

In the case of an early termination of an assistantship, tuition remission benefits are prorated to align with the portion of the semester completed, as displayed on Table 1.

<table>
<thead>
<tr>
<th>Number of Weeks into Semester When Assistantship is Terminated</th>
<th>Student Tuition &amp; E&amp;G Fee Obligation</th>
<th>Department Tuition &amp; E&amp;G Fee Obligation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than four</td>
<td>100%</td>
<td>0%</td>
</tr>
<tr>
<td>Four through less than eight</td>
<td>75%</td>
<td>25%</td>
</tr>
<tr>
<td>Eight through less than twelve</td>
<td>50%</td>
<td>50%</td>
</tr>
<tr>
<td>Twelve through less than sixteen</td>
<td>25%</td>
<td>75%</td>
</tr>
<tr>
<td>Sixteen or more (full semester)</td>
<td>0%</td>
<td>100%</td>
</tr>
</tbody>
</table>

Health Insurance

In 2001-02, the university implemented a health insurance program for graduate students on assistantship as a part of the Board-approved graduate student compensation package to enhance the university’s competitiveness in recruiting highly qualified graduate students. The program was designed to help full-time graduate students receiving a full or partial assistantship, including graduate research assistants, graduate teaching assistants, and other graduate assistants, offset a portion of the cost of health insurance premiums. The university has worked with graduate student representatives over time to improve the overall mix and value of benefits provided through the health insurance program, including action by the Board of Visitors in 2018-19 to approve a health insurance subsidy rate of 88 percent for graduate assistants, matching the university’s share of employee health insurance programs.

In order to qualify for the health insurance subsidy, full-time graduate students must have a 50 percent or greater appointment. Graduate students also have the option to decline coverage if they choose. In 2023-24 the university provided 88 percent of the $3,573 annual premium cost of the plan to 2,859 graduate students. The plan provided for a $450 in-network annual deductible, $6,250 per-person out-of-pocket maximum, $25 co-pay for in-network doctors’ visits, and an unlimited maximum benefit. Students can obtain optional dental benefits for an additional cost.
Recent Events

Because the university desires to ensure a competitive compensation package, the Provost and Dean of the Graduate School, at the behest of the President, convened a task force to develop proposals for improving graduate student compensation. In February 2023, this group released its Report of the Graduate Assistantship Support Task Force with eight recommendations designed to help graduate assistants meet the cost of living where they reside and complete their academic programs.

Based on this work, the board approved raising the minimum stipend from Step 1 to Step 12 for 2023-24. Lower steps were reserved for stipend and fellowship combinations that resulted in total monthly support of at least the new minimum.

For 2024-25 the university recommends raising the minimum stipend from Step 12 to Step 14, with steps 1-13 reserved for stipend and fellowship combinations that result in total monthly support of at least the new minimum.

Proposed Graduate Assistant Compensation Plan for 2024-25

The university proposes the following actions:

- Establishment of a minimum stipend of Step 14 for assistantships, with steps 1-13 requiring the combination of a fellowship and stipend that results in total support of at least the minimum stipend level.

- Advancing the stipend scale for 2024-25 by implementing a 3.0 percent increase effective August 10, 2024, consistent with the statewide employee compensation program.

- Maintaining the current academic year Stipend Supplement of $458 to help mitigate university assigned costs.

- Continuing the university share of the graduate assistant health insurance coverage at 88 percent, based upon the university's current estimate the cost of graduate student insurance coverage.

- Continuing the graduate tuition remission program.

RECOMMENDATION

That the graduate assistant compensation program for 2024-25 be approved.

June 11, 2024
### 2024-25 Full-Time Graduate Monthly Stipend Compensation (Revised)

**Effective August 10, 2024**

<table>
<thead>
<tr>
<th>Step</th>
<th>Monthly Base</th>
<th>AY Supplement</th>
<th>Monthly</th>
<th>9 Month Equivalent</th>
<th>12 Month Equivalent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1 *</td>
<td>$1,801</td>
<td>$1,801</td>
<td>$1,852</td>
<td>$16,668</td>
<td>$22,224</td>
</tr>
<tr>
<td>Step 2 *</td>
<td>1,802</td>
<td>1,872</td>
<td>1,923</td>
<td>16,777</td>
<td>22,236</td>
</tr>
<tr>
<td>Step 3 *</td>
<td>1,873</td>
<td>1,940</td>
<td>1,991</td>
<td>17,316</td>
<td>23,088</td>
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<td>2,336</td>
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<td>5,088</td>
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<td>5,155</td>
<td>45,801</td>
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<td>5,173</td>
<td>5,224</td>
<td>46,404</td>
<td>61,680</td>
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</table>

* Steps 1-13 require supplemental fellowship. Total stipend and fellowship must meet minimum of Step 14. Exceptions necessary to accommodate external funding agency requirements are subject to approval by the Dean of Graduate Education.
APPROVAL OF 2024-25 COMPENSATION FOR GRADUATE ASSISTANTS

TIM HODGE, ASSOCIATE VICE PRESIDENT FOR BUDGET AND FINANCIAL PLANNING

JUNE 11, 2024
Graduate Assistants provide valuable services to the university, including teaching and support of scholarly and research activities.

Successful recruitment of high-quality graduate students requires the university to offer competitive compensation packages.

A full assistantship equals 20 hours of work per week.

The university has 3,806 graduate assistantships in FY24.

Components of Compensation Package

1. Stipend (including a Stipend Supplement)
2. Tuition and E&G Fees
3. Health insurance benefit
As of April 2024, the current average monthly stipend for full-time graduate assistants is $2,713 per month.

This is comprised of:

1. Base stipend
2. $458 academic year stipend supplement to help offset university costs

50 step scale provides a range of stipend amounts reflective of appointment and levels of responsibility.

In FY24, steps 1-11 may not be utilized without a fellowship supplement to obtain a combined level of at least step 12.
COMPENSATION COMPONENTS
Tuition Remission

Valuable benefit for those on assistantship.

Tuition remission funds:
1. Tuition (E&G)
2. Mandatory E&G fees
3. College E&G program fees (not executive program fees)

Does not fund the auxiliary Comprehensive fee

Funded through sources appropriate to the nature of the work
Teaching - state and E&G
Research - external grants & contracts
COMPENSATION COMPONENTS

Health Insurance

- The university funds 88 percent of the $3,573 annual premium cost (FY24).
  - Subsidy mirrors the university share of employee health insurance program
- To qualify, full-time graduate students must have a 50 percent or greater assistantship appointment.
- Graduate students may decline coverage.
## University Compensation Package

<table>
<thead>
<tr>
<th>Item</th>
<th>In-State</th>
<th>Out-of-State</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stipend, 9-month (average, includes supplement)</td>
<td>$24,417</td>
<td>$24,417</td>
</tr>
<tr>
<td>Tuition Remission (includes E&amp;G fees)</td>
<td>15,427</td>
<td>31,499</td>
</tr>
<tr>
<td>Program Fee Remission (depends on program)</td>
<td>0 - 2,000</td>
<td>0 - 2,000</td>
</tr>
<tr>
<td>Immigration Services Fee Remission</td>
<td>0</td>
<td>0 - 550</td>
</tr>
<tr>
<td>Health Insurance Subsidy (88%)</td>
<td>3,144</td>
<td>3,144</td>
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<tr>
<td><strong>Total Graduate Assistantship Compensation</strong></td>
<td><strong>$42,988</strong></td>
<td><strong>$44,988</strong></td>
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</table>

## Student Costs

<table>
<thead>
<tr>
<th>Item</th>
<th>In-State</th>
<th>Out-of-State</th>
</tr>
</thead>
<tbody>
<tr>
<td>Comprehensive Fee</td>
<td>$2,585</td>
<td>$2,585</td>
</tr>
<tr>
<td>Commonwealth Facility &amp; Equipment Fee</td>
<td>0</td>
<td>604</td>
</tr>
<tr>
<td>Health Insurance (12%)</td>
<td>429</td>
<td>429</td>
</tr>
<tr>
<td><strong>Total Student Costs</strong></td>
<td><strong>$3,014</strong></td>
<td><strong>$3,618</strong></td>
</tr>
</tbody>
</table>
RECOMMENDATION

Stipend -

- 3.0 percent stipend increase effective August 10, 2024
  - This would result in an average academic year stipend increase of $732
- Establish minimum stipend of Step 14 of $2,682 (from step 12)
- Maintain academic year stipend supplement of $458

Tuition Remission - continue program

Heath Insurance - continue 88% subsidy
APPROVAL OF 2024-25 COMPENSATION FOR GRADUATE ASSISTANTS

RECOMMENDATION

That the graduate assistant compensation program for 2024-25 be approved.

June 11, 2024
To recognize the largely independent nature of doctoral students who have completed two years of course work, passed their preliminary exam, and are engaged in research and dissertation efforts, the Board of Visitors approved a lower tuition rate for research and dissertation hours for students in this status in March 2021. Candidacy Status is conferred upon application to and certification by the Graduate School that a student has completed two years of course work and passed their preliminary exam. This rate does not apply to executive graduate programs. The current candidacy status rates are discounted 10% from standard graduate tuition as affirmed by the Board of Visitors at the April 2024 meeting.

A reduced tuition rate for Candidacy Status is intended to incentivize time-to-degree for Ph.D. students, minimize the cost to research programs, and better position the university within the competitive market. As an incentive to graduate, the rate is available for a maximum of two years for full-time students and the rate will be automatically applied in the next semester after the Graduate School affirms a student’s candidacy status. To further advance these goals and support the Virginia Tech Global Distinction initiative, the university proposes to increase the candidacy status discount from 10% to 15% for 2024-25. The university is planning for this change in the 2024-25 budget development process.

The 2024-25 proposed Candidacy Status academic year rates are below.

<table>
<thead>
<tr>
<th>Discount from standard Graduate Tuition Rates</th>
<th>2024-25 BOV Approved Candidacy Status Rate</th>
<th>2024-25 Proposed Candidacy Status Rate</th>
<th>Rate Decrease</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate Resident Blacksburg</td>
<td>$14,191</td>
<td>$13,403</td>
<td>($788)</td>
</tr>
<tr>
<td>Graduate Nonresident Blacksburg</td>
<td>28,521</td>
<td>26,937</td>
<td>(1,584)</td>
</tr>
<tr>
<td>Graduate Resident Extended Campus</td>
<td>15,701</td>
<td>14,829</td>
<td>(872)</td>
</tr>
<tr>
<td>Graduate Nonresident Extended Campus</td>
<td>30,526</td>
<td>28,830</td>
<td>(1,696)</td>
</tr>
</tbody>
</table>

**RECOMMENDATION:**

The board approves the Graduate Candidacy tuition rate as recommended effective Fall semester 2024.

June 11, 2024
APPROVAL OF GRADUATE CANDIDACY STATUS
TUITION RATE

TIM HODGE, ASSOCIATE VICE PRESIDENT FOR BUDGET AND FINANCIAL PLANNING

June 11, 2024
PH.D. CANDIDACY STATUS BACKGROUND

Students who have completed two years of course work and passed their preliminary exam

Current Candidacy Status Discount is 10% from Regular graduate tuition rates approved by BOV in March 2021

Reduced rate for Candidacy Status is intended to:

- Incentivize time-to-degree
- Minimize the cost to research programs
- Better position the university within the competitive market

Recognizes largely independent nature of these students’ work

Supports Global Distinction initiative
# Ph.D. Candidacy Status Tuition Rate Recommendation

Increase discount from 10% to 15%
Automatically apply in next semester

<table>
<thead>
<tr>
<th>Discount</th>
<th>2024-25 BOV Approved Candidacy Status Rate</th>
<th>2024-25 Proposed Candidacy Status Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>-10%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Graduate Blacksburg Rates</td>
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<td></td>
</tr>
<tr>
<td>Resident</td>
<td>$14,191</td>
<td>$13,403</td>
</tr>
<tr>
<td>Nonresident</td>
<td>28,521</td>
<td>26,937</td>
</tr>
<tr>
<td>Graduate Extended Campus Rates</td>
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<td></td>
</tr>
<tr>
<td>Resident</td>
<td>$15,701</td>
<td>$14,829</td>
</tr>
<tr>
<td>Nonresident</td>
<td>30,526</td>
<td>28,830</td>
</tr>
</tbody>
</table>

Resident rates are for residents of Virginia, and nonresident rates are for non-Virginia residents.

3
The board approves the Graduate Candidacy Tuition Rate as recommended effective Fall semester 2024

June 11, 2024
Financial Performance Report – Operating and Capital

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

July 1, 2023 to March 31, 2024

The Financial Performance Report of income and expenditures is prepared from two sources: actual accounting data as recorded at Virginia Tech and the annual budgets which are also recorded in the university accounting system. The actual accounting data reflect the modified accrual basis of accounting, which recognizes revenues when received rather than when earned and commitments to buy goods and services as encumbrances when obligated and as an expenditure when paid. The Original Budget was approved by the Board of Visitors at the June meeting. The Adjusted Budget reflects adjustments to incorporate actual experience or changes made during the fiscal year. These changes are presented for review and approval by the Finance and Resource Management Committee and the Board of Visitors through this report. Where adjustments impact appropriations at the state level, the university coordinates with the Department of Planning and Budget to ensure appropriations are reflected accurately.

The July to March 2023-24 budget (year-to-date) is prepared from historical data which reflects trends in expenditures from previous years as well as known changes in timing. Differences between the actual income and expenditures and the year-to-date budget may occur for a variety of reasons, such as an accelerated or delayed flow of documents through the accounting system, a change in spending patterns at the college level, or increases in revenues for a particular area.

Quarterly budget estimates are prepared to provide an intermediate measure of income and expenditures. Actual revenues and expenditures may vary from the budget estimates. The projected year-end budgets are, however, the final measure of operating budget performance.

Capital program performance is measured against the Total Project Budget. The Total Project Budget amounts reflect appropriations and authorizations established by the State or Board of Visitors for each capital project. These amounts are recorded in the accounting system with revenue and expenditure budgets upon the effective date of each project, which normally occurs on July 1 or after Board of Visitors approval. Under restructuring authorities, university administration may make minor changes to a Total Project Budget, within ten percent, and the revised Total Project Budget is shown on the subsequent quarterly report. The Cumulative Expenditures reflect lifetime-to-date activity until a project is complete, and a project's life spans multiple fiscal years. The Annual Budgets are estimates of expected activity for a 12-month portion of the life of a project. Spending pace for a project may periodically slow or accelerate during a year for a variety of reasons including shifts in construction start dates, contractor performance or billing cycles, and supply chain disruptions. The Annual Budgets are revised accordingly and shown on the subsequent quarterly report.

**RECOMMENDATION:**

That the report of income and expenditures for the University Division and the Cooperative Extension/Agricultural Experiment Station Division for the period of July 1, 2023 through March 31, 2024 and the Capital Outlay report be approved.

June 11, 2024
## OPERATING BUDGET

**2023-24**

**Dollars in Thousands**

### Annual Budget for 2023-24

<table>
<thead>
<tr>
<th>July 1, 2023 to March 31, 2024</th>
<th>Original</th>
<th>Adjusted</th>
<th>Change</th>
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<tbody>
<tr>
<td>Educational and General Programs</td>
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<td></td>
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<tr>
<td>University Division</td>
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<tr>
<td>Revenues</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>General Fund</td>
<td>$180,129</td>
<td>$180,129</td>
<td>$0</td>
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<tr>
<td>Tuition and Fees</td>
<td>697,717</td>
<td>695,308</td>
<td>2,409 (1)</td>
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<tr>
<td>All Other Income</td>
<td>44,628</td>
<td>43,676</td>
<td>952</td>
</tr>
<tr>
<td>Total Revenues</td>
<td>$922,474</td>
<td>$919,113</td>
<td>$3,361</td>
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</table>

| Expenses |          |          |        |
| Academic Programs | -467,222 | -469,774 | $2,552 | -639,788 | -644,280 | $-4,492 |
| Support Programs | -303,718 | -305,628 | 1,910 | -367,845 | -375,523 | -7,678 |
| Total Expenses | -770,940 | -775,402 | $4,462 | -1,007,633 | -1,019,803 | $-12,170 (6,7,8) |

| NET | $151,534 | $143,711 | $7,823 | $0 | $0 | $0 |

| CE/AES Division |          |          |        |
| Revenues |          |          |        |
| General Fund | $64,492 | $64,492 | $0 | $89,041 | $89,693 | $652 (9) |
| Federal Appropriation | 11,683 | 13,058 | -1,375 (2) | 15,646 | 17,261 | 1,615 (10) |
| All Other Income | 1,568 | 1,593 | -25 | 1,129 | 1,634 | 505 |
| Total Revenues | $77,743 | $79,143 | $-1,400 | $105,816 | $108,588 | $2,772 (9,10) |

| Expenses |          |          |        |
| Academic Programs | -80,065 | -79,550 | $-515 | -96,144 | -98,874 | $-2,730 |
| Support Programs | -3,278 | -3,948 | 670 | -9,672 | -9,714 | -42 |
| Total Expenses | -83,343 | -83,498 | $155 | -105,816 | -108,588 | $-2,772 (9,10) |

| NET | $-5,600 | $-4,355 | $-1,245 | $0 | $0 | $0 |

| Auxiliary Enterprises |          |          |        |
| Revenues | $398,770 | $392,331 | $6,439 (3) | $452,724 | $458,028 | $5,304 (3) |
| Expenses | -313,388 | -327,623 | 14,235 (3) | -435,098 | -465,130 | -30,032 (3) |
| Reserve Drawdown/(Deposit) | -85,382 | -64,708 | -20,674 (3) | -17,626 | 7,102 | 24,728 (3) |
| NET | $0 | $0 | $0 | $0 | $0 | $0 |

| Sponsored Programs |          |          |        |
| Revenues | $370,998 | $332,322 | $38,676 (4) | $435,303 | $436,453 | $1,150 (11) |
| Expenses | -346,870 | -327,347 | $-19,523 (4) | -435,303 | -436,453 | $-1,150 (11) |
| Reserve Drawdown/(Deposit) | -24,128 | -4,975 | -19,153 | 0 | 0 | 0 |
| NET | $0 | $0 | $0 | $0 | $0 | $0 |

| Student Financial Assistance |          |          |        |
| Revenues | $40,379 | $42,256 | $-1,877 | $50,857 | $61,533 | $10,676 (12) |
| Expenses | -48,145 | -50,351 | 2,206 | -50,857 | -61,533 | $-10,676 (12) |
| Reserve Drawdown/(Deposit) | 0 | 0 | 0 | 0 | 0 | 0 |
| NET | $-7,766 | $-8,095 | $329 | $0 | $0 | $0 |

| All Other Programs * |          |          |        |
| Revenue | $19,617 | $19,750 | $-133 | $16,181 | $25,748 | $9,567 (13) |
| Expenses | -20,861 | -23,426 | 2,565 (5) | -16,181 | -25,877 | -9,696 (13) |
| Reserve Drawdown/(Deposit) | 1,244 | 3,676 | -2,432 (5) | 0 | 129 | 129 (13) |
| NET | $0 | $0 | $0 | $0 | $0 | $0 |

| Total University |          |          |        |
| Revenues | $1,829,981 | $1,784,915 | $45,066 | $2,068,514 | $2,110,153 | $41,639 |
| Expenses | -1,583,547 | -1,587,647 | 4,100 | -2,050,888 | -2,117,384 | $-66,496 |
| Reserve Drawdown/(Deposit) | -108,266 | -66,007 | -42,259 | -17,626 | 7,231 | 24,857 |
| NET | $138,168 | $131,261 | $6,907 | $0 | $0 | $0 |

* All Other Programs include federal work study, surplus property, local funds, and unique military activities.

Presentation Date: June 11, 2024
OPERATING BUDGET

1. Tuition and fee revenues are higher than projected due to timing of tuition revenues.

2. The budget for federal revenue is established to match projected allotments from the federal government that are expected to be drawn down during the state fiscal year. All expenses in federal programs are covered by drawdowns of federal revenue up to allotted amounts. Federal revenue in the Cooperative Extension and Agriculture Experiment Station Division is lower than projected due to the timing of federal drawdowns.

3. Quarterly and projected annual variances are explained in the Auxiliary Enterprises section of this report.

4. Historical patterns have been used to develop a measure of the revenue and expenditure activity for Sponsored Programs. Actual revenues and expenses may vary from the budget estimates because projects are initiated and concluded on an individual basis without regard to fiscal year. Total sponsored research revenues are higher than projected. The sponsored research expenditures are 14.2% higher than March 31, 2023.

5. Expenses for All Other Programs were lower than projected due to timing of expenditures and lower than projected Surplus Property activity.

6. As a result of the 2023 Special Session, the annual budget for the University Division General Fund was increased $9.2 million for general fund support of affordability, and increased $2.4 million for the general fund share of salary and fringe benefit rate changes. The budget was decreased $1.1 million for the TTIP Masters Enrollment adjustment from the Commonwealth. The corresponding expenditure budgets have been adjusted accordingly.

7. The annual budget for Tuition & Fees was increased $0.3 million for tuition and fee budget finalization, $3.1 million to supplant nongeneral fund scholarships with general funds allocated for Student Financial Aid in the 2023 Special Session of the General Assembly, increased $2.7 million for Fall 2023 enrollment variances, driven primarily by higher than projected graduate enrollments, and increased $2.1 million during Spring 2024. The budget was decreased $8.2 million for BOV approved tuition rebate scholarship, $0.8 million for lower than projected summer and winter activity. The corresponding expenditure budgets have been adjusted accordingly.

8. The University Division All Other Programs Income budget was increased $1.0 million for VTCSOM Partnership share of FY23 carryover and $1.3 million for Veterinary Medicine self-generated earmarks. The corresponding expenditure budgets have been adjusted accordingly.

9. The annual budget for Cooperative Extension/Agriculture Experiment State Division General Fund increased $0.7 million for the general fund share of the state compensation program and fringe benefits. The corresponding expenditure budgets have been adjusted accordingly.

10. The federal revenue budget in the Cooperative Extension/Agricultural Experiments Station Division has been increased $1.6 million for the carryover of federal funds to FY24. The corresponding expenditure budgets have been adjusted accordingly.

11. As a result of the 2023 Special Session of the General Assembly, Sponsored projects revenue and expenditure budgets were increased $1.0 million for Transcranial Magnetic Stimulation research at the Fralin Biomedical Research Institute and $0.15 million for Virginia Racing Revenue activity.

12. The student financial assistance revenue and expenditure budgets were decreased $0.6 million for the finalization of the Student Financial Aid budget, increased $3.1 million for General Fund Support of resident undergraduate students from the 2023 Special Session of the General Assembly, increased $0.4 million for the SCHEV Pell Initiative, increased $8.2 million for the tuition rebate scholarship, decreased $0.5 million to support tuition mitigation, and increased $0.1 million due to higher than projected VMSDEP stipend activity.

13. The projected annual budgets for All Other Programs were increased $0.7 million to finalize budgets and $0.3 million for increased Surplus Property business volume. The projected annual revenue budgets were increased $8.6 million for an approved capital plan. The projected annual expense budgets were increased $1.2 million for outstanding 2022-23 commitments that were initiated but not completed before June 30, 2023 and increased $7.5 million for the approved capital plan.
## AUXILIARY ENTERPRISES

### Dollars in Thousands

<table>
<thead>
<tr>
<th>Residence and Dining Halls *</th>
<th>Actual</th>
<th>Budget</th>
<th>Change</th>
<th>Original</th>
<th>Adjusted</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revenues</td>
<td>$157,070</td>
<td>$155,255</td>
<td>$1,815</td>
<td>$173,675</td>
<td>$167,902</td>
<td>$-5,773</td>
</tr>
<tr>
<td>Expenses</td>
<td>-103,824</td>
<td>-110,266</td>
<td>6,442</td>
<td>-170,541</td>
<td>-172,045</td>
<td>-1,504</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>-53,246</td>
<td>-44,989</td>
<td>-8,257</td>
<td>-3,134</td>
<td>4,143</td>
<td>7,277</td>
</tr>
<tr>
<td>Net</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

| Parking and Transportation   |        |        |        |          |          |        |
| Revenues                     | $23,702 | $22,598 | $1,104 | $24,284 | $25,013 | $729   |
| Expenses                     | -12,333 | -13,574 | 1,241  | -21,544 | -24,448 | -2,904 |
| Reserve Drawdown/(Deposit)   | -11,369 | -9,024  | -2,345 | -2,740   | -565     | 2,175  |
| Net                          | $0      | $0      | $0     | $0       | $0       | $0     |

| Telecommunications Services  |        |        |        |          |          |        |
| Revenues                     | $21,409 | $21,336 | $73    | $27,790 | $26,726 | $-1,064 |
| Expenses                     | -21,282 | -22,502 | 1,220  | -26,055 | -31,679 | -5,624 |
| Reserve Drawdown/(Deposit)   | -127    | 1,166   | -1,293 | -1,735   | 4,953    | 6,688  |
| Net                          | $0      | $0      | $0     | $0       | $0       | $0     |

| University Services * **     |        |        |        |          |          |        |
| Revenues                     | $65,466 | $64,283 | $1,183 | $65,062 | $64,813 | $-249  |
| Expenses                     | -51,358 | -55,705 | 4,347  | -63,538 | -72,545 | -9,007 |
| Reserve Drawdown/(Deposit)   | -14,108 | -8,578  | -5,530 | -1,524   | 7,732    | 9,256  |
| Net                          | $0      | $0      | $0     | $0       | $0       | $0     |

| Intercollegiate Athletics *  |        |        |        |          |          |        |
| Revenues                     | $77,470 | $77,393 | $77    | $95,786 | $104,263 | $8,477 |
| Expenses                     | -78,957 | -78,810 | 147    | -91,010 | -95,891 | -4,881 |
| Reserve Drawdown/(Deposit)   | 1,487   | 1,417   | 70     | -4,776   | -8,372   | -3,596 |
| Net                          | $0      | $0      | $0     | $0       | $0       | $0     |

| Electric Service *           |        |        |        |          |          |        |
| Revenues                     | $32,939 | $32,237 | $702   | $43,740 | $44,892 | $1,152 |
| Expenses                     | -32,533 | -32,499 | -34    | -41670  | -44,490 | -2820  |
| Reserve Drawdown/(Deposit)   | -406    | 262     | -668   | -2,070   | -402     | 1668   |
| Net                          | $0      | $0      | $0     | $0       | $0       | $0     |

| Inn at VT/Skelton Conf. Center|        |        |        |          |          |        |
| Revenues                     | $10,298 | $10,008 | $290   | $11,840 | $13,500 | $1,660 |
| Expenses                     | -9,399  | -10,150 | 751    | -12,905 | -14,090 | -1,185 |
| Reserve Drawdown/(Deposit)   | -899    | 142     | -1,041 | 1,065    | 590      | -475   |
| Net                          | $0      | $0      | $0     | $0       | $0       | $0     |

| Other Enterprise Functions ***|        |        |        |          |          |        |
| Revenues                     | $10,416 | $9,221  | $1,195 | $10,547 | $10,919 | $372   |
| Expenses                     | -3,702  | -4,117  | 415    | -7,835  | -9,942  | -2,107 |
| Reserve Drawdown/(Deposit)   | -6,714  | -5,104  | -1,610 | -2,712   | -977     | 1,735  |
| Net                          | $0      | $0      | $0     | $0       | $0       | $0     |

| TOTAL AUXILIARIES            |        |        |        |          |          |        |
| Revenues                     | $398,770 | $392,331 | $6,439 | $452,724 | $458,028 | $5,304 |
| Expenses                     | -313,388 | -327,623 | 14,235 | -435,098 | -465,130 | -30,032 |
| Reserve Drawdown/(Deposit)   | -85,382 | -64,708 | -20,674 | -17,626 | 7,102    | 24,728 |
| Net                          | $0      | $0      | $0     | $0       | $0       | $0     |

* University Systems include Dormitory and Dining Hall System, University Services System, Intercollegiate Athletics System, and Electric Service System. The Systems were created to provide assurance to bond holders that system revenues are pledged for the payment of debt service and to allow for dedicated repair and replacement that are not subject to liens of any creditor of the university.

** University Services System includes Career & Professional Development, Center for the Arts, Health Services, Recreational Sports, Student Engagement & Campus Life, Cultural and Community Centers, Student Organizations, and the VT Rescue Squad.

*** Other Enterprise Functions include Golf Course, Hokie Passport, Library Café, Library Photocopy, Licensing & Trademark, Little Hokie Hangout, New Student and Family Programs, Pouring Rights, Software Sales, Tailor Shop and Clearing Accounts.
AUXILIARY ENTERPRISE BUDGET

1. Revenues in Residence and Dining Halls are higher than projected due to higher than budgeted self-generated revenues primarily from interest earnings and summer conferences. Expenses are lower than projected due to timing of expenses.

2. Revenues in Parking and Transportation Services are higher than projected due to higher than budgeted permit and self-generated revenues. Expenses are lower than projected due to timing of expenses and Fleet Services vehicle replacement purchases.

3. Expenses in Telecommunications Services are lower than projected due to timing of network telecommunication projects.

4. Revenues for the University Services System are higher than projected due to higher than budgeted self-generated revenues. Expenses are lower than projected due to timing of operating expenses.

5. Revenue for Other Enterprise Functions are higher than projected due to increased business volume in New Student Programs and Software Sales.

6. The annual revenue and expense budgets for Residence and Dining Halls were decreased $5.5 million for lower dining business volume and timing of Dining’s Perry Place at Hitt Hall opening. The revenue budget was decreased for lower Steger Center enrollment and expense budget increased for higher operating costs.

7. In June 2023, the annual revenue, expense, and reserve budgets for Auxiliary Enterprises were adjusted for technical alignments and finalization of fixed cost estimates. In addition, the annual revenue, expense, and reserve budgets for Auxiliary Enterprises were adjusted for the state 2% compensation program and board approved comprehensive fee and room and board reductions.

8. The annual expense budget for Auxiliary Enterprises was increased $25.3 million for outstanding 2022-23 commitments and projects that were initiated but not completed before June 30, 2023.

<table>
<thead>
<tr>
<th>Auxiliary Enterprise</th>
<th>Outstanding Commitments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Residence and Dining Halls</td>
<td>$5,312,170</td>
</tr>
<tr>
<td>Parking and Transportation</td>
<td>1,390,856</td>
</tr>
<tr>
<td>Telecommunication Services</td>
<td>5,524,952</td>
</tr>
<tr>
<td>University Services System</td>
<td>8,262,740</td>
</tr>
<tr>
<td>Intercollegiate Athletics</td>
<td>2,409,303</td>
</tr>
<tr>
<td>Electric Service</td>
<td>1,618,422</td>
</tr>
<tr>
<td>Inn at Virginia Tech</td>
<td>(295,630)</td>
</tr>
<tr>
<td>Other Enterprise Functions</td>
<td>1,105,743</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>$25,328,556</strong></td>
</tr>
</tbody>
</table>
9. The annual expense and reserve budgets for Parking and Transportation Services were increased $2.0 million for transportation equipment maintenance. The revenue and expense budgets were increased $0.6 million for higher business volume.

10. The annual revenue and reserve budgets for Telecommunications Services were decreased by $1.0 million for timing of the residential network refresh project.

11. The annual expense and reserve budgets for the University Services System were increased $0.4 million for Rescue Squad ambulance replacement.

12. The annual revenue, expense, and reserve budgets for Intercollegiate Athletics were increased $1.1 million to accommodate the football team’s participation in the Military Bowl. The annual revenue budget was increased $2.7 million for insurance proceeds, $3.0 million for IMG Learfield, $0.6 million for ACC network revenues, $0.6 million for interest earnings, $0.4 million for women’s basketball revenues, $0.2 million for supplemental NCAA distribution, and $0.2 million private support for sports operating projects. The annual expense budget was increased $0.6 million for the board approved football locker room capital project, $1.0 million for stadium chairback seat agreement, $1.3 million for team travel and sports operating expenses, $0.8 million for recruiting, and $0.9 million for facility maintenance and supplies, partially offset by a decrease of $3.4 million for alignment of scholarship expenses to private fundraising.

13. The annual revenue, expense, and reserve budgets for The Inn at Virginia Tech and Skelton Conference Center were increased $0.5 million for higher than projected business volume.

14. The annual expense and reserve budgets for Other Enterprise Functions were increased for scholarship expenses in Licensing and Trademark and $0.3 million for privately funded Corps of Cadets physical training area.
<table>
<thead>
<tr>
<th>Design Phase</th>
<th>FISCAL YEAR ACTIVITY</th>
<th>TOTAL PROJECT BUDGET</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mitchell Hall (Replace Randolph Hall)</td>
<td>Jul 2020 $12,500 $6,756 $264,453 $11,000 $16,828 $292,281 $14,298</td>
<td>(1)</td>
</tr>
<tr>
<td>Planning: New Business Building</td>
<td>Apr 2022 800 54 - 8,000 - 8,000 954</td>
<td>(2)</td>
</tr>
<tr>
<td>Expand VT-C SOM &amp; Fralin Biomedical Research Institute</td>
<td>Sept 2023 200 7 - 9,000 - 9,000 7</td>
<td>(3)</td>
</tr>
<tr>
<td>Improve Center Woods Complex</td>
<td>Nov 2023 100 14 550 296 - 846 14</td>
<td>(4)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Construction Phase</th>
<th>FISCAL YEAR ACTIVITY</th>
<th>TOTAL PROJECT BUDGET</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maintenance Reserve</td>
<td>On-going 18,728 14,182 39,175 - - 39,175 28,752</td>
<td>(5)</td>
</tr>
<tr>
<td>Innovation Campus - Academic Building</td>
<td>Jul 2019 75,000 75,241 177,164 80,336 44,636 302,136 222,734</td>
<td>(7)</td>
</tr>
<tr>
<td>Hitt Hall</td>
<td>Apr 2017 22,000 26,761 31,657 53,343 85,000 64,646</td>
<td>(8)</td>
</tr>
<tr>
<td>Undergraduate Science Laboratory Building</td>
<td>Jul 2017 28,000 25,874 39,012 - - 39,012 25,000</td>
<td>(9)</td>
</tr>
<tr>
<td>Building Envelope Improvements</td>
<td>Aug 2022 3,500 3,372 - 13,580 33,620 47,200 4,786</td>
<td>(10)</td>
</tr>
<tr>
<td>Life, Health, Safety, Accessibility, &amp; Code Compliance</td>
<td>Jul 2020 3,000 3,733 10,400 - - 10,400 5,618</td>
<td>(11)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Equipment and Special Initiatives</th>
<th>FISCAL YEAR ACTIVITY</th>
<th>TOTAL PROJECT BUDGET</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fralin Biomedical Research Institute Equipment</td>
<td>Jul 2020 6,730 6,250 18,133 - - 18,133 17,653</td>
<td>(12)</td>
</tr>
<tr>
<td>Equipment for Workforce Development</td>
<td>May 2021 2,000 750 34,444 - - 34,444 11,268</td>
<td>(13)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Close-Out</th>
<th>FISCAL YEAR ACTIVITY</th>
<th>TOTAL PROJECT BUDGET</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data and Decision Science Building</td>
<td>Jul 2019 5,522 3,546 69,000 - 10,000 79,000 77,024</td>
<td>(14)</td>
</tr>
<tr>
<td>Commerce Street Property Acquisition</td>
<td>Jun 2023 555 - - 555 - - 555</td>
<td>(15)</td>
</tr>
<tr>
<td>Corps Leadership and Military Science Building</td>
<td>Jun 2019 6,000 7,181 - 21,000 30,400 52,000 49,445</td>
<td>(16)</td>
</tr>
</tbody>
</table>

**TOTAL EDUCATIONAL AND GENERAL PROJECTS**

<table>
<thead>
<tr>
<th></th>
<th>ANNUAL BUDGET</th>
<th>YTD EXPENDITURES</th>
<th>STATE SUPPORT</th>
<th>NONGENERAL FUND</th>
<th>REVENUE BOND</th>
<th>TOTAL BUDGET</th>
<th>CUMULATIVE EXPENDITURES</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$187,975</td>
<td>$175,744</td>
<td>$735,494</td>
<td>$176,024</td>
<td>$188,827</td>
<td>$1,100,345</td>
<td>$579,753</td>
</tr>
</tbody>
</table>

Presentation Date: June 11, 2024
1. Mitchell Hall (Replace Randolph Hall): This state authorized project will replace Randolph Hall with an approximately 285,500 gross square foot building to accommodate engineering instruction and research. The Guaranteed Maximum Price (GMP–1) contract for demolition and early site work is underway. Construction is expected to start June 2024. Pricing for the remainder of the project, GMP-2, is expected fall 2024.

2. Planning: New Business Building: This planning project will design a 92,300 gross square foot building for the Pamplin College of Business. Preliminary designs are underway.

3. Planning: Expand Virginia Tech-Carilion School of Medicine and Fralin Biomedical Research Institute: This planning project will design a new 100,000 gross square foot building for the VT-Carilion School of Medicine and renovate 51,000 gross square feet of the existing School of Medicine and Research Institute building to be backfilled by the Fralin Biomedical Research Institute. Procurement for AE services is in process.

4. Planning: Improve Center Woods Complex: This planning project will demolish 12 existing facilities that have surpassed their useful life and construct 25,900 GSF of research laboratories and research support spaces, equipment storage and offices. Schematic designs are underway.

5. Maintenance Reserve: The total project budget reflects $3.27 million of carryforward from fiscal year 2022, $17.462 million appropriated for fiscal year 2023, and $18.446 million of new appropriations from the State for fiscal year 2024. The annual budget amount reflects the pace necessary to meet the state’s 85 percent spending performance requirement.

6. Livestock & Poultry Research Facilities, Phase I: The new swine, poultry, beef, and equine facilities are substantially complete. A supplement from the State to support the fifth and final bid package has been received. Construction of three hay barns and the demolition of swine facilities past their useful life are underway with substantial completion expected December 2025.

7. Innovation Campus – Academic Building: This project will construct a new 300,000 gross square foot academic building with below grade parking as part of the Innovation Campus in Alexandria Virginia. Private funds have been infused into the project and the corresponding amount of debt has been reduced. Construction is underway with substantial completion expected January 2025. Resources are available and sufficient to cover accelerated cash flows, and the project remains within the authorized total budget.

8. Hitt Hall: This project houses an expansion of Myers-Lawson School of Construction, a new dining center, and other academic spaces. Construction of the new 101,000 gross square foot building is underway with substantial completion expected June 2024. Resources are available and sufficient to cover accelerated cash flows, and the project remains within the authorized total budget.

9. Undergraduate Science Laboratory Building: Construction of the 102,000 gross square foot science instruction laboratory building is underway with completion July 2024.

10. Building Envelope Improvements: This project will complete envelope improvements to four buildings.

11. Life, Health, Safety, Accessibility, & Code Compliance: This project improves accessible pedestrian connectors in the North Academic District. The installation of two enclosed elevator towers for an accessible pathway from the ground level of Derring Hall to Burchard Plaza is under construction. Accessible pathway improvements from Perry Street to the Drillfield are under construction with substantial completion expected April 2025. Design for accessible pathways between Patton Hall, Holden Hall, and McBryde Hall are underway. Resources are available and sufficient to cover accelerated cash flows, and the project remains within the authorized total budget.

12. Fralin Biomedical Research Institute Equipment: This funding supports the procurement and installation of specialized research equipment for the Fralin Biomedical Research Institute.

13. Equipment for Workforce Development: This project supports space and equipment purchases for the instructional programs associated with the Tech Talent Investment Program.

14. Data and Decision Sciences Building: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.

15. Commerce Street Property Acquisition: The property acquisition supports the university’s research enterprise growth. The project will be closed and financial accounts terminated when the transaction is finalized.

16. Corps Leadership and Military Science Building: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid. Resources are available and sufficient to cover accelerated cash flows, and the project remains within the authorized total budget.
### Auxiliary Enterprise Projects

#### Design Phase
- **Planning: Student Life Village, Phase I**
  - Initiated: Jun 2023
  - Annual Budget: $800
  - YTD Expenditures: $104
  - State Support: $-
  - Nongeneral Fund: $19,500
  - Revenue Bond: $-
  - Cumulative Expenditures: $19,500
  - Cumulative Expenditures: $104

#### Construction Phase
- **Maintenance Reserve**
  - On-going
  - Budget: $12,000
  - Expenditures: $11,239
  - Support: $-
  - Nongeneral Fund: $12,000
  - Revenue Bond: $-
  - Budget: $12,000
  - Total: $11,239

- **Student Wellness Improvements**
  - Initiated: Jun 2016
  - Budget: $22,500
  - Expenditures: $31,573
  - Support: $-
  - Nongeneral Fund: $25,574
  - Revenue Bond: $44,426
  - Budget: $70,000
  - Total: $46,860

- **Football Locker Room Renovations**
  - Initiated: Jun 2023
  - Budget: $3,000
  - Expenditures: $1,222
  - Support: $-
  - Nongeneral Fund: $5,900
  - Revenue Bond: $-
  - Budget: $5,900
  - Total: $1,222

#### Close-Out
- **Dietrick Renovation**
  - Initiated: Sept 2017
  - Budget: $242
  - Expenditures: $219
  - Support: $-
  - Nongeneral Fund: $9,129
  - Revenue Bond: $-
  - Budget: $9,129
  - Total: $9,105

- **New Upper Quad Residence Hall**
  - Initiated: Jun 2019
  - Budget: $5,000
  - Expenditures: $5,082
  - Support: $-
  - Nongeneral Fund: $16,071
  - Revenue Bond: $25,929
  - Budget: $42,000
  - Total: $39,437

- **Slusher Hall Renovation**
  - Initiated: Mar 2023
  - Budget: $5,030
  - Expenditures: $4,088
  - Support: $-
  - Nongeneral Fund: $7,500
  - Revenue Bond: $-
  - Budget: $7,500
  - Total: $6,558

#### Total Auxiliary Enterprise Projects
- **Budget**: $48,572
- **Expenditures**: $53,527
- **Support**: $-
- **Nongeneral Fund**: $95,673
- **Revenue Bond**: $70,355
- **Budget**: $166,029
- **Cumulative**: $114,526

#### Grand Total
- **Budget**: $236,547
- **Expenditures**: $229,270
- **Support**: $735,494
- **Nongeneral Fund**: $271,697
- **Revenue Bond**: $259,182
- **Budget**: $1,266,374
- **Cumulative**: $694,279

*Presentation Date: June 11, 2024*
Auxiliary Enterprise Projects

1. **Planning for Student Life Village, Phase I:** The planning project will design the first phase of the Student Live Village which includes 1,750 new beds, dining service capacity to meet approximately 4,000 transactions per day, and recreational space of approximately 23,000 gross square feet. Schematic designs and procurement of CMaR services are underway.

2. **Maintenance Reserve:** The auxiliary maintenance reserve program covers 106 assets with a total replacement value of $1.4 billion. Projects are scheduled and funded by the auxiliary enterprises. The units prepare five-year plans that outline their highest priority deferred maintenance needs. The annual budget and total project budget reflect the spending plans of the auxiliary units on maintenance reserve work scheduled for fiscal year 2024. The annual and total budgets may be adjusted during the year depending on the actual spending activities of the auxiliary units provided expenditures do not exceed the total resources encumbered for the program.

3. **Student Wellness Improvements:** This project will renovate War Memorial Hall to address program improvements, deferred maintenance, code requirements, and install air conditioning to the building. Construction is underway with substantial completion expected July 2024. Resources are available and sufficient to cover accelerated cash flows, and the project remains within the authorized total budget.

4. **Football Locker Room Renovation:** The project will renovate approximately 4,200 square feet within the Jamerson Athletic Facility to provide a state-of-the-art hydrotherapy suite and restroom and shower improvements in the player’s locker room. Construction is underway with substantial completion expected August 2024.

5. **Dietrick Renovation:** This project is complete and will be closed and financial accounts terminated when final invoices are received and paid.

6. **New Upper Quad Residence Hall:** The project is complete and will be closed and financial accounts terminated when final invoices are received and paid. Resources are available and sufficient to cover accelerated cash flows, and the project remains within the authorized total budget.

7. **Slusher Hall Renovations:** The project closed in March 2024.
FINANCIAL PERFORMANCE REPORT
July 1, 2023 – March 31, 2024

TIM HODGE, ASSOCIATE VICE PRESIDENT OF BUDGET AND FINANCIAL PLANNING
ROB MANN, ASSISTANT VICE PRESIDENT FOR CAPITAL BUDGETING AND FINANCING

June 11, 2024
Annual Budget Changes

208 E&G
- $2.1 million increase regular session tuition revenue
- $0.6 million for higher than projected Winter session enrollments
- $1.0 million increase for increased Veterinary Teaching Hospital Activity and self-generated revenue

229 E&G
- $0.5 million increase in self-generated revenues

Auxiliary Enterprises
- Athletics: $5.0 million increase comprised of IMG Learfield $3M and self-generated revenues (ACC Network $623K, interest $600K, Women’s basketball tickets $243K, Women’s basketball guarantee $150K, NCAA $183K)
SPONSORED PROGRAM EXPENDITURES

FY23 VS FY24

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Direct Expenditures</th>
<th>Indirect Expenditures</th>
<th>Other</th>
<th>Federal Pandemic Relief</th>
<th>Total</th>
</tr>
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<tbody>
<tr>
<td>1st Qtr FY23</td>
<td>$94.6</td>
<td>$102.4</td>
<td></td>
<td></td>
<td>$208.9</td>
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<td>1st Qtr FY24</td>
<td>$17.4</td>
<td>$21.1</td>
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<tr>
<td>2nd Qtr FY23</td>
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<td>$34.0</td>
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<td>2nd Qtr FY24</td>
<td>$31.2</td>
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<tr>
<td>3rd Qtr FY23</td>
<td>$254.3</td>
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<tr>
<td>3rd Qtr FY24</td>
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<td>$50.6</td>
<td>$0.0</td>
<td>$8.3</td>
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<td>4th Qtr FY23</td>
<td>$94.6</td>
<td>$102.4</td>
<td></td>
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<td>$208.9</td>
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<tr>
<td>4th Qtr FY24</td>
<td>$17.4</td>
<td>$21.1</td>
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<td>$38.5</td>
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CAPITAL PROGRAM
### CAPITAL OUTLAY TOTAL PROGRAM

<table>
<thead>
<tr>
<th></th>
<th>1st Quarter Ended</th>
<th>2nd Quarter Ended</th>
<th>3rd Quarter Ended</th>
<th>4th Quarter</th>
</tr>
</thead>
<tbody>
<tr>
<td>Design</td>
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<tr>
<td>Construction</td>
<td>9</td>
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<tr>
<td>Equipment</td>
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<tr>
<td>Closeout</td>
<td>6</td>
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<tr>
<td><strong>Total Projects</strong></td>
<td><strong>22</strong></td>
<td><strong>23</strong></td>
<td><strong>23</strong></td>
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<tr>
<td><strong>Total Budget</strong> ($ in Thousands)</td>
<td><strong>$1,259,024</strong></td>
<td><strong>$1,259,885</strong></td>
<td><strong>$1,266,374</strong></td>
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<tr>
<td><strong>Total Expenditures</strong> ($ in Thousands)</td>
<td><strong>$558,989</strong></td>
<td><strong>$620,829</strong></td>
<td><strong>$694,279</strong></td>
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</tbody>
</table>
TIMING FOR CONSTRUCTION PRICING

AUG 2024

Mitchell Hall
GMP-2

$157,200,000

DEC 2024

New Business
Building

$60,600,000

Cumulative design expenses through March 31, 2024 - $15,377,000
PROJECTS COMING ONLINE

- ADA & Code Compliance – Phase I
- Hitt Hall
- Student Wellness Improvements - War Memorial Hall Undergraduate Laboratory Building
- Football Locker Room Renovation
- Innovation Campus – Academic Building
- Livestock Haybarns

May
June
July
August
January 2025
December 2025

CALENDAR YEAR 2024

Cumulative construction expenses through March 31, 2024 - $468,412,000
APPROVAL OF YEAR-TO-DATE
FINANCIAL PERFORMANCE REPORT
July 1, 2023 – March 31, 2024

RECOMMENDATION

That the report of income and expenditures for the University Division and the Cooperative Extension/Agriculture Experiment Station Division for the period of July 1, 2023 through March 31, 2024 and the Capital Outlay report be approved.

June 11, 2024
DISCUSSION OF FUTURE AGENDA TOPICS AND CLOSING REMARKS

DAVE CALHOUN

FINANCE AND RESOURCE MANAGEMENT COMMITTEE
Open Session Agenda  
GOVERNANCE AND ADMINISTRATION COMMITTEE  
10:30am, NCB 210  
June 11, 2024  

**OPEN SESSION**

<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Reporting Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Welcome and Opening Remarks</td>
<td>Chris Petersen</td>
</tr>
<tr>
<td>2. Consent Agenda</td>
<td></td>
</tr>
<tr>
<td>a. Approval of November 5, 2024, Meeting Minutes</td>
<td>Chris Petersen</td>
</tr>
<tr>
<td>* b. Resolution to Amend the University Council Constitution</td>
<td></td>
</tr>
<tr>
<td>* c. Resolution to Approve an Appointment to the New River Valley Passenger Rail Station Authority</td>
<td></td>
</tr>
<tr>
<td>* d. Resolution for Approval of Appointment to the Roanoke Valley Broadband Authority Board</td>
<td></td>
</tr>
<tr>
<td>*# 3. Resolution to Ratify the Updated Safety and Security Committee Structure</td>
<td>Mike Mulhare</td>
</tr>
<tr>
<td>* 4. Resolution to Approve Revisions to Policy 1025 on Harassment, Discrimination and Sexual Assault and to Discontinue Policy 1026 on Title IX Sexual Harassment and Responsible Employee Reporting</td>
<td>Kelly Oaks, Katie Polidoro</td>
</tr>
<tr>
<td>* 5. Resolution to Revise the Board of Visitors Bylaws</td>
<td>Kim O’Rourke</td>
</tr>
<tr>
<td># 6. Board Self-Assessment</td>
<td>Kim O’Rourke</td>
</tr>
<tr>
<td>7. Future Agenda Items and Closing Remarks</td>
<td>Chris Petersen</td>
</tr>
</tbody>
</table>

* Requires Full Board Approval  
# Discusses Enterprise Risk Management Topic(s)  
+ Discusses Strategic Investment Priorities
Open Session Briefing Report

GOVERNANCE AND ADMINISTRATION COMMITTEE

June 11, 2024

1. **Welcome and Opening Remarks.** Chris Petersen, Chair of the Governance and Administration Committee, will welcome committee members, guests, and invited participants.

2. **Consent Agenda.** The committee will consider for approval the items listed on the consent agenda.

   a. **Minutes of the November 5, 2024, Meeting.** The committee review for approval the minutes from its November 2024 meeting.

   b. **Resolution to Amend the University Council Constitution.** The committee will review for approval amendments made to the University Council Constitution in accordance with the first-year review of the new governance structure implemented in 2022.

   c. **Resolution to Approve an Appointment to the New River Valley Passenger Rail Station Authority.** The Committee will review for approval an appointment to the New River Valley Passenger Rail Station Authority. The university is requesting approval to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as a Virginia Tech representative and member on the New River Valley Passenger Rail Station Authority Board of Directors to fill the role vacated by Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, upon his retirement from the university.

   d. **Resolution for Approval of Appointment to the Roanoke Valley Broadband Authority Board.** The Committee will review for approval an appointment to the Roanoke Valley Broadband Authority. The university is requesting approval to appoint Sharon Pitt, Vice President and Chief Information Officer, as a Virginia Tech representative and member on the Roanoke Valley Broadband Authority Board to fill the role vacated by previous Vice President and Chief Information Office, Scott Midkiff.

3. **Resolution to Ratify the Updated Safety and Security Committee Structure.** Assistant Vice President for Emergency Management, Mike Mulhare, will provide an overview of the updated Safety and Security Committee Structure for the committee to consider for approval.

* Requires Full Board Approval
# Discusses Enterprise Risk Management Topic(s)
+ Discusses Strategic Investment Priorities
4. **Resolution to Approve Revisions to Policy 1025 on Harassment, Discrimination, and Sexual Assault and to Discontinue Policy 1026 on Title IX Sexual Harassment and Responsible Employee Reporting.** Title IX Coordinator, Katie Polidoro, will brief the committee on new state regulations related to Title IX, and introduce the Resolution to Approve Revisions to Policy 1025 on Harassment, Discrimination, and Sexual Assault and to Discontinue Policy 1026 on Title IX Sexual Harassment and Responsible Employee Reporting for the committee to consider for approval.

5. **Resolution to Revise the Board of Visitors Bylaws.** Secretary to the Board, Kim O'Rourke, will review revisions of the Board of Visitors Bylaws for the committee to consider for approval.

6. **Board Self-Assessment.** Secretary to the Board, Kim O'Rourke, will provide an overview of the results from the 2024 annual board self-assessment survey.

7. **Future Agenda Items and Closing Remarks.** Chris Petersen, Chair of the Governance and Administration Committee, will discuss future agenda items and offer closing remarks.

* Requires Full Board Approval
# Discusses Enterprise Risk Management Topic(s)
+ Discusses Strategic Investment Priorities
Consent Agenda

a) Minutes of the November 5, 2023, Meeting

b) Resolution to Revise the University Council Constitution

c) Resolution to Approve Appointment to Highspeed Rail Authority

d) Resolution for Approval of Appointment to the Roanoke Valley Broadband Authority Board.
Minutes

GOVERNANCE AND ADMINISTRATION COMMITTEE

November 5, 2023

The Governance and Administration Committee of the Virginia Tech Board of Visitors held its semi-annual meeting in open session at The Inn at Virginia Tech in the Latham Ballroom, 901 Price’s Fork Road, Blacksburg, VA 24061.

Committee Members Present  Absent
L. Chris Petersen (chair)   Jeff Veatch
Nancy Dye

Other board members present were: Ed Baine (Rector), David Calhoun (Vice Rector), Carrie Chenery, Sandy Davis, Greta Harris, Anna James, and Letitia Long.

Also present at the meeting were: President Timothy Sands, Kim O'Rourke (Secretary to the Board), Janice Austin, Mac Babb, Lynsay Belshe, Eric Brooks, Lori Buchanan, LaTawnya Burleson, Brock Burroughs, Cyril Clarke, Lance Collins, Al Cooper, Corey Earles, Alisha Ebert, Kay Heidbreder, Elizabeth Hooper, Chris Kiwus, Robert Knee, Sharon Kurek, , Randy Marchany, Elizabeth McClanahan, Nancy Mecham, Joe Merola, Ken Miller, Mike Mulhare, April Myers, Justin Noble, Kelly Oaks, Mark Owczarski, Katie Polidoro, Jon Porter, Paul Richter, Amy Sebring, Brennan Shepard, Ken Smith, Will Storey, Aimee Surprenant, John Tarter, Don Taylor, Dwyn Taylor, Monecia Taylor, Jon Clark Teglas, Emily Tirrell, Mary Trigiani, Rob Viers, Tracy Vosburgh, Gwen Walker, Lisa Wilkes, and other guests.

1. Welcome and Opening Remarks. Governance and Administration Committee Chair Chris Petersen convened the meeting at 4:10 p.m. and welcomed members, guests, and invited participants.

2. Consent Agenda. The committee approved the items listed on the consent agenda:

   a. June 6, 2023, Meeting Minutes
   b. Resolution to Approve an Appointment to the New River Valley Passenger Rail Station Authority.

3. Report by the Executive Vice President and Chief Operating Officer. Executive Vice President and Chief Operating Officer Amy Sebring provided a University Operations update, highlighting the team’s focus on initiatives that enable the university’s strategic vision including Enterprise Resource Planning (ERP) modernization; development of a Greater Washington, D.C. Metro Area operational support structure; resource management and planning; and enhancing the university’s
research support infrastructure. University Operations is currently looking to switch from the long-time ERP software, Banner, in favor of a cloud-based software that can improve security and user experience, while also reducing the need for customizations. Currently, Operations is looking at various software options, but are also making updates to the current platform in use in order to maintain operations until a viable alternative is identified. University Operations is also collaborating with the Beyond Boundaries Steering Committee to ensure that the faculty, staff, and students in the Greater Washington, D.C. Metro Area have the appropriate resources and capital to thrive. The EVP also shared that the search for the university’s next vice president for information technology and chief information officer is entering its final stages and expects an announcement in the coming weeks. Virginia Cyber Range Director Dr. David Raymond was recognized for his interim leadership of the Division of Information Technology during the search process. Finally, Sebring welcomed Bob Broyden, associate vice president for campus planning and capital financing, who has agreed to serve as interim vice president for campus planning, infrastructure, and facilities while a national search for Dr. Chris Kiwus’ replacement is undertaken.

4. **Approval of the Virginia Tech Crisis and Emergency Management Plan.** Assistant Vice President for Emergency Management Michael Mulhare briefed the committee on the university’s updated comprehensive Crisis and Emergency Management Plan, which had been distributed to the entire board. Virginia Tech Emergency Management’s mission is to build, improve, and sustain university resilience, departmental readiness, and individual preparedness. To reach this goal, the department provides various preparedness and mitigation programming, as well as community outreach. Per the Code of Virginia § 23.1-804, all public institutions of higher education must review and update their Crisis and Emergency Management Plan every four years. The Virginia Tech plan covers the emergency notification system, operations center, and support functions, as well as infection disease outbreak response, communications, resource management, recovery, and victim assistance information processes and procedures. Updates and revisions made in this iteration include technical updates, eliminating redundancy, clarifying staffing and responsibilities for different departmental units, and incorporating lessons learned from the COVID-19 pandemic.

Upon hearing the presentation outlining the recent updates, the committee approved the Virginia Tech Crisis and Emergency Management Plan.

5. **Annual Clery Report.** Chief of Police and Director of Security Mac Babb presented to the committee the 2022 Clery Report. Accredited by both the Commission on Accreditation for Law Enforcement and the International Association of Campus Law Enforcement Administrators, VTPD consists of 52 sworn officers, eight security officers, seven security center representatives, and two civilian employees. The department also oversees the VT Rescue Squad which includes 44 active members, and 15 associate members. Community Outreach conducted by the department includes providing educational programming, the Residence Life Resource Officer Program, and participating in ongoing information sessions. In accordance with the
Clery Act, VTPD records and publishes crime statistics, disseminates safety information, and circulates crime and safety policies and practices. As required by the Act, the university published the annual Campus Security and Fire Safety Report for 2022 on October 1, 2023. Publishing the report requires partnerships across campus, with data being cross-checked for accuracy between contributing sources. The 2022 plan includes significant updates to the sections related to Title IX, sexual assault response and prevention, Hokie Wellness programs, and mental health. Crime statistics included in the report cover criminal offenses, Violence Against Women Act offenses, hate crimes, and weapon and alcohol arrests and referrals. Crime numbers remain relatively low at the university in most categories, but there has been a slight increase in some of the statistics since the 2021 report. However, it is difficult to determine definitively if these statistics reflect an increase in crime, as the Clery Report reflects reporting statistics, not investigations or convictions. Therefore, statistics in the report could be more reflective of an increased willingness to report crimes. Additionally, the pandemic still impacts numbers, as activity on campus is still increasing after the global shutdown. Drug-related offenses have decreased exponentially due to the marijuana law. However, the region is experiencing a high usage of prescription amphetamines, such as Adderall, with increased use of fentanyl also noted in the majority of drug encounters. In response, the university has made Narcan available in residential halls, and ensures that the rescue squad and officers carry it as well. Additionally, there is now a training program for members of the community to administer Narcan. VTPD also abides by the Good Samaritan Law and communicates this via resource officer programing in residential areas.


Virginia Tech operates under a zero-trust network model that focuses on protecting all data regardless of their physical location. By law, the university is required to report all breaches involving FERPA, PII, PCI, and export-controlled information. In the past year, there have been two breaches involving such information, one of which involved no data extraction. In addition to Virginia Tech’s own network security, the university is being affected by the security flaws of third parties, such as those experienced by the National Student Clearinghouse, Audience View, TIAA, and VRS. As a courtesy, the university still reports the breaches of third parties but makes sure to note such breaches fall under the security responsibility of the third party. The IT Security Office has conducted 17 penetration tests this year to help mitigate possible hacking incidents. The Office also deployed the effective Bug Bounty Program, in which students, faculty, and staff have tested the systems and received a stipend for identifying threats. This program led to the discovery and patching of four critical, 13 high, and 26 medium security risks. However, the program is currently on hold due to budgetary constraints. The IT Transformation effort has identified 47,599 technology resources across 128 organizations, of which 4,536 are considered high risk. Since March 1, 2023, the 24/7 Security Operations Center has been operational in partnership with Indiana University, allowing 1.5 terabytes of logs to be analyzed daily. As of September 2023, 71 percent of the endpoints identified have been secured.
IT Security Office continues to work with the Office of Audit, Risk, and Compliance to identify risks and works with distributed IT Units to ensure risks are addressed. The biggest challenges remain the risk of data exposure by internal users and third parties, the need to improve user cyber security awareness and training, and budgetary constraints.

7. **Future Agenda Items and Closing Remarks.** Chair Chris Petersen briefly discussed the committee’s future agenda items. The board’s annual self-assessment will be conducted in the spring and results reported at the June meeting. He then offered closing remarks before adjourning the meeting at 5:16 pm.
Resolution to Revise the University Council Constitution

WHEREAS, based on a three-year review by the President’s Committee on Governance, a restructuring of the university’s system of shared governance was codified in a new University Council Constitution and Bylaws, which was approved by University Council (UC Resolution 2021-22A) on March 21, 2022, and subsequently by the Board of Visitors on June 7, 2022, and became effective at the beginning of the 2022-23 academic year; and

WHEREAS, that resolution mandated a review of the new system of shared governance after the first and second years of implementation; and

WHEREAS, based on observations and experience during the first year of implementation, the attached set of recommendations is proposed to amend the University Council Constitution; and

WHEREAS, the proposed amendments to the University Council Constitution have received the requisite approvals by University Council, two-thirds of the senates, and the President of the University, and are now brought to the Board of Visitors for final approval;

NOW, THEREFORE, BE IT RESOLVED that University Council Constitution be revised as outlined in the attached document, effective immediately.

Recommendation:
To approve the resolution to revise the University Council Constitution.

June 11, 2024
Proposed Changes – UC Constitution

Article II. Purpose –

Existing:

In order for this system to function as intended, the roles and authority of its different components as presented in this document must be maintained, and participants in shared governance are expected to adhere to these statements of purpose, function, or charge. Senate and commission charges identify the areas of legislative authority and responsibility for the relevant body. These charges are not exhaustive: when questions arise regarding the relevance of the topic of a resolution to a commission or senate charge, they will be addressed to the parliamentarian and, if necessary, the University Council Cabinet. Per Article III Section 3 of the University Council Bylaws, the University Council Cabinet will review all resolutions for agreement with the commission charge. Determination of the authority of a commission to advance a resolution rests with the University Council Cabinet and the University Council.

Reason/rationale: (i) Generally, matters appropriate for policy development, revision, or discontinuance through shared governance are those that fall within the charges of the university and senate commissions as specified in the University Council Constitution; and (ii) delegating authority to the Office of the VP for Policy and Governance to approve resolution proposals that clearly fall within a commission’s charge expedites the resolution approval process and frees up the time of University Council Cabinet members to handle their other job responsibilities.

Proposed: (Reviewed by Cabinet 1/29/24 and 2/12/14)

In order for this system to function as intended, the roles and authority of its different components as presented in this document must be maintained, and participants in shared governance are expected to adhere to these statements of purpose, function, or charge. Senate and commission charges identify the areas of legislative authority and responsibility for the relevant body. These charges are not exhaustive: when questions arise regarding the relevance of the topic of a resolution to a commission or senate charge, they will be addressed to the parliamentarian and, if necessary, the University Council Cabinet. Per Article III Section 3 of the University Council Bylaws, the University Council Cabinet will review all resolutions for agreement with the commission charge. At its discretion, University Council Cabinet may delegate limited authority to the Office of the Vice President for Policy and Governance to approve resolution proposals that clearly fall within a commission’s charge, and the OVPPG will regularly inform the University Council Cabinet of all such decisions. University Council Cabinet retains veto power over all such decisions made by the Office of the Vice President for Policy and Governance; ultimate determination of the authority of a commission to advance a resolution rests with the University Council Cabinet and the University Council.

Article IV. Membership, Section 1. Composition

Reason/rationale:

(i) The Department Heads Council is reorganizing and will have a president and vice president going forward.
(ii) COIA and CEOD are the only two commissions that do not report to a senate and instead report directly to University Council. The vice president for strategic affairs and diversity is already a member of University Council and can represent the CEOD. In contrast, COIA has no representation on University Council at that level; therefore, the addition of the vice president for outreach and international affairs is recommended.

(iii) Current language that the representatives on University Council are “of” the commission means that the individuals must be members of the respective commission. Changing to “elected by” does not limit the commission to choosing only from among its membership to serve on University Council.

(iv) Under the former governance system, it was the commission chairs who would introduce resolutions at University Council, and the intent was for that to continue under the new governance system (even though senates now must approve commission resolutions before they go to University Council). Making the commission chairs non-voting ex officio members of University Council would enable them to introduce and make a motion for approval of a resolution from their commission. (According to Robert’s Rules, non-voting members of a body may make or second motions/resolutions but cannot vote.)

(v) Taking up the time of Cabinet and University Council to approve continued membership of ex officio members who have a straight-forward title changes with no change in function would be highly inefficient.

Proposed: (reviewed by Cabinet 1/29/24)

Department Heads Council Executive Committee co-chairs president and vice president
Vice President for Outreach and International Affairs [since COIA is a university commission, as is CEOD, which already has a VP on University Council]
Four representatives of elected by the Commission on Equal Opportunity and Diversity
One representative of elected by the Commission on Outreach and International Affairs

Unless chairs of university and senate commissions are already serving on University Council through another affiliation, they will serve as ex officio, non-voting members of University Council concurrent with their term as commission chair to enable them to introduce and make a motion for approval of a resolution from their commission.

Revisions to the membership of the University Council follow the procedures for amendments contained in Article XIII of this constitution. Changes to titles of ex officio members of University Council or University Council Cabinet that are not accompanied by a significant role change may be made without following the amendment procedures.

**Article VI. University Council Cabinet, Section 3. Membership**

Existing:

The University Council Cabinet consists of . . . members appointed or elected by the following bodies . . . One representative of the Department Heads Council Executive Committee.
**Reason/rationale:** The Department Heads Council is reorganizing and will have a president and vice president going forward.

**Proposed:** (Reviewed by Cabinet 1/29/24)

The University Council Cabinet consists of . . . members appointed or elected by the following bodies . . . One representative the chair or vice chair of the Department Heads Council Executive Committee.

---

**Article VIII. Commissions, Section 2. Responsibilities**

**Reason/rationale:** Some commissions have other non-policy-making functions, and in many cases these commissions have carried out these responsibilities for many years without involvement of a senate, University Council, or any other. There would be no benefit now to begin involving senates and University Council; doing so would unnecessarily complicate the functions and take up time of the senates and University Council that could be better spent on their other work.

**Proposed – Add new paragraph at the end of the section, as follows:** (Reviewed by Cabinet 1/29/24)

In some cases, a commission may have other non-policy-making functions that do not involve or require approval of any senate or University Council. Such functions are stated explicitly in a commission’s charge.

---

**Section 7. Senate Commissions – Commission on Administrative and Professional Faculty Affairs (CAPFA)**

**Existing:**

**Commission on Administrative and Professional Faculty Affairs (CAPFA)**

**Charge:** To study, formulate, and recommend to the Administrative and Professional (A/P) Faculty Senate policies and procedures affecting the working conditions of A/P faculty. Areas for consideration include morale of administrative and professional faculty; procedures for appointing, non-reappointing, evaluating, disciplining, recognizing, and promoting administrative and professional faculty; benefits, educational and personal leave, and extra-university professional activity; and matters of equity and diversity that affect A/P faculty. The commission is also responsible for reviewing allegations of unprofessional or unethical conduct against any A/P faculty member and grievances advanced to the level of the executive vice president and provost or the vice president for human resources and for advising these administrators prior to their taking action.

**Reason/rationale:** This change is requested by CAPFA and the AP Faculty Senate because the responsibilities highlighted have been shifted from the commission to the newly created AP Faculty Senate. This parallels the Faculty Senate model.
Proposed: (Reviewed by Cabinet 1/29/24)

Commission on Administrative and Professional Faculty Affairs (CAPFA)

Charge: To study, formulate, and recommend to the Administrative and Professional (A/P) Faculty Senate policies and procedures affecting the working conditions of A/P faculty. Areas for consideration include morale of administrative and professional faculty; procedures for appointing, non-reappointing, evaluating, disciplining, recognizing, and promoting administrative and professional faculty; benefits, educational and personal leave, and extra-university professional activity; and matters of equity and diversity that affect A/P faculty. The commission is also responsible for reviewing allegations of unprofessional or unethical conduct against any A/P faculty member and grievances advanced to the level of the executive vice president and provost or the vice president for human resources and for advising these administrators prior to their taking action.

Section 7. Senate Commissions – Commission on Graduate and Professional Student Affairs (CGPSA)

Existing:

Commission on Graduate and Professional Student Affairs (CGPSA)

Charge: To study, formulate, and recommend to the Graduate and Professional Student Senate policies and procedures concerning graduate and professional student life and morale. Areas for consideration include working conditions for graduate assistants, graduate research assistants, and graduate teaching assistants; graduate and professional student relations with peers, staff, faculty, administrators, alumni, and the community; policy matters related to graduate and professional student conduct; graduate and professional student organizations, social life, and recreation; and residential life, health, safety, and quality of graduate and professional student-related services.

Reason/rationale: The proposed language captures the intent of the charge.

Proposed: (Reviewed by Cabinet on 1/29/24)

Commission on Graduate and Professional Student Affairs (CGPSA)

Charge: To study, formulate, and recommend to the Graduate and Professional Student Senate policies and procedures concerning graduate and professional student life and morale. Areas for consideration include working conditions for graduate assistants, graduate research assistants, and graduate teaching assistants; graduate and professional student relations with peers, staff, faculty, administrators, alumni, and the community; policy matters related to graduate and professional student conduct; graduate and professional student organizations, social life, and recreation; and residential life, health, safety, and quality of graduate and professional student-related services; and graduate and professional student well-being.

Section 7. Senate Commissions – Commission on Research (COR)

Existing:

Commission on Research (COR)
**Charge:** To study, formulate, and recommend to the Faculty Senate policies and procedures concerning research and research faculty. Areas for consideration include sponsored programs, core programs and interdisciplinary research; intellectual property; animal care and human subjects; indirect costs and returned overhead; research facilities, centers and institutes, and library resources; and liaison with affiliated corporations and institutes.

*Reason/rationale:* This long-standing duty of the commission is cited in Policy No. 13005: Centers and Institutes. The commission has relevant expertise and experience and is best able to conduct a knowledgeable, objective review of centers and institutes.

**Proposed:** (Reviewed by Cabinet on 1/29/24)

**Commission on Research (COR)**

**Charge:** To study, formulate, and recommend to the Faculty Senate policies and procedures concerning research and research faculty. Areas for consideration include sponsored programs, core programs and interdisciplinary research; intellectual property; animal care and human subjects; indirect costs and returned overhead; research facilities, centers and institutes, and library resources; and liaison with affiliated corporations and institutes. The Commission on Research also conducts reviews of centers and institutes as described in Policy 13005; this function does not involve or require approval of any senate or University Council.

### Section 7. Senate Commissions – Commission on Undergraduate Student Affairs

**Existing:**

**Commission on Undergraduate Student Affairs (CUSA)**

**Charge:** To study, formulate, and recommend to the Undergraduate Student Senate policies and procedures pertaining to the undergraduate student experience at Virginia Tech. Areas for consideration include undergraduate student wellbeing, inclusion, and morale; undergraduate student relations with peers, staff, faculty, administrators, alumni, and the community; policy matters related to undergraduate student conduct; undergraduate student organizations, social life, and recreation; employment, placement, and counseling; and residential and campus life, health, safety, and quality of undergraduate student related services.

*Reason/rationale:* (i) The proposed well-being language captures the intent of the charge. (ii) This long-standing duty of the commission is cited in Policy 8012: Establishing and Maintaining a University-Chartered Student Organization. The commission has relevant expertise and experience and is best able to determine whether the constitutions of UCSOs should be approved. Note that the USS and GPSS themselves are special types of UCSOs, and one of the ways in which they differ from all other UCSOs is that the process for approving their constitutions is governed by the University Council Constitution, Article XIV: Amendments to Senate Constitutions or Bylaws (which is also cited in Policy 8012).

**Proposed:** (Reviewed by Cabinet on 1/29/24)

**Commission on Undergraduate Student Affairs (CUSA)**

**Charge:** To study, formulate, and recommend to the Undergraduate Student Senate policies and procedures pertaining to the undergraduate student experience at Virginia Tech.
include undergraduate student wellbeing, inclusion, and morale; undergraduate student relations with peers, staff, faculty, administrators, alumni, and the community; policy matters related to undergraduate student conduct; undergraduate student organizations, social life, and recreation; employment, and placement, and counseling; and residential and campus life, health, safety, and quality of undergraduate student related services; and undergraduate student well-being. The Commission on Undergraduate Student Affairs also approves the constitutions of all University Chartered Student Organizations (UCSOs) except the student senates; this function does not involve or require approval of any senate or the University Council.

Section 7. Senate Commissions – Commission on Undergraduate Studies and Policies

Existing:

Commission on Undergraduate Studies and Policies (CUSP)

Charge: To study, formulate, and recommend to the Faculty Senate policies and procedures concerning undergraduate academic matters. Areas for consideration include library resources, admissions, academic progress, degree requirements, the Undergraduate Honor System and study environment, including approval of changes to the Undergraduate Honor Code; In-Honors programs, undergraduate curricular standards and expectations, advising, and instruction; student honors and awards; financial aid, scheduling, and registration.

Reason/rationale: The commission is best able to conduct a knowledgeable, objective review.

Proposed: (Reviewed by Cabinet on 2/12/24)

Commission on Undergraduate Studies and Policies (CUSP)

Charge: To study, formulate, and recommend to the Faculty Senate policies and procedures concerning undergraduate academic matters. Areas for consideration include library resources, admissions, academic progress, degree requirements, the Undergraduate Honor System and study environment, including approval of changes to the Undergraduate Honor Code; In-Honors programs, undergraduate curricular standards and expectations, advising, and instruction; student honors and awards; financial aid, scheduling, and registration. The commission also is responsible for conducting an annual review of the university academic catalog to ensure that it is in alignment with university policies and is otherwise accurate. Such reviews do not involve or require approval of any senate or University Council. Any policy changes determined to be necessary will be considered through the normal resolution approval process.

Section 7. Senate Commissions – Commission on Graduate and Professional Studies and Policies

Existing:

Commission on Graduate and Professional Studies and Policies (CGPSP)

Page 6 of 9
Charge: To study, formulate, and recommend to the Faculty Senate policies and procedures concerning graduate and professional academic matters. Areas for consideration include admissions, academic progress, degree requirements, commencement; registration and scheduling; graduate curricular standards and expectations, advising, and instruction, both of and by graduate students; research involving graduate students; financial assistance including assistantships, scholarships, and fellowships; the graduate and professional honor systems, including approval of changes to the Graduate Honor Codes; and library resources.

Reason/rationale: The commission is best able to conduct a knowledgeable, objective review.

Proposed: (Reviewed by Cabinet on 2/12/24)

Commission on Graduate and Professional Studies and Policies (CGPSP)

Charge: To study, formulate, and recommend to the Faculty Senate policies and procedures concerning graduate and professional academic matters. Areas for consideration include admissions, academic progress, degree requirements, commencement; registration and scheduling; graduate curricular standards and expectations, advising, and instruction, both of and by graduate students; research involving graduate students; financial assistance including assistantships, scholarships, and fellowships; the graduate and professional honor systems, including approval of changes to the Graduate Honor Codes; and library resources. The commission is also responsible for conducting an annual review of the university academic catalog to ensure that it is in alignment with university policies and is otherwise accurate. Such reviews do not involve or require approval of any senate or University Council. Any policy changes determined to be necessary will be considered through the normal resolution approval process.

Article XI. Meetings and Procedures, Section 1. Parliamentary Procedures.

Existing:

The latest edition of Robert’s Rules of Order [Webster’s New World Robert’s Rules of Order Simplified and Applied], subject to special rules as may be adopted by University Council, shall govern the procedures of the University Council and its internal and related components.

Reason/Rationale: Switch to official, full-length Robert’s Rules for consistency. The full-length version can be found easily on line or in print.

Proposed: (Reviewed by Cabinet on 2/12/24)

The latest edition of Robert’s Rules of Order [Webster’s New World Robert’s Rules of Order Simplified and Applied], subject to special rules as may be adopted by University Council, shall govern the procedures of the University Council and its internal and related components.
Article XI. Meetings and Procedures, Section 2. University Council Procedures

**Reason/rationale:** To clarify the process for “appealing” a determination by University Council Cabinet that a resolution proposal is not within the charge of a commission.

**Proposed:** [New Paragraph 4]  (Reviewed by Cabinet on 3/11/24)

4. In the case in which a resolution proposal was submitted to the University Council Cabinet and determined by the cabinet not to be within the purview of the respective commission, the respective commission chair or senator who is a member of University Council may make a verbal or written request to the secretary of University Council to place on the agenda for the next University Council meeting a “Request for Reconsideration of a Resolution Proposal,” in accordance with the University Council Bylaws, Article III, Section 3. The Request for Reconsideration automatically will be placed on the agenda for the next University Council meeting; the commission chair or senator who is a member of University Council should be present at the University Council meeting to present the resolution proposal for reconsideration and make a motion for its approval. The requirement for two readings at University Council is waived in this situation unless a deferral is requested.

Article XI. Meetings and Procedures, Section 2. University Council Procedures

**Reason/rationale:** (i) To expand communication of commission and committee activity; and (ii) to disseminate information about degrees approved or discontinued since these actions no longer require action by University Council in the new governance system.

**Proposed:** [New Paragraph 5]  (Reviewed by Cabinet on 2/12/24)

5. Any commission and committee minutes approved since the last University Council meeting will also be included on the University Council agenda for information purposes. In addition, a listing of any degrees and certificates approved or discontinued since the last University Council meeting will be included on the University Council agenda for information purposes.

Article XII. University Mission Initiatives

**Reason/rationale:**
In spring 2023, University Council Cabinet was asked to consider a matter for consideration as a university mission initiative. After much discussion, Cabinet determined that the matter was already in implementation phase and thus not appropriate for the UMI process. However, it was the consensus of Cabinet members that this section of the UC Constitution needs to be revised and expanded upon to include more guidance (i.e., specific criteria and examples) to enable them to make a determination in the future as to whether a matter is appropriate for the UMI process.

**Proposed:** (Reviewed by Cabinet on 2/12/24 and 3/11/24 – There will be a clause to this effect in the Resolution that accompanies this document) It is recommended that a committee including individuals with appropriate expertise and representation be involved in the revision process for the purpose described above.
Article XIII. Amendments to the University Council Constitution or Bylaws, Section 3. Approval of Amendments to the Bylaws

Existing:

An amendment to the University Council Bylaws becomes effective upon an affirmative vote of the majority of the Council members present and voting, provided that a quorum has been reached, and approval by the president.

Reason/rationale: Efficiency. Taking up the time of Cabinet and University Council to approve continued membership of ex officio members who have a straightforward title changes with no change in function would be highly inefficient.

Proposed: (Reviewed by Cabinet on 2/12/24)

An amendment to the University Council Bylaws becomes effective upon an affirmative vote of the majority of the Council members present and voting, provided that a quorum has been reached, and approval by the president. Changes to the titles of any ex officio members or chairs of the commissions and committees included in the bylaws that are not accompanied by a significant role change may be made without following these amendment procedures.

Article IV. Membership, Section 1. Composition
Article IV. Membership, Section 2. Voting Privileges
Article VI. University Council Cabinet, Section 3. Membership

Reason/rationale: The Vice President for Policy and Governance (VPPG) had voting privileges on University Council under the former governance system and functions basically the same as before. All other VPs on University Council/Cabinet have voting privileges. By virtue of position, the VPPG should also have voting privileges. (Note: The President does not have a vote because University Council is advisory to the President; the President has veto power over University Council’s actions.)

Proposed: (Reviewed by Cabinet on 2/12/24)

Restore voting privileges of the Vice President for Policy and Governance
RESOLUTION TO APPROVE AN APPOINTMENT TO THE
NEW RIVER VALLEY PASSENGER RAIL STATION AUTHORITY

The university is requesting approval to appoint G. E. “Dwyn” Taylor II, Vice President for
Campus Planning, Infrastructure, and Facilities, as a Virginia Tech representative and
member on the New River Valley Passenger Rail Station Authority Board of Directors to
fill the role vacated by Robert R. Broyden, Interim Vice President for Campus Planning,
Infrastructure, and Facilities, upon his retirement from the university.
RESOLUTION TO APPROVE AN APPOINTMENT TO THE NEW RIVER VALLEY PASSENGER RAIL STATION AUTHORITY

WHEREAS, the powers, rights, and duties of the New River Valley Passenger Rail Station Authority (the Authority) may be exercised by a Board of Directors; and

WHEREAS, the governing body of each member shall appoint two representatives to serve terms on the Board of Directors of the Authority; and

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, currently serves as a university representative to the Authority for a term expiring December 31, 2024; and,

WHEREAS, Robert R. Broyden, Interim Vice President for Campus Planning, Infrastructure, and Facilities, will retire from his university position effective June 24, 2024; and,

WHEREAS, Virginia Tech desires to appoint G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, as a university representative to the Authority, effective June 25, 2024, to complete the current appointment term expiring December 31, 2024;

NOW, THEREFORE, BE IT RESOLVED, that G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, be appointed as a university representative to and member of the New River Valley Passenger Rail Station Authority Board of Directors to complete the current appointment term expiring December 31, 2024.

RECOMMENDATION:
That the resolution recommending that G. E. “Dwyn” Taylor II, Vice President for Campus Planning, Infrastructure, and Facilities, be appointed as a university representative to and member of the New River Valley Passenger Rail Station Authority Board of Directors be approved.

June 11, 2024
RESOLUTION FOR APPROVAL OF APPOINTMENT TO
THE ROANOKE VALLEY BROADBAND AUTHORITY BOARD

WHEREAS, the Roanoke Valley Broadband Authority Board was established in 2013 by concurrent resolutions of the Board of Supervisors of Roanoke County, Virginia; the Board of Supervisors of Botetourt County, Virginia; the Council of the City of Roanoke, Virginia; and the Council of the City of Salem, Virginia, and its Articles of Incorporation pursuant to the provisions of the Virginia Wireless Services Authorities Act, Chapter 54.1, Title 15.2 of the 1950 Code of Virginia, as amended; and

WHEREAS, the Authority established and continues to expand its network footprint in the Roanoke Valley and now serves major education and research institutions in the Innovation District of the City of Roanoke and similar configurations in other valley localities; and

WHEREAS, the Authority’s governing board is comprised of seven members, one of which is to be nominated by Virginia Polytechnic Institute and State University; and

WHEREAS, the Board seat representing Virginia Polytechnic Institute and State University, having a term of four years, is to be appointed by the University Board of Visitors and subsequently approved by the Roanoke Valley Broadband Authority; and

NOW, THEREFORE, BE IT RESOLVED, that Jason Krisch, Director of Information Technology for the Fralin Biomedical Research Institute at VTC, is appointed by the Board of Visitors to succeed Scott Midkiff as the university’s representative on the Roanoke Valley Broadband Authority Board for a four-year term through December 12, 2028.

RECOMMENDATION:
That the Board of Visitors approve this resolution appointing Jason Krisch to represent Virginia Tech on the Roanoke Valley Broadband Authority Board for a four-year term through December 12, 2028.

June 11, 2024
Changes to the Safety & Security Committee Structure

Michael Mulhare, P.E.
Interim Associate Vice President for Public Safety
Policy 5615: Specific Updates to Committee Structure

- The Safety and Security Policy Committee transitioned to the Incident Leadership Team

- Established the University Safety and Security Committee

- No substantive changes to Threat Assessment Team, Campus & Workplace Violence Prevention Committee, Health & Safety Committee or Emergency Management Committee
• Appointed and Chaired by the President

• Evaluate recommendations brought forward by the EVPCOO from the University Safety and Security Committee to maintain and improve the effectiveness of the overarching university safety, emergency management, and security program for all Virginia Tech facilities

• Ensure that sufficient university resources and funding are available to perform necessary emergency management, safety, and security functions, and that these resources are consistent with anticipated regulatory changes

• Guide the education and prevention of violence on campus in accordance with Section 23.1-805 of Code of Virginia

• Advise the President on incident response, management and recovery
Led by Virginia Tech Emergency Management

- Implements the tactical objectives for resolving an incident, including recovery operations
- Comprises members from across the university representing core capabilities in support of response and recovery functions.

Updated Structure
May 2024
• Chair appointed by the Executive Vice President and Chief Operating Officer (EVPCOO), in consultation with the President

• Membership appointed by the EVPCOO

• Provides a forum for university-wide safety and security concerns
  • Review university’s hazards, risks, and practices related to the safety and security of campus
  • Makes recommendations to improve campus security policies and procedures and reviews issues affecting the overall safety and well-being of Virginia Tech’s diverse community

• Consult with units responsible for public safety on the issues of concern

• Taking up other safety and security matters referred to the Committee

• Advise the EVPCOO on safety and security issues
Threat Assessment Team

- Chaired by Chief of Police
- Created in accordance with § 23.1-805
- Assess, intervene, and follow policies for individuals whose behaviors may present a threat to the safety of the campus community as appropriate
- Work with law enforcement and mental health providers to expedite assessment and intervention
- Develop comprehensive fact-based assessments of students, employees or other individuals who may present a threat to the university

Updated Structure
May 2024
• Chaired by Chief of Police
• Responsibilities outlined in § 23.1-805
• Recommend and promote awareness and training programs on campus and workplace violence prevention and communicating internally regarding these programs
• Review periodic summary reports from Student Affairs, Campus Police, HR, regarding violence prevention
• Chaired by Executive Director of Environmental Health and Safety
• Oversees implementation of and compliance with the University Health and Safety Policy
• Committees supporting the Health and Safety Policy include:
  • Occupational Health and Safety Committee,
  • Institutional Biosafety Committee,
  • Institutional Animal Care and Use Committee,
  • Institutional Review Board,
  • Radiation Safety Committee,
  • Chemical Safety and Hazardous Materials Management Committee
• Chaired by Executive Director of Emergency Management
• Provides oversight, coordination, & leadership for improving emergency management procedures
• Continually evaluate the needs of the university, developing appropriate planning, programmatic response and mitigation strategies to improve disaster resiliency
• Engages internal and external stakeholders and partners
Resolution Ratifying Updates to the Virginia Tech Safety and Security Committee Structure

WHEREAS, §23.1-805 Code of Virginia requires the Board of Visitors to adopt a committee structure charged with education and prevention of violence on campus; and

WHEREAS, by resolution at its November 2009 meeting, the Board of Visitors ratified the Virginia Tech Safety and Security Committee Structure including the Campus and Workplace Violence Prevention Committee, and the Threat Assessment Team; and

WHEREAS, the Virginia Tech Safety and Security Committee structure has been changed to reflect lessons learned in the response to the COVID-19 pandemic and other events; and

WHEREAS, the Virginia Tech Safety and Security Committee structure and responsibilities are identified in the diagram labeled *Updated* Virginia Tech Safety and Security Committee Structure which is attached hereto.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Visitors ratifies the UPDATED Virginia Tech Safety and Security Committee Structure.
RESOLUTION RATIFYING UPDATES TO THE VIRGINIA TECH SAFETY AND SECURITY COMMITTEE STRUCTURE

WHEREAS, §23.1-805 Code of Virginia requires the Board of Visitors to adopt a committee structure charged with education and prevention of violence on campus; and

WHEREAS, by resolution at its November 2009 meeting, the Board of Visitors ratified the Virginia Tech Safety and Security Committee Structure including the Campus and Workplace Violence Prevention Committee, and the Threat Assessment Team; and

WHEREAS, the Virginia Tech Safety and Security Committee structure has been changed to reflect lessons learned in the response to the COVID-19 pandemic and other events; and

WHEREAS, the Virginia Tech Safety and Security Committee structure and responsibilities are identified in the diagram labeled *Updated* Virginia Tech Safety and Security Committee Structure which is attached hereto.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Visitors ratifies the UPDATED Virginia Tech Safety and Security Committee Structure.

RECOMMENDATION:

That the above resolution ratifying updates to the Virginia Tech Safety and Security Committee Structure be approved.

June 11, 2024
Incident Leadership Team

- Led by Virginia Tech Emergency Management;
- Implements the tactical objectives for resolving an incident, including recovery operations;
- Comprises members from across the university representing core capabilities in response and recovery functions.

Evaluate recommendations from the University Safety and Security Committee to maintain and improve the effectiveness of the overarching university safety, emergency management, and security program for all Virginia Tech facilities (owned and leased), including safety and security assessments, policies, plans, programs, education and infrastructure, including changes that may affect the quality of the university’s living, learning and working environment;

Ensure that sufficient university resources and funding are available to perform necessary emergency management, safety, and security functions, and that these resources are consistent with anticipated regulatory changes;

Guide the education and prevention of violence on campus in accordance with Section 23.1-805 of Code of Virginia including (i) creation of university safety and security policies, and (ii) providing direction to the Campus and Workplace Violence Prevention Committee and the Threat Assessment Team on the development and implementation of violence prevention procedures, education and guidance regarding recognition and reporting of individuals whose behavior may pose a threat, assessment of such individuals and means of action to resolve potential threats; and

Advising on safety and security issues.

Threat Assessment Team

- Chaired by Chief of Police, or designee;
- Assess, intervene, and follow policies for individuals whose behaviors may present a threat to the safety of the campus community as appropriate;
- Work with law enforcement and mental health providers to expedite assessment and intervention;
- Develop comprehensive fact-based assessments of students, employees or other individuals who may present a threat to the university.

Campus & Workplace Violence Prevention Committee

- Chaired by Chief of Police, or designee;
- Responsibilities outlined in § 23.1-805;
- Recommend and promoting awareness and training programs on campus and workplace violence prevention and communicate internally regarding these programs;
- Review periodic summary reports from Student Affairs, Campus Police, Human Resources, regarding violence prevention.

Health & Safety Committee

- Chaired by Executive Director of Environmental Health & Safety;
- Oversee implementation & compliance with health and safety policies.

Emergency Management Committee

- Chaired by Executive Director of Emergency Management;
- Provide oversight, coordination, & leadership for improving emergency management procedures;
- Continually evaluate the needs of the university, developing appropriate planning, programmatic response and mitigation strategies to improve disaster resiliency.

President

Approves Emergency Management Plan (§ 23.1-804);
Approves committee structure for education & prevention of violence (§ 23.1-805)

Division of Public Safety | May 2024
Changes to the Safety & Security Committee Structure

Michael Mulhare, P.E.
Interim Associate Vice President for Public Safety
Virginia Tech Safety and Security Committee Structure

President

University Safety & Security Policy Committee

- Chaired by President; in his absence, chaired by Vice President for Administrative Services
- Provides general oversight of operational committees responsible for safety, security, emergency management, and violence prevention to support coordination & compliance
- Reviews, evaluates, and determines requirements concerning safety & security assessments, plans, & programs for all Virginia Tech facilities (on- & off-campus, owned & leased)
- Provides direction on development of violence prevention policies, procedures, education, and guidance regarding recognition and reporting of individuals whose behavior may pose a threat, assessment of such individuals and means of action to resolve potential threats
- Ensures that sufficient university resources and funding are available to perform necessary emergency management, safety and security functions, and that these resources are consistent with anticipated regulatory changes.
- Oversees Safety & Security Policy and other policies that have implications for safety and security including but not limited to: facilities use, sponsorship of entertainment & events; threatening or intimidating conduct; facilities access control; environmental health & safety; & campus violence prevention
- Serves as Emergency Response Policy Group under VT’s Emergency Response Plan

Threat Assessment Team
- Chaired by Chief, or designee
- Implements assessment, intervention, and action policies for individuals whose behaviors may present a threat to the safety of the campus community; works with enforcement & mental health agencies to expedite assessment & intervention

Campus & Workplace Violence Prevention Committee
- Chaired by Chief, or designee
- Develops & implements violence prevention & education procedures, programs, & guidance; publishes statement of mission, membership, & leadership
- Oversees implementation & compliance with Violence Prevention Policy

Health & Safety Committee
- Chaired by Director of EHSS
- Oversees implementation & compliance with Health and Safety Policy

Emergency Management & Risk Assessment Committee
- Chaired by Director of Emergency Management
- Provides oversight, coordination, & leadership for risk assessments & promotion of activities & services that reduce or eliminate risks
- Prepares the university through emergency planning efforts, training & exercises
- Develops coordinated & effective emergency response capabilities

Previous Structure
Ratified 9 November 2009
Policy 5615: Specific Updates to Committee Structure

- The Safety and Security Policy Committee transitioned to the Incident Leadership Team

- Established the University Safety and Security Committee

- No substantive changes to Threat Assessment Team, Campus & Workplace Violence Prevention Committee, Health & Safety Committee or Emergency Management Committee
**Updated* Safety and Security Committee Structure

**Updated Structure**

*May 2024*

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**President**

Evaluate recommendations from the University Safety and Security Committee to maintain and improve the effectiveness of the overarching university safety, emergency management, and security program for all Virginia Tech facilities (owned and leased), including safety and security assessments, policies, plans, programs, education, and infrastructure, including changes that may affect the quality of the university’s living, learning, and working environment; Ensure that sufficient university resources and funding are available to perform necessary emergency management, safety, and security functions, and that these resources are consistent with anticipated regulatory changes; Guide the education and prevention of violence on campus in accordance with Section 23.1-805 of Code of Virginia including (i) creation of university safety and security policies, and (ii) providing direction to the Campus and Workplace Violence Prevention Committee and the Threat Assessment Team on the development and implementation of violence prevention procedures, education, and guidance regarding recognition and reporting of individuals whose behavior may pose a threat, assessment of such individuals and means of action to resolve potential threats; and Advise the President on safety and security issues.

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**Incident Management Team**

Led by Virginia Tech Emergency Management; Implements the tactical objectives for resolving an incident, including recovery operations; Comprises members from across the university representing core capabilities in response and recovery functions.

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**Incident Leadership Team**

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**Threat Assessment Team**

Chaired by Chief, or designee
Assess, intervene, and follow policies for individuals whose behaviors may present a threat to the safety of the campus community as appropriate; Working with law enforcement and mental health providers to expedite assessment and intervention; Developing comprehensive fact-based assessments of students, employees or other individuals who may present a threat to the university.

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**Campus & Workplace Violence Prevention Committee**

Chaired by Chief, or designee
Responsibilities outlined in § 23.1-805; Recommending and promoting awareness and training programs on campus and workplace violence prevention and communicating internally regarding these programs; Reviewing periodic summary reports from Student Affairs, Campus Police, HR, regarding violence prevention.

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**Health & Safety Committee**

Chaired by Executive Director of EHS
Oversees implementation & compliance with health and safety policies

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**Emergency Management Committee**

Chaired by Executive Director of Emergency Management
Provides oversight, coordination, & leadership for improving emergency management procedures
Continually evaluate the needs of the university, developing appropriate planning, programmatic response and mitigation strategies to improve disaster resiliency.

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**University Safety & Security Committee**

Providing a forum for university-wide safety and security concerns to be heard; Reviewing university’s hazards and risks related to the safety and security of campus; Reviewing university practices related to safety and security; Making recommendations to improve campus security policies and procedures and reviews issues that affect the overall safety and well-being of Virginia Tech’s diverse community; Advising the EVPCDO on safety and security issues; Consulting with units responsible for public safety on the issues they have; Consulting with units responsible for public safety on security equipment and its use on campus; Taking up other safety and security matters referred to the Committee.
• Appointed and Chaired by the President

• Evaluate recommendations brought forward by the EVPCOO from the University Safety and Security Committee to maintain and improve the effectiveness of the overarching university safety, emergency management, and security program for all Virginia Tech facilities

• Ensure that sufficient university resources and funding are available to perform necessary emergency management, safety, and security functions, and that these resources are consistent with anticipated regulatory changes

• Guide the education and prevention of violence on campus in accordance with Section 23.1-805 of Code of Virginia

• Advise the President on incident response, management and recovery
• Led by Virginia Tech Emergency Management
• Implements the tactical objectives for resolving an incident, including recovery operations
• Comprises members from across the university representing core capabilities in support of response and recovery functions.
• Chair appointed by the Executive Vice President and Chief Operating Officer (EVPCOO), in consultation with the President

• Membership appointed by the EVPCOO

• Provides a forum for university-wide safety and security concerns
  • Review university’s hazards, risks, and practices related to the safety and security of campus
  • Makes recommendations to improve campus security policies and procedures and reviews issues affecting the overall safety and well-being of Virginia Tech’s diverse community

• Consult with units responsible for public safety on the issues of concern

• Taking up other safety and security matters referred to the Committee

• Advise the EVPCOO on safety and security issues
• Chaired by Chief of Police
• Created in accordance with § 23.1-805
• Assess, intervene, and follow policies for individuals whose behaviors may present a threat to the safety of the campus community as appropriate
• Work with law enforcement and mental health providers to expedite assessment and intervention
• Develop comprehensive fact-based assessments of students, employees or other individuals who may present a threat to the university
Threat Assessment Team

• Chaired by Chief of Police
• Responsibilities outlined in § 23.1-805
• Recommend and promote awareness and training programs on campus and workplace violence prevention and communicating internally regarding these programs
• Review periodic summary reports from Student Affairs, Campus Police, HR, regarding violence prevention
• Chaired by Executive Director of Environmental Health and Safety
• Oversees implementation of and compliance with the University Health and Safety Policy
• Committees supporting the Health and Safety Policy include:
  • Occupational Health and Safety Committee,
  • Institutional Biosafety Committee,
  • Institutional Animal Care and Use Committee,
  • Institutional Review Board,
  • Radiation Safety Committee,
  • Chemical Safety and Hazardous Materials Management Committee
• Chaired by Executive Director of Emergency Management
• Provides oversight, coordination, & leadership for improving emergency management procedures
• Continually evaluate the needs of the university, developing appropriate planning, programmatic response and mitigation strategies to improve disaster resiliency
• Engages internal and external stakeholders and partners
Resolution Ratifying Updates to the Virginia Tech Safety and Security Committee Structure

WHEREAS, §23.1-805 Code of Virginia requires the Board of Visitors to adopt a committee structure charged with education and prevention of violence on campus; and

WHEREAS, by resolution at its November 2009 meeting, the Board of Visitors ratified the Virginia Tech Safety and Security Committee Structure including the Campus and Workplace Violence Prevention Committee, and the Threat Assessment Team; and

WHEREAS, the Virginia Tech Safety and Security Committee structure has been changed to reflect lessons learned in the response to the COVID-19 pandemic and other events; and

WHEREAS, the Virginia Tech Safety and Security Committee structure and responsibilities are identified in the diagram labeled *Updated* Virginia Tech Safety and Security Committee Structure which is attached hereto.

NOW, THEREFORE, BE IT RESOLVED, that the Board of Visitors ratifies the UPDATED Virginia Tech Safety and Security Committee Structure.
TITLE IX RULE AND POLICY CHANGE

Overview of 2024 Regulations

KATIE POLIDORO
TITLE IX COORDINATOR
June 2024
KEY CHANGES IN 34 CFR 106

• Expanded definition of sex discrimination

• Expanded requirements related to pregnancy and pregnancy related conditions

• New definitions of sex-based harassment and retaliation
ADDITIONAL CHANGES IN 34 CFR 106

• Change in grievance procedure requirements.

• Single process requirement for all sexual misconduct matters.

• More flexibility for the university in offering informal or alternative resolutions for reports and complaints.
RECOMMENDATIONS

• Rescind standalone University Policy 1026 on Title IX Sexual Harassment

• University Policy 1025 on Harassment and Discrimination as Virginia Tech’s comprehensive discrimination policy.
  • Policy 1025 definitions and requirements are consistent with Title IX and other federal and state civil rights laws.

• Due to pending litigation, policy changes should be contingent on regulations going into effect on August 1, 2024
ADDITIONAL WORK

• Reference changes in Faculty Handbook and Student Code of Conduct

• Develop Reporting and Grievance Procedures

• Develop reasonable modification process related to pregnancy

• Revise SAFE at VT and other sites

• Communication to students, faculty, and staff
Policy 1025 Change Recommendations

References to 34 CFR 106

1) Title

Change: Policy 1025 on Discrimination and Harassment

Reasoning: A more general title centers the policy on all forms of discrimination and harassment and frames sexual misconduct as a form of harassment. OEA conducted benchmarking of peer institutions to identify an appropriate policy title.

2) 3.0 Scope

Language added: “that occur within the context of a university program or activity”

Reasoning: 34 CFR 106.11 clarifies the university’s obligations under Title IX:

“Except as provided in this subpart, this part applies to every recipient and to all sex discrimination occurring under a recipient’s education program or activity in the United States. For purposes of this section, conduct that occurs under a recipient’s education program or activity includes but is not limited to conduct that occurs in a building owned or controlled by a student organization that is officially recognized by a postsecondary institution, and conduct that is subject to the recipient’s disciplinary authority. A recipient has an obligation to address a sex-based hostile environment under its education program or activity, even when some conduct alleged to be contributing to the hostile environment occurred outside the recipient’s education program or activity or outside the United States.”

Language added: “including but not limited to” when describing who can file a complaint.

Language removed: “(including sexual harassment and sexual violence) carried out by faculty, staff, other students, or third parties.”

Reasoning: 34 CFR 106.2 clarifies who the university should accept complaints from:

“Complainant means:

(1) A student or employee who is alleged to have been subjected to conduct that could constitute sex discrimination under Title IX or this part; or

(2) A person other than a student or employee who is alleged to have been subjected to conduct that could constitute sex discrimination under Title IX or this part and who was participating or attempting to participate in the recipient’s education program or activity at the time of the alleged sex discrimination.”

The new language in this section is also more in line with the university’s obligations to accept complaints for other forms of discrimination, and is consistent with our practice.
3) 3.1 Contact Information

Language added: The title and contact information for the Title IX Coordinator were added to this section.

Reasoning: 34 CFR 106.8 (c)(1)(i)(C) requires that the university’s notice of nondiscrimination include:

“The name or title, office address, email address, and telephone number of the recipient’s Title IX Coordinator;”

This section was also reformatted for ease of reading.

4) 4.0 Procedures

Language added: Clarifying that the Office for Equity and Accessibility maintains procedures for filing complaints.

Reasoning: 34 CFR 106.8 (b)(2) requires:

“A recipient must adopt, publish, and implement grievance procedures consistent with the requirements of § 106.45, and if applicable § 106.46, that provide for the prompt and equitable resolution of complaints made by students, employees, or other individuals who are participating or attempting to participate in the recipient’s education program or activity, or by the Title IX Coordinator, alleging any action that would be prohibited by Title IX or this part.”

Language added: “and may provide for an informal or alternative resolution to reports and complaints made under this policy.”

Reasoning: 106.44(k) provides the university discretion to offer informal resolution:

“(k) Discretion to offer informal resolution in some circumstances.

(1) At any time prior to determining whether sex discrimination occurred under § 106.45, and if applicable § 106.46, a recipient may offer to a complainant and respondent an informal resolution process, unless the complaint includes allegations that an employee engaged in sex based harassment of an elementary school or secondary school student or such a process would conflict with Federal, State or local law. A recipient that provides the parties an informal resolution process must, to the extent necessary, also require its Title IX Coordinator to take other appropriate prompt and effective steps to ensure that sex discrimination does not continue or recur within the recipient’s education program or activity.”

Language added: New Section 4.2 Responsible Employee Reporting Requirements and Training

Reasoning: 106.44(c) requires that the university require:

“(i) Any employee who is not a confidential employee and who either has authority to institute corrective measures on behalf of the recipient or has responsibility for administrative leadership,
teaching, or advising in the recipient’s education program or activity to notify the Title IX Coordinator when the employee has information about conduct that reasonably may constitute sex discrimination under Title IX or this part; and

(ii) All other employees who are not confidential employees and not covered by paragraph (c)(2)(i) of this section to either:

(A) Notify the Title IX Coordinator when the employee has information about conduct that reasonably may constitute sex discrimination under Title IX or this part; or

(B) Provide the contact information of the Title IX Coordinator and information about how to make a complaint of sex discrimination to any person who provides the employee with information about conduct that reasonably may constitute sex discrimination under Title IX or this part.

Clarifying that Responsible Employees must report all forms of discrimination and harassment that they learn about is also consistent with our practice and with reporting requirements outlined in other civil rights laws, including Title VII, Title VI and EEO regulations.

106.8(d) addresses training and requires:

(d) Training.

The recipient must ensure that the persons described in paragraphs (d)(1) through (4) of this section receive training related to their duties under Title IX promptly upon hiring or change of position that alters their duties under Title IX or this part, and annually thereafter. This training must not rely on sex stereotypes.

(1) All employees. All employees must be trained on:

(i) The recipient’s obligation to address sex discrimination in its education program or activity;

(ii) The scope of conduct that constitutes sex discrimination under Title IX and this part, including the definition of sex-based harassment; and

(iii) All applicable notification and information requirements under §§ 106.40(b)(2) and 106.44.

5) 5.0 Definitions

Added language: **Incapacitation** means the physical or mental inability to make informed, rational judgments. Incapacitation includes but is not limited to being asleep, being unconscious, and the inability to make decisions due to the voluntary or involuntary use of alcohol or drugs.

Reasoning: This clarifying language was added to the Virginia Tech Student Code of Conduct in 2023. This is an adjustment to keep university policy consistent.

Added language: The definition of Harassment was separated from the definition of Discrimination. The Definition of Harassment was changed.
Reasoning: Providing separate definitions of Discrimination and Harassment offers clarity to both terms. The definition of Harassment is consistent with 106.2 as well as other civil rights laws. 34 CFR 106.2 defines harassment as:

“Sex-based harassment prohibited by this part is a form of sex discrimination and means sexual harassment and other harassment on the basis of sex, including on the bases described in § 106.10, that is:

(1) **Quid pro quo harassment.** An employee, agent, or other person authorized by the recipient to provide an aid, benefit, or service under the recipient’s education program or activity explicitly or impliedly conditioning the provision of such an aid, benefit, or service on a person’s participation in unwelcome sexual conduct;

(2) **Hostile environment harassment.** Unwelcome sex-based conduct that, based on the totality of the circumstances, is subjectively and objectively offensive and is so severe or pervasive that it limits or denies a person’s ability to participate in or benefit from the recipient’s education program or activity (i.e., creates a hostile environment).”

**Added language:** Added to the definition of Retaliation: “by a student, employee, or other person authorized by the university to provide aid, benefit, or service in any education program or activity”; “or refusing to participate”; and “discriminating against”.

**Reasoning:** 34 CFR 106.2 define Retaliation as:

“Retaliation means intimidation, threats, coercion, or discrimination against any person by the recipient, a student, or an employee or other person authorized by the recipient to provide aid, benefit, or service under the recipient’s education program or activity, for the purpose of interfering with any right or privilege secured by Title IX or this part, or because the person has reported information, made a complaint, testified, assisted, or participated or refused to participate in any manner in an investigation, proceeding, or hearing under this part, including in an informal resolution process under § 106.44(k), in grievance procedures under § 106.45, and if applicable § 106.46, and in any other actions taken by a recipient under § 106.44(f)(1). Nothing in this definition or this part precludes a recipient from requiring an employee or other person authorized by a recipient to provide aid, benefit, or service under the recipient’s education program or activity to participate as a witness in, or otherwise assist with, an investigation, proceeding, or hearing under this part.”

**Removed language:** The words “of violence” were removed from the definition of Domestic Violence.

**Reasoning:** 34 CFR 106.2 defines Domestic Violence as:

“Domestic violence meaning felony or misdemeanor crimes committed by a person...”
RESOLUTION TO APPROVE REVISION TO POLICY 1025 ON DISCRIMINATION AND
HARASSMENT AND TO DISCONTINUE POLICY 1026 ON TITLE IX SEXUAL
HARASSMENT AND RESPONSIBLE EMPLOYEE REPORTING

WHEREAS, Virginia Tech is committed to a learning and working environment that is free of
discrimination; and

WHEREAS, the university is subject to federal regulations that include Titles VI and VII of the
Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Sections 503 and 504
of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, as amended, the
Age Discrimination in Employment Act, the Equal Pay Act, the Vietnam Era Veterans’
Readjustment Assistance Act of 1974, Federal Executive Order 11246, Genetic Information
Nondiscrimination Act of 2008 (GINA), Virginia Executive Order(s), and all other federal and
state rules and regulations that are applicable; and

WHEREAS, Virginia Tech regularly reviews and revises its policies to be consistent with federal
and state requirements; and

WHEREAS, since 1991, policy 1025 has served as the university’s policy on harassment,
discrimination, and sexual assault; and

WHEREAS, in April 2024, the U.S. Department of Education, Office of Civil Rights released its
Final Rule under Title IX of the Education Amendments of 1972—to be effective August 1, 2024,
and this 2024 regulation eliminates the university’s need for policy 1026 “Policy on Title IX
Sexual Harassment and Responsible Employee Reporting” that had been promulgated in
2020 in response to specific Title IX regulations at that time; and

WHEREAS, the proposed attached revision of policy 1025 incorporates all required elements of
the Final Rule of Title IX, and the inclusion of Title IX sexual harassment and responsible
employee reporting into the proposed revision of policy 1025 allows the university to
communicate anti-discrimination policy and procedures in one document; and

WHEREAS, there is pending litigation in five jurisdictions requesting that the Final Rule of Title
IX be vacated in part or in their entirety and seeking a nationwide preliminary injunction to bar
the rules from going into effect pending the outcome of the cases;

NOW, THEREFORE BE IT RESOLVED that the Board of Visitors approves the attached
proposed revision to policy 1025, which includes all required elements of the Final Rule of Title
IX issued by the U.S. Department of Education, Office of Civil Rights, to be effective August 1,
2024; and

BE IT FURTHER RESOLVED that Policy 1026 on Title IX Sexual Harassment and Responsible
Employee Reporting be discontinued, effective August 1, 2024; and

BE IT FURTHER RESOLVED that the appropriate university documents, including but not
limited to the Student Code of Conduct and the Faculty Handbook, be revised as necessary to
reflect the discontinuation of policy 1026 and the adoption of policy 1025 as revised; and

LASTLY, BE IT RESOLVED that should any of the lawsuits that have been filed requesting that
the Final Rule of Title IX be vacated in whole or in part be successful or a preliminary injunction
be granted prior to August 1, 2024, this Board of Visitors resolution will be null and void.
RECOMMENDATION:
That the resolution to revise Policy 1025 as proposed in the attached document and to discontinue policy 1026 be approved effective August 1, 2024, with the provision that this resolution will be null and void if any of the lawsuits that have been filed requesting that the Final Rule of Title IX be vacated in whole or in part is successful or a preliminary injunction is granted prior to August 1, 2024.

June 11, 2024
Policy on Harassment, Discrimination, and Sexual Assault

No. 1025

1.0 Purpose
The university is subject to Titles VI and VII of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Sections 503 and 504 of the Rehabilitation Act of 1973, the Americans with Disabilities Act of 1990, as amended, the Age Discrimination in Employment Act, the Equal Pay Act, the Vietnam Era Veterans' Readjustment Assistance Act of 1974, Federal Executive Order 11246, Genetic Information Nondiscrimination Act of 2008 (GINA), Virginia Executive Order(s), and all other federal and state rules and regulations that are applicable.

2.0 Policy
2.1 University Statement on Non-Discrimination
Virginia Tech does not discriminate against employees, students, or applicants on the basis of age, color, disability, sex (including pregnancy), gender, gender identity, gender expression, genetic information, national origin, political affiliation, race, religion, sexual orientation, or military status, or otherwise discriminate against employees or applicants who inquire about, discuss, or disclose their compensation or the compensation of other employees or applicants, or on any other basis protected by law.

2.2 Applicability of Non-Discrimination Statement
The prohibition against discrimination and harassment applies to all levels and areas of university operations and programs, to undergraduate and graduate students, administrators, faculty, staff, volunteers, vendors and contractors. Such behavior is inconsistent with the university’s commitment to excellence and to a community in which mutual respect is a core value as articulated in the Virginia Tech Principles of Community.

2.3 Reference to Policy on Title IX Sexual Harassment
Effective August 14, 2020, sexual misconduct that falls under Title IX Sexual Harassment, as defined by federal law, shall be governed by the university’s Policy on Title IX Sexual Harassment and Responsible Employee Reporting (Policy No. 1026). If both this policy and Policy No. 1026 apply, the procedures as outlined in Policy No. 1026 shall be utilized. For clarification on what sexual misconduct falls under Title IX Sexual Harassment, please see Policy No. 1026.

3.0 Scope
The university’s jurisdiction includes incidents that occur within the context of a university program or activity and on-campus incidents and off-campus incidents that cause continuing effects on campus, and includes complaints may be filed by, including but not limited to, students or employees, or others on their behalf, alleging discrimination or discriminatory harassment.
(including sexual harassment and sexual violence) carried out by faculty, staff, other students, or third parties.

Virginia Tech is also committed to the free and vigorous discussion of ideas and issues. This policy does not allow curtailment or censorship of constitutionally protected expression, nor does it attempt to address behaviors that do not constitute discrimination or harassment. Offensive behavior that does not violate this policy should be addressed by the appropriate supervisor or administrator.

3.1 Contact Information

Questions and complaints about discrimination and harassment under this policy should be filed with:

<table>
<thead>
<tr>
<th>Discrimination and Harassment involving faculty, staff or students:</th>
<th>Sex Discrimination, Including Sex-based Harassment:</th>
</tr>
</thead>
</table>
| The Associate Vice President for Equity and Accessibility  
Office for Equity and Accessibility  
Virginia Tech  
220 Gilbert Street, Suite 5200  
Blacksburg VA 24060  
Phone: (540) 231-2010  
equityandaccess@vt.edu | Director of Title IX Compliance and Title IX Coordinator  
Office for Equity and Accessibility  
Virginia Tech  
220 Gilbert Street  
Blacksburg, VA 24060  
Phone: (540) 231-1824  
equityandaccess@vt.edu |

Questions and complaints of discrimination or discriminatory harassment involving faculty, staff, or students should be filed with:

The Associate Vice President for Equity and Accessibility  
Office for Equity and Accessibility  
Virginia Tech  
220 Gilbert Street, Suite 5200  
Blacksburg VA 24060  
Phone: (540) 231-2010  
equityandaccess@vt.edu

4.0 Procedures

The Office for Equity and Accessibility maintains prescribed procedures referenced below provide for prompt and equitable response to reports of discrimination, harassment, and retaliation under this policy prohibited conduct. Those procedures also provide for thorough and impartial investigations that afford all parties notice and an opportunity to present witnesses and evidence and to view the information that will be used in determining whether a policy violation has occurred and may provide for an informal or alternative resolution to reports and complaints made under this policy. The university applies the preponderance of the evidence standard when determining whether this policy has been violated. "Preponderance of the evidence" means that it is more likely than not that a policy violation occurred.
The appropriate university avenue for resolving a complaint covered under this policy is determined by the status of the person accused.

All **undergraduate, graduate, and professional students** at the university are subject to the university’s student code of conduct as outlined in the Student Code of Conduct, accessible at [https://codeofconduct.vt.edu](https://codeofconduct.vt.edu).

Faculty members at the university are subject to the rules included in the Faculty Handbook, accessible at [https://www.provost.vt.edu/faculty_affairs/faculty_handbook.html](https://www.provost.vt.edu/faculty_affairs/faculty_handbook.html). Staff members are subject to the rules included in university policies [https://www.hr.vt.edu/onboarding/policies-handbooks.html](https://www.hr.vt.edu/onboarding/policies-handbooks.html) and the Virginia Department of Human Resource Management Policies ([http://www.dhrm.virginia.gov/hrpolicy/policy.html#probper](http://www.dhrm.virginia.gov/hrpolicy/policy.html#probper)), with minor exceptions for University Staff.

Procedures for addressing staff and faculty violations of this policy are available from Human Resources.

**4.1 Responsibilities of Administrators and Supervisors for Maintaining the Working and Learning Environment**

University administrators, supervisors, and those performing instructional or academic advising duties have a responsibility to create and maintain a work and learning environment free of discrimination and harassment.

If an administrator, supervisor or individual with instructional responsibility becomes aware of an incident that might reasonably be construed as constituting discrimination or harassment, he or she must promptly contact the Office for Equity and Accessibility and coordinate with that office to take immediate steps to address the matter.
Administrators, supervisors and those with instructional responsibility should contact the Office for Equity and Accessibility whenever they learn—either directly or indirectly—about discrimination/harassment. This obligation exists even if the complainant requests that no action be taken.

Administrators, supervisors and those with instructional responsibility (for their respective teaching obligation) have the legal responsibility to protect a complainant from continued discrimination, harassment or retaliation, including implementing interim measures necessary to protect the complainant. They must also protect persons accused of discrimination/harassment from potential damage by false allegations. Administrators and supervisors will be held accountable for dealing with and taking necessary steps to prevent discrimination and harassment. It is not the responsibility of the complainant to correct the situation.

Employees Supervisors are responsible for informing employees and students under their supervision of this policy and the name and contact information of the person responsible for addressing discrimination complaints covered under this policy.

### 4.2 Responsible Employee Reporting Requirements and Training

A “Responsible Employee” is any university administrators, supervisors, employees with instructional responsibilities (for their respective teaching obligation), academic advisors, and other university employees who have significant responsibility for student and campus activities or implementing the university’s policies related to employee and student discipline.

Responsible Employees must contact the Office for Equity and Accessibility whenever they learn—either directly or indirectly—about any form of discrimination or harassment defined under this policy. This obligation exists even if the complainant requests that no action be taken.

Responsible Employees who learn about behavior that might reasonably be construed as constituting discrimination on the basis of sex or sexual harassment, including quid pro quo sexual harassment, sexual violence, domestic violence, dating violence, sexual exploitation, and stalking, must promptly report the alleged behavior to the Title IX Coordinator.

All reporting obligations under this section for Responsible Employees and all other employees, except confidential employees, can be met by emailing equityandaccess@vt.edu.

<table>
<thead>
<tr>
<th>Responsible Employee Reporting</th>
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</thead>
<tbody>
<tr>
<td><strong>Any form of discrimination or harassment defined under Policy 1025</strong></td>
<td></td>
</tr>
<tr>
<td><strong>The Office for Equity and Accessibility</strong></td>
<td>(540) 231-2010</td>
</tr>
<tr>
<td></td>
<td><a href="mailto:equityandaccess@vt.edu">equityandaccess@vt.edu</a></td>
</tr>
<tr>
<td><strong>Discrimination on the basis of sex, sexual harassment, quid pro quo harassment, sexual violence, domestic violence, dating violence, sexual exploitation, and stalking</strong></td>
<td></td>
</tr>
<tr>
<td><strong>The Title IX Coordinator</strong></td>
<td>(540) 231-1824</td>
</tr>
<tr>
<td></td>
<td><a href="mailto:equityandaccess@vt.edu">equityandaccess@vt.edu</a></td>
</tr>
</tbody>
</table>

A Responsible Employee who receives notice and fails to report it as required by this section may be subject to...
4.2.1 Confidential Resources

Virginia Tech has designated several offices on campus as confidential resources. When performing their responsibilities providing services, these offices are not required to report to the Office for Equity and Accessibility or Title IX Coordinator when they learn about discrimination or harassment. Confidential resources include the staff at the University Ombuds Office and Graduate School Office of the Ombudsperson, Schiffert Health Center, Cook Counseling Center, and the Virginia Tech Women’s Center. Disclosures made to Athletic Doctors while acting within the scope of his or her license or certification are also confidential.

Upon receiving a direct report about discrimination or harassment, a Confidential Resource must provide information about how to contact the Office for Equity and Accessibility or the Title IX Coordinator to the reporting individual.

4.2.2 Responsibilities of All Other Employees

All other employees, upon receiving a direct report about discrimination or harassment must provide information about how to contact the Office for Equity and Accessibility or the Title IX Coordinator to the reporting individual.

4.2.3 Training Requirement

All Virginia Tech employees must complete training related to this policy and their responsibilities pursuant to it upon hiring, change of position, and annually thereafter.

4.24.3 Supplemental/Alternative Avenues for Formal Complaints

In addition to, or in lieu of, the procedures set forth above, individuals may pursue those remedies that are available to them, as appropriate, through the following agencies:

Any individual who experiences discrimination based on disability, age, sex, or race, color, or national origin in the context of a university program or activity may file formal complaints with the Office for Civil Rights of the U.S. Department of Education.

Faculty members or applicants for employment may file a charge with the federal Equal Employment Opportunity Commission and/or the Virginia Council on Human Rights within 300 days of the incident.

The following options are available to staff members or applicants for employment:

a) Non-probationary staff may file a grievance within 30 calendar days of the offense as outlined in the Grievance Procedure for State Employees, or
b) Salaried and wage staff may file a complaint using the Discrimination Complaint Procedure administered by the Office of Equal Employment Services in the state’s Department of Human Resource Management.

c) Salaried and wage staff may file a complaint with the federal Equal Employment Opportunity Commission or the Virginia Council on Human Rights within 300 days of the alleged discrimination/harassment.

Additional information regarding this policy may be obtained from the Department of Human Resources. Additional assistance and support may be obtained from the Women’s Center, the Office of the Provost (faculty), the Graduate School (graduate students), the Dean of Students Office, Cook Counseling Center, or Student Conduct (students).

We encourage victims of sexual violence, including rape, sexual assault, stalking, and dating and domestic violence, to exercise their right to file a complaint with the Virginia Tech Police Department if the crime occurs.
on Virginia Tech’s property, regardless of the status of the victim. For crimes occurring away from Virginia Tech’s property, victims may contact the local law enforcement in the appropriate jurisdiction.

5.0 Definitions

Consent means knowing, voluntary, and clear permission by word or action, to engage in mutually agreed upon sexual activity. The existence of consent is based on the totality of circumstances, including the context in which the alleged consent occurred. Silence does not necessarily constitute consent and coercion, force, or threat of either party invalidates consent.
Consent cannot be given where a person is incapacitated due to drugs or alcohol; or where a person has a disability; or is not of legal age to consent as defined by law.

Consent to any one form of sexual activity cannot automatically imply consent to any other forms of sexual activity. Consent can be withdrawn at any time.

Previous relationships or prior consent cannot imply consent to future sexual acts.

**Incapacitation** means the physical or mental inability to make informed, rational judgments. Incapacitation includes but is not limited to being asleep, being unconscious, and the inability to make decisions due to the voluntary or involuntary use of alcohol or drugs.

**Discrimination and/or Harassment** means conduct that conditions any element of a person's employment, enrollment as a student, receipt of student financial aid, or participation in university activities on that person's age, color, disability, sex (including pregnancy), gender, gender identity, gender expression, genetic information, national origin, political affiliation, race, religion, sexual orientation, or military status, unless otherwise permitted or required by applicable law. Virginia Tech does not otherwise discriminate against employees or applicants who inquire about, discuss, or disclose their compensation or the compensation of other employees or applicants nor on any other basis protected by law. Discrimination on the basis of sex in education programs and activities receiving federal financial funding as set forth in Title IX of the Education Amendments of 1972, as amended, is included in this definition of prohibited discrimination;

**Harassment means** conduct of any type (oral, written, graphic, electronic or physical) that is based upon a person's age, color, disability, sex (including pregnancy), gender, gender identity, gender expression, national origin, political affiliation, race, religion, sexual orientation, or military status and that, based on the totality of the circumstances, is subjectively and objectively offensive and is so severe or pervasive that it limits or denies a person's ability to participate in or benefit from a university program or activity unreasonably interferes with the person's work or academic performance or participation in university activities, or creates a working or learning environment that a reasonable person would find hostile, threatening or intimidating; and/or. This policy includes sexual violence, domestic violence, dating violence, sexual exploitation, and stalking as forms of sexual harassment.

**Quid Pro Quo Harassment** means conduct by a university employee, agent, or other person authorized by the university to provide aid, benefit, or service in any university program or activity explicitly or impliedly conditioning an individual’s employment, education, or the provision of such an aid, benefit, or service upon a person’s participation in unwelcome sexual conduct;

Conduct consisting of unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature when submission to such conduct is made, explicitly or implicitly, a term or condition of an individual’s employment or education, or submission to or rejection of such conduct is used as a basis for employment or educational decisions affecting an individual.

**Retaliation** means any adverse action taken by a student, employee, or other person authorized by the university to provide aid, benefit, or service in any education program or activity against a person for making a good faith report of conduct prohibited under this policy or participating or refusing to participate in any proceeding under this policy. Retaliation includes threatening, intimidating, harassing, coercing, discriminating against, or any other conduct that would discourage a reasonable person from engaging in activity protected under this policy. The
definition of retaliation does not preclude an individual from engaging in good faith actions, lawfully pursued, in response to a report of conduct prohibited under this policy.

**Sexual Harassment** means conduct any type (oral, written, graphic, electronic or physical) that is based upon a person’s sex (including pregnancy), and unreasonably interferes with the person’s work or academic performance or limits participation in university activities, or creates a working or learning environment that a reasonable person would find hostile, threatening or intimidating.

Sexual Harassment includes conduct of a sexual nature, including conduct consisting of unwelcome sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature when submission to such conduct is made, explicitly or implicitly, a term or condition of an individual’s employment or education, or submission to or rejection of such conduct is used as a basis for employment or educational decisions affecting an individual. This policy includes sexual violence, gender-based harassment, domestic violence, dating violence and stalking as forms of sexual harassment.

**Sexual Exploitation** means an act or acts committed through non-consensual abuse or exploitation of another person’s sexuality for the purpose of sexual gratification, financial gain, personal benefit or advantage, or any
other non-legitimate purpose. The act or acts of sexual exploitation are prohibited even though the behavior does not constitute one of the other sexual misconduct offenses.

**Sexual Violence** means physical sexual acts perpetrated against a person’s will or where a person is incapable of giving consent due to the victim’s use of drugs or alcohol, or is unable to give consent due to an intellectual or other disability. Sexual violence includes rape, sexual assault, sexual battery, and sexual coercion.

- **Rape** means penetration, no matter how slight, of the vagina or anus of a person with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.

- **Fondling** means the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of age or temporary or mental incapacity.

- **Incest** means sexual intercourse between persons who are related to each other within degrees wherein marriage is prohibited by law.

- **Statutory Rape** means sexual intercourse with a person who is under the statutory age of consent.

- **Sexual Assault** means actual or attempted sexual contact with another person without that person’s consent.

- **Sexual Coercion** means using physical or verbal aggression or pressure to force or attempt to force a person to touch another person’s intimate parts without that person’s consent.

**Dating violence** means violence committed by a person: (a) who is or has been in a social relationship of a romantic or intimate nature with the victim; and (b) where the existence of such a relationship shall be determined based on a consideration of the following factors: (1) the length of the relationship; (2) the type of relationship; and (3) the frequency of interaction between the persons involved in the relationship.

**Domestic Violence** means felony or misdemeanor crimes of violence committed by: (a) a current or former spouse or intimate partner of the victim; (b) a person with whom the victim shares a child in common; (c) a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner; (d) a person similarly situated to a spouse of the victim under the domestic or family violence laws of Virginia; or any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of Virginia.

**Stalking** means engaging in a course of conduct directed at a specific person that would cause a reasonable person to: (a) fear for the person’s individual safety or the safety of others; or (b) suffer substantial emotional distress.

### 6.0 References

Presidential Policy Memorandum No. 112, University Non-Discrimination Statement
[https://policies.vt.edu/assets/112-non-discrimination-statement.pdf](https://policies.vt.edu/assets/112-non-discrimination-statement.pdf)

University Policy 1026, Policy on Title IX Sexual Harassment and Responsible Employee Reporting
[http://www.policies.vt.edu/1026.pdf](http://www.policies.vt.edu/1026.pdf)

University Policy 4075, Policy for University Accommodation of Persons with Disabilities
[http://www.policies.vt.edu/4075.pdf](http://www.policies.vt.edu/4075.pdf)
7.0 Approval and Revisions

- Revision 1
  Revised by Commission on Faculty Affairs, December 17, 1990, the Faculty Senate, January 8, 1991, and the EO/AA Committee on January 8, 1991, with further revisions, February 12, 1991.
  Approved March 4, 1991 by University Council.

- Revision 2
  Revised by the EO/AA Committee, March 29, 1994; approved by Commission on Faculty Affairs, May 13, 1994.
  Approved October 3, 1994 by University Council.

- Revision 3
  Approved by the Board of Visitors, August 29, 2005.
• Revision 4  
Revised by the Commission on Equal Opportunity and Diversity, March 29, 2010.  
Approved by University Council, April 19, 2010.  
Approved by the Board of Visitors, June 7, 2010.

• Revision 5  
Section 4 – “faculty member” replaced with “individual with instructional responsibility.”  
Approved March 16, 2011 by Charles W. Steger, University President.

• Revision 6  
April 24, 2013: Technical updates to:
  • reflect regulations, particularly those that add genetic information to the list of protected statuses;  
  • clarify oversight responsibilities for sexual harassment complaints involving any student who is not acting in the capacity of an employee, volunteer, or contractor;  
  • clarify that non-probationary employees have 30 “calendar” days to file a grievance; and  
  • update references and hyperlinks.  
Approved June 3, 2013, by Charles W. Steger, University President, and the Board of Visitors.

• Revision 7  
Revised to include the addition of terms “gender identity” and “gender expression” in sections 1. Purpose, first paragraph, and 2.1 Prohibited Acts, first and second paragraphs.  
Approved September 15, 2014 by University President, Timothy D. Sands, and the Board of Visitors.

• Revision 8  
Revised to include definitions approved by the Board of Visitors on June 1, 2015, and add contact information for the Title IX Coordinator, and language encouraging victims to file a complaint with the appropriate law enforcement agency.  
Approved June 1, 2015 by University President, Timothy D. Sands, and the Board of Visitors.

• Revision 9  
Revised section 2.1 to include the sentence, “Virginia Tech does not otherwise discriminate against employees or applicants who inquire about, discuss, or disclose their compensation or the compensation of other employees or applicants nor on any other basis protected by law.” This is added to comply with Federal Executive Order 13665, issued by President Obama. Approved November 9, 2015 by University President, Timothy D. Sands, and the Board of Visitors.

• Revision 10  
Significant reorganization of information and to update Procedures section to reflect status of the individual(s) involved in the complaint/potential complaint. Policy name was also changed.  
Approved June 30, 2016 by University President, Timothy D. Sands.

• Revision 11  
  • Revised section 2.1 to add “sex” to the non-discrimination statement, in accordance with Governor Northam’s Executive Order Number One.  
  • Revised section 3.1 to have all questions and complaints filed with The Assistant Vice President for Equity and Accessibility, who can further redirect the filing, if appropriate.  
Approved February 12, 2018 by University President, Timothy D. Sands.
• Revision 12
Revised section 4.2 to include the University Ombuds Office (new office) and Graduate School Office of the Ombudsperson as confidential resources.
Approved October 8, 2019 by University President, Timothy D. Sands.

• Revision 13
Revisions throughout document to reflect new Title IX regulations promulgated by the United States Department of Education, effective August 14, 2020, which also resulted in the creation of a new University Policy on Title IX Sexual Harassment and Responsible Employee Reporting (No. 1026). Revision effective August 14, 2020.
Approved August 13, 2020, by the Executive Committee of the Board of Visitors.

• Revision 14
Revisions throughout document to reflect expansion of “veteran” status to “military” status as defined in Code of Virginia §2.2-2901.1.
Approved August 31, 2021, by the Virginia Tech Board of Visitors.

• Revision 15
Revisions throughout document to reflect new Title IX regulations promulgated by the United States Department of Education, effective August 1, 2024, which provided definitions of harassment, a definition of retaliation, and responsible employee obligations, and also resulted in the recission University Policy on Title IX Sexual Harassment and Responsible Employee Reporting (No. 1026). Revision effective August 1, 2024.
Policy on Title IX Sexual Harassment and Responsible Employee Reporting

1.0 Purpose
The university is committed to providing a safe and non-discriminatory environment for living, learning, and working to all members of our community. To that end, the university does not discriminate, nor tolerate discrimination, on the basis of sex or gender. Pursuant to Title IX of the Education Amendments of 1972, this policy exists to eliminate, address, and prevent the recurrence of the prohibited conduct described herein, and provide for a fair and impartial process for making the determination about whether prohibited conduct occurred.

2.0 Policy
The university prohibits Title IX Sexual Harassment and Retaliation, as defined by federal regulations promulgated by the United States Department of Education. In compliance with the Department of Education’s regulations, the university has adopted a grievance procedure for the resolution of formal complaints that includes notice to all parties, prompt and impartial investigations, and live hearings that include an opportunity for cross-examination by advisors. The university also requires those designated as Responsible Employees to promptly report any violation or alleged violation of this policy.

2.1 Application of Policy
This policy applies to all levels and areas of university operations and programs, to undergraduate and graduate students, professional students, administrators, faculty, staff, volunteers, vendors and contractors.

2.2 Scope
This university’s jurisdiction includes any conduct that occurs within the context of a university Education Program or Activity within the United States. Education Program or Activity means any on- or off-campus locations, events, or circumstances over which the university exercises substantial control over both the Respondent and the context in which the sexual harassment occurs and includes any building owned or controlled by a student organization officially recognized by the university. Individuals who are currently participating in, or attempting to participate in, an Educational Program or Activity of the university may file a complaint under this policy.

Virginia Tech is also committed to the free and vigorous discussion of ideas and issues. This policy does not allow curtailment or censorship of constitutionally protected expression, nor does it attempt to address behaviors that do not constitute discrimination or harassment. Offensive behavior that does not violate this policy should be addressed by the appropriate supervisor or administrator.
The university recognizes that prohibited conduct under this policy may also be prohibited by other university policies, including the university’s Policy on Discrimination and Harassment (Policy 1025). In the event other policies may also apply to conduct prohibited under this policy, the procedures as outlined in this policy shall apply.

2.2 Title IX Sexual Harassment

Title IX Sexual Harassment means any of the following conduct on the basis of sex:

- a university employee conditioning an educational benefit or service upon a person’s participation in unwelcome sexual conduct (i.e. *quid pro quo* harassment);
- unwelcome conduct that a reasonable person would determine to be so severe, pervasive, and objectively offensive that it would effectively deny a person equal access to a university program or activity; or
- Sexual Assault, Dating Violence, Domestic Violence, or Stalking, as each of those terms are defined below.

2.3 Retaliation

This policy incorporates the definition of Retaliation defined in Policy 1025 and prohibits any adverse action taken against a person for making a good faith report of Title IX Sexual Harassment or for participating in an investigation or grievance procedure pursuant to a report of Title IX Sexual Harassment. The prohibition does not prohibit or curtail any constitutionally protected rights.

2.4 Responsible Employee Reporting

Responsible employees include all university officials who have authority to institute corrective measures in response to a report of Title IX Sexual Harassment. A responsible employee who receives notice of behavior that might reasonably be construed as constituting Title IX Sexual Harassment must promptly report the alleged behavior to the Title IX Coordinator. A responsible employee who receives notice of an alleged Title IX Sexual Harassment and fails to report it to the Title IX Coordinator may be subject to discipline up to and including termination.

Responsible employees under this section include university administrators, supervisors, employees with instructional responsibilities (for their respective teaching obligation), academic advisors, and other university employees who have significant responsibility for student and campus activities or implementing the university’s policies related to employee and student discipline.

Virginia Tech has designated several offices on campus as confidential resources. When performing their responsibilities providing services, these offices are not subject to this policy. Confidential resources include the staff at the University Ombuds Office and Graduate School Office of the Ombudsperson, Schiffert Health Center, Cook Counseling Center, and the Virginia Tech Women’s Center. Disclosures made to Athletic Doctors while acting within the scope of his or her license or certification are also confidential.

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1 This definition is found in 34 CFR 106. In the event of a conflict between the definition provided in this policy and the definition as provided in 34 CFR 106, the 34 CFR 106 definition shall prevail.
3.0 Procedures

Complainants who are participating in, or attempting to participate in, Virginia Tech’s programs and activities may file formal complaints alleging conduct prohibited under this policy by undergraduate students, graduate students, professional students, administrators, faculty, staff, volunteers, vendors and contractors. The procedures for investigating and resolving formal complaints depend on the Respondent’s relationship to the university, and specifically whether the Respondent is a student or an employee. Both sets of procedures follow the same general guiding principles. At a minimum, the procedures:

- Provide for a prompt and equitable response to reports of Title IX Sexual Harassment;
- Start with a presumption of non-responsibility for the Respondent;
- Allow for and require objective evaluation of all evidence;
- Include an option for an emergency interim suspension of a student Respondent that includes the opportunity for appeal of that decision;
- Prohibit anyone who has a conflict of interest or a bias for or against a particular Complainant or Respondent, or Complainants and Respondents generally, from participating as an investigator, Title IX Coordinator, hearing officer, or appellate officer;
- Describe the range of possible disciplinary sanctions and remedies that the university may implement following a determination of responsibility;
- Describe the circumstances in which the university will convene a live hearing to resolve a Formal Complaint, as well as the circumstance in which the Title IX Coordinator will dismiss a Formal Complaint prior to the live hearing phase;
- Set forth the process for the live hearing, including by describing the roles of advisors and hearing officers, and describe the procedural rules that apply during the live hearing phase, including the opportunity for cross-examination;
- Describe the process for appealing formal decisions; and
- Do not require, allow, rely upon, or otherwise use any questions or evidence that constitute or seek disclosure of information protected by a legally recognized privilege.

The procedures used for any complaint against a university student are described in Appendix 1.

The procedures used for any complaint against a university employee are described in Appendix 2.

3.1 Title IX Coordinator

The university’s Director of Title IX Compliance is designated as the Title IX Coordinator. The Title IX Coordinator is responsible for monitoring institutional compliance with Title IX and with this policy. Questions about Title IX, as well as any concerns or complaints about possible non-compliance with Title IX or with this policy, should be directed to the Title IX Coordinator:

Director of Title IX Compliance and Title IX Coordinator
Office for Equity and Accessibility
Virginia Tech
220 Gilbert Street, Suite 5200
Blacksburg VA 24060
Phone: (540) 231-1824
equityandaccess@vt.edu
The Title IX Coordinator is responsible for coordinating the effective implementation of Supportive Measures; ensuring the university’s prompt and equitable response to any formal complaint of Title IX Sexual Harassment; coordinating the university’s internal Title IX-related training programs, and maintaining records of Title IX-related complaints and reports and any response thereto in accordance with state and federal laws.

### 3.2 Supplemental/Alternative Avenues for Complaints

In addition to, or in lieu of, the university’s procedures, individuals may pursue remedies, as appropriate, through the Office for Civil Rights of the U.S. Department of Education.

We encourage victims of sexual violence, including rape, sexual assault, sexual battery, stalking, and dating and domestic violence, to exercise their right to file a complaint with the Virginia Tech Police Department if the crime occurs on Virginia Tech’s property, regardless of the status of the complainant. For crimes occurring away from Virginia Tech’s property, victims may contact the local law enforcement in the appropriate jurisdiction.

### 4.0 Definitions

**Complainant** means an individual who is alleged to be the victim of conduct that could constitute Title IX Sexual Harassment.

**Consent** means knowing, voluntary, and clear permission by word or action, to engage in mutually agreed upon sexual activity. The existence of consent is based on the totality of circumstances, including the context in which the alleged consent occurred. Silence does not necessarily constitute consent and coercion, force, or threat of either party invalidates consent.

- Consent cannot be given where a person is incapacitated due to drugs or alcohol; or where a person has a disability; or is not of legal age to consent as defined by law.
- Consent to any one form of sexual activity cannot automatically imply consent to any other forms of sexual activity. Consent can be withdrawn at any time.
- Previous relationships or prior consent cannot imply consent to future sexual acts.

**Dating Violence** means violence committed by a person: (a) who is or has been in a social relationship of a romantic or intimate nature with the victim; and (b) Where the existence of such a relationship shall be determined based on a consideration of the following factors: (1) the length of the relationship; (2). the type of relationship; and (3) the frequency of interaction between the persons involved in the relationship.

**Domestic Violence** means felony or misdemeanor crimes committed by: (a) a current or former spouse or intimate partner of the victim; (b) a person with whom the victim shares a child in common; (c) a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner; (d) a person similarly situated to a spouse of the victim under the domestic or family violence laws of Virginia; or (e) any other person against an adult or youth victim who is protected from that person’s acts under the domestic or family violence laws of Virginia.

**Respondent** means an individual who has been reported to be the perpetrator of conduct that could constitute Title IX Sexual Harassment.
Sexual Assault means misconduct that meets the definition of Rape, Fondling, Incest, or Statutory Rape, as defined below:

- **Rape** means penetration, no matter how slight, of the vagina or anus of a person with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.

- **Fondling** means the touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of age or temporary or mental incapacity.

- **Incest** means sexual intercourse between persons who are related to each other within degrees wherein marriage is prohibited by law.

- **Statutory Rape** means sexual intercourse with a person who is under the statutory age of consent.

Stalking means engaging in a course of conduct directed at a specific person that would cause a reasonable person to: (a) fear for the person’s individual safety or the safety of others; or (b) suffer substantial emotional distress.

5.0 References

University Policy 1025: Policy on Harassment, Discrimination, and Sexual Assault
[https://policies.vt.edu/assets/1025.pdf](https://policies.vt.edu/assets/1025.pdf)

6.0 Approval and Revisions

Policy created as a result of new regulations promulgated by the U.S. Department of Education, effective August 14, 2020.

Approved August 13, 2020, by the Executive Committee of the Board of Visitors.

- **Revision 1**
  Updates to Appendix 1 and Appendix 2 procedures to reflect updated July 28, 2021 Title IX regulations issued by the U.S. Department of Education’s Office for Civil Rights.
  Approved November 8, 2021 by the Virginia Tech Board of Visitors.

- **Revision 2**
  Update to domestic violence definition in section 4.0 to be consistent with the Violence Against Women Act Reauthorization Act of 2022 effective October 1, 2022.
  Approved August 23, 2022 by the Virginia Tech Board of Visitors.
Adjudication Procedures for Complaints Against Students

The following procedures apply to the adjudication and potential disciplinary actions related to formal complaints against students for Title IX Sexual Harassment as defined in University Policy 1026 on Title IX Sexual Harassment and Responsible Employee Reporting. These procedures are compliant with the U.S. Department of Education’s regulations found in 34 CFR 106. Future changes to these adjudication and disciplinary procedures must receive approval from the Virginia Tech Board of Visitors. These procedures are incorporated into the Student Code of Conduct.

**Formal Title IX Adjudication Process**

When the Title IX Coordinator refers a case for formal adjudication, the Office of Student Conduct will hold a live hearing with cross-examination to determine whether the respondent is responsible for the alleged conduct and to provide appropriate sanctions, as appropriate.

**A. Procedural Guarantees**

In formal conduct hearings for Title IX formal complaints, the complainant and respondent are entitled to the following procedural guarantees and opportunities:

- To receive a copy of the final investigation report, including any attachments and supporting documents from the Title IX Coordinator or designee at least ten (10) days in advance of the hearing.
- To receive written notice of the date, time, location, participants, and policies charged at least five (5) business days in advance of the hearing to allow the parties sufficient time to prepare for the hearing.
- To be accompanied by an advisor of their choice, at their own cost, or to have an advisor provided to them by the Office of Student Conduct without fee or charge.
- To inspect and review, during the hearing, all evidence obtained during the investigation that is directly related to the allegations in the formal complaint.
- To present that evidence that supports or refutes the alleged conduct.*
- To present witnesses, including fact and expert witnesses.
- To have their advisor conduct live cross-examination on the other party and any witnesses.
- To remain silent or to participate as they see fit, including full, partial, or no participation;
- To challenge the objectivity of a hearing officer(s), given reasonable cause to believe they may be biased or have a conflict of interest.
- To appeal, regardless of the outcome, based on the following grounds: 1) Procedural irregularity; 2) Significant and relevant new information that was not available at the time of the hearing; 3) The Title IX Coordinator, Investigator, or hearing officer(s) had a conflict of interest or bias, which affected the outcome; 4) Unduly harsh or arbitrary findings or sanctions.

*Only evidence and information submitted prior to the final investigation report will be considered during at the hearing.

**B. Advisors**
At the hearing, each party may be accompanied by an advisor of their choice, at their own cost (e.g., parent, friend, attorney, etc.); if a party does not have an advisor, the university will provide one to them without fee or charge for the purposes of cross-examination. Advisors may not also serve as witnesses. Advisors will be permitted to cross-examine (i.e., ask relevant questions and follow-up questions) the other party and any witnesses directly, orally, and in real time. The parties must use their advisors in this capacity, as they will not be permitted to ask questions personally.

Aside from cross-examination, advisors may not speak on the student’s behalf or participate actively in the process. Advisors must follow the guidance of the hearing officers.

C. Cross-Examination

During the hearing, the parties’ advisors will be permitted to ask relevant questions and follow-up questions, including those challenging credibility, of the other party and any witnesses. Cross-examination must be conducted directly, orally, and in real time. At no times will the parties directly conduct cross-examination.

Relevance

Questions asked during cross-examination must be relevant to the behavior and situation in question. Hearing officers will determine whether each question is relevant and, if they choose to exclude a question, explain why it is not relevant. The following topics/questions have been identified as automatic exclusions:

- Questions or information about the complainant’s prior sexual behavior, unless they are used to prove someone other than the respondent committed the alleged conduct or if they concern previous sexual activity with the respondent and are used to prove consent.
- Questions or information that discloses or seeks to disclose privileged information, such as medical or psychological records.

For more information about relevant information, please refer to the Relevant Evidence section in section A, above.

Declining to Participate in Cross-Examination

If a party or witness declines to be cross-examined during the hearing or is otherwise not available for cross examination, the hearing officers may still consider any statements made by that party or witness during the investigation or hearing when determining whether the respondent is responsible for the alleged conduct. The hearing officers will also not draw conclusions regarding responsibility based solely on a party’s or witness’s absence from the hearing or decision to decline to answer questions from the hearing officers or during cross-examination.

D. Recording

The Office of Student Conduct audio records all formal hearings. A copy of the recording is maintained as part of the case file and will be made available to the parties, upon request.

E. Hearing Location and Virtual Participation

At the discretion of the Office of Student Conduct, a hearing may be conducted in a single physical location, with all parties present, or a hearing may be conducted virtually, with participants appearing via videoconference. If the hearing is held in person (i.e., in a single physical location), either party may request to be located in a separate room and to participate via video conference. Regardless of the participation method, the hearing participants will be able to simultaneously see and hear each other.
F. Determination of Responsibility

After the hearing, a determination of whether a respondent is responsible for violating any policy in the Code of Conduct will be made by the hearing officers based on the information presented in the investigation report and at the hearing.

Standard of Proof
The university uses preponderance of the evidence to determine whether or not the respondent is responsible for the alleged conduct. This determination is made based on the information available to determine if it is more likely than not that a violation occurred.

Decision Letter
The hearing officer will simultaneously provide the parties the decision in writing. The decision letter will include the following information: allegations and policies charged, procedural steps taken during the grievance procedure, information used to determine the findings and their application to the policies charged, rationales for each finding, any sanctions imposed on the respondent, any remedies provided to the complainant, and information about the appeal process.

G. Range of Possible Sanctions

If a respondent is found responsible for the alleged conduct, the hearing officers will make a determination regarding appropriate sanctions. One or more of the following sanctions may be imposed:

- Formal warning
- Probation
- Deferred Suspension
- Suspension
- Deferred Dismissal (i.e., deferred expulsion)
- Dismissal (i.e., expulsion)
- Denial of privileges or associations
- Educational, Community, and Wellness Activities

When assigning sanctions, hearing officers consider the type and nature of any policy violation(s), including mitigating or aggravating factors, as well as the student’s prior conduct record. Sanctions are generally cumulative in nature.

For definitions and additional information about sanctions in the Student Conduct process, please refer to the Student Code of Conduct.

Remedial Action

Following a hearing, the Director of Student Conduct shall work with the Title IX Coordinator, who will oversee any necessary remedial action to restore or preserve the complainant’s equal access to the university’s education programs or activities.

Appeal Process

Both parties have the opportunity to appeal the outcome of a formal hearing in a Title IX case regardless of the outcome. Sanctions take effect immediately, pending the appellate officer’s decision or the end of the appeal period.
H. Grounds for Appeal

Appeals are not re-hearings; therefore, appeal requests are limited to the following grounds:

- Procedural irregularity or denial of procedural guarantees
- Significant and relevant new information that was not available at the time of the hearing
- Conflict of interest or bias by the Title IX Coordinator, Investigator, or hearing officer(s), which affected the outcome
- Unduly harsh or arbitrary findings or sanctions.

Appeals submitted that do not have sufficient grounds in one of these areas will be denied.

I. Potential Outcomes of an Appeal

The appellate officer will review the appeal and may:

- Uphold the original decision and sanctions
- Uphold the original decision and either decrease or increase the sanction
- Vacate a finding
- Send the case back to the Title IX Coordinator for further investigation
- Send the case back to Student Conduct for a new partial or full hearing

J. Time Frame to Submit an Appeal

The parties have seven (7) business days from the date of the decision to submit the appeal. The date the decision is given is considered the first day of the appeal period. Appeals submitted after the deadline will not be accepted except in extenuating circumstances, as determined by Student Conduct.

K. Format of Appeal

The appeal is a written request submitted by the student for a review of the original case. The student should include which grounds for appeal they believe apply, and any information the student wants considered should be included in the written document. The burden is on the appealing party to demonstrate why the finding or sanction should be altered.

L. Notification to the Other Party

When one party submits an appeal, the Office of Student Conduct will notify the other party and provide them with an opportunity to review the appeal and submit a written statement in response, which will be included in the appeal documentation.

M. Appellate Officers

An appellate officer will be designated by the Assistant Vice President for Student Affairs, who serves as the university’s Chief Appellate Officer. All appellate officers are external to the Office of Student Conduct and Title IX. When they are designated to review a case, the Assistant Vice President will ensure they do not have conflicts of interest or bias and are, therefore, able to review the case objectively.

N. Appeal Decision Letter

The appellate officer will issue a decision on the appeal in writing to both parties simultaneously. This notification will include a rationale for the decision.
Policy 1026 –
Appendix 2

Adjudication Procedures for Complaints Against Employees

The following procedures apply to the adjudication and potential disciplinary actions related to formal complaints against employees for Title IX Sexual Harassment as defined in University Policy 1026 on Title IX Sexual Harassment and Responsible Employee Reporting. These procedures are compliant with the U.S. Department of Education’s regulations found in 34 CFR 106. Future changes to these adjudication and disciplinary procedures must receive approval from the Virginia Tech Board of Visitors.

Formal Adjudication Process

Upon referral of a case for formal adjudication, Office for Equity and Accessibility (OEA) will select from a pool of qualified hearing officers/appellate officers one person to serve as the Hearing Chair and a second person to serve as the Appellate Officer for the case. The designated Hearing Chair will convene and administer a live hearing in accordance with these procedures to determine whether the respondent is responsible for the alleged Title IX Sexual Harassment and, if so, to determine appropriate disciplinary sanctions.

A Procedural Guarantees

The complainant and respondent are entitled to the following procedural guarantees prior to and throughout the formal adjudication process to:

- receive a copy of the final investigation report, including any attachments and supporting documents at least ten (10) calendar days in advance of the hearing;
- receive written notice of the date, time, location, participants, and policies charged at least five (5) calendar days in advance of the hearing to allow the parties sufficient time to prepare for the hearing;
- be accompanied by an advisor of their choice, at their own cost, or to have an advisor provided to them by the University without fee or charge;
- inspect and review, during the hearing, all evidence obtained during the investigation that is directly relevant to the allegations in the formal complaint;
- present witnesses, including fact and expert witnesses;
- present evidence that supports or refutes the alleged conduct;
- have their advisor cross-examine the other party and any witnesses;
- remain silent or otherwise not participate;
- challenge the objectivity of a hearing officer, given reasonable cause to believe that they may be biased or have a conflict of interest; and
- appeal, regardless of the outcome, based on the following grounds: (1) Procedural irregularity that affected the outcome; (2) New evidence that was not reasonably available at the time of the live hearing that could have affected the outcome; and (3) Conflict of interest or bias of the Title IX Coordinator or deputy Title IX coordinator, the assigned investigator, or hearing officer(s), that affected the outcome.
B  Title IX Hearing Officers

Upon referral of a case for formal adjudication, the Title IX Coordinator or a deputy Title IX coordinator will select a qualified Title IX hearing officer to serve as the Hearing Chair for that case. The Hearing Chair retains responsibility for, and authority over, the following:

- Convening and administering the live hearing;
- Communicating with participants about the date, time, and location of the hearing;
- Ensuring that the live hearing follows the process set forth in these procedures, and that parties are given the procedural protections and guarantees described above;
- Designating an advisor from the University to be present at the hearing, in case one or both parties do not bring an advisor to the hearing;
- Making determinations about the relevancy of questions posed to witnesses and opposing parties by a party through their advisor;
- Issuing the decision letter to parties; and
- Informing parties of their appeal rights.

C  Advisors

Parties are encouraged to bring an advisor of their choice to the hearing. The purpose of an advisor is to stand in place of their assigned party to ask questions of witnesses and opposing parties, since parties themselves cannot directly ask questions of witnesses and opposing parties. If a party does not have an advisor, the University will provide one to them without fee or charge.

Except when asking questions of witnesses and opposing parties, advisors may not speak on a party’s behalf. Advisors must follow the guidance of the Hearing Chair.

D  Hearing Format

Apart from the requirements of these procedures, University policy, and state and federal law, the Hearing Chair retains substantial latitude to control the format and order of the formal adjudication process, including by taking any action necessary to keep or restore decorum during any live hearing. The Hearing Chair will ensure that the chosen format allows parties to present witnesses, including fact and expert witnesses, present evidence that supports or refutes the alleged conduct, and have advisors cross-examine the other party and any witnesses.

E  Witness Testimony and Cross-Examination

The Hearing Chair will ensure that both parties have an equal opportunity to present relevant evidence during the live hearing. Additionally, the Hearing Chair will permit each party’s advisor to ask relevant questions and follow-up questions, including questions that challenge credibility, of the other party and any witnesses.

Cross-examination must be conducted directly, orally, and in real time. Advisors must allow the Hearing Chair to make a determination about whether a witness may proceed to answer a question before pursuing that question further. Advisors, parties, and witnesses must respect the Hearing Chair’s determination with respect to any question that an advisor poses. Parties are prohibited from directly questioning each other or any witness.
Relevance

Certain types of evidence will be excluded from consideration during a Title IX investigation or hearing. The Hearing Chair may exclude evidence that tends to suggest that the complainant’s allegation is part of a pattern of conduct by the respondent, or evidence that is otherwise confidential or protected by some form of privilege. The Hearing Chair will use discretion to determine whether it is appropriate to consider these types of evidence. Determinations will be made based on the following principles:

- **Pattern of Conduct by Respondent**: evidence of a pattern of conduct similar in nature by the respondent, either prior to or subsequent to the conduct in question, regardless of whether there has been a finding of responsibility, may be relevant if: the previous incident was substantially similar to the present allegation; the information indicates a pattern of behavior and substantial conformity with that pattern; or the respondent was previously found responsible for a policy violation.

- **Information protected by legal privilege**: All information that is confidential or protected by a legal privilege is inadmissible in the investigation and hearing, and it will not be considered relevant. This includes all federally recognized legal privileges and any additional privileges recognized by the State of Virginia. These include attorney-client communications, medical and counseling records, and clergy-confessor statements.

When individuals offer their own confidential or privileged information, such as medical records, for an investigation, they will be asked to sign a release for that confidential information. Unless an individual has signed that release, the Hearing Chair will not permit witnesses to answer questions about, request, or share information that is confidential or privileged.

The Hearing Chair has authority to decide whether a witness can answer a question posed by an advisor during a hearing. If the Hearing Chair determines that a particular question is not relevant, then the Hearing Chair will tell the witness not to answer the question and provide a brief rationale for that decision to hearing participants.

The Hearing Chair will automatically prohibit a witness from answering the following kinds of questions:

- Questions that solicit information about or relating to a complainant’s prior sexual behavior, unless:
  - the questions are intended to and will have the effect of proving that someone other than the respondent committed the alleged conduct; or
  - the questions are reasonably calculated to prove the existence of consent for the alleged misconduct.

- Questions or information that disclose or seek to disclose privileged information, such as questions relating to a witness’s medical or psychological records.

If the Hearing Chair determines that a witness cannot answer a question for one of the reasons described above, then the Hearing Chair will instruct the witness not to answer the question and provide a brief rationale for that decision to hearing participants.

Refusal to Participate in Cross-Examination

Parties and witnesses are not required to answer questions or otherwise participate in hearings. The Hearing Chair will not draw an inference, positive or negative, from the decision of a party or witness not to participate in the formal adjudication process.
F  Recording
The University will create an audio or video recording of any formal hearings. A copy of the recording will be made available to the parties for inspection and review upon request.

G  Hearing Location and Virtual Participation
At the discretion of the Hearing Chair, a hearing may be conducted in a single physical location, with all parties present, or virtually, with some or all participants appearing via videoconference. If the hearing is held in person (i.e., in a single physical location), either party may request to be located in a separate room and to participate via video conference. Regardless of the participation method, the Hearing Chair will ensure that parties are able to see and hear each other and any witnesses in real time.

H  Determination of Responsibility
The Hearing Chair is responsible for making the determination about whether there is sufficient evidence to conclude that a respondent’s conduct violated the University’s Title IX Sexual Harassment Policy.

I  Standard of Proof
The University uses the preponderance of the evidence to determine whether or not the respondent is responsible for the alleged misconduct. In making the determination about whether there is sufficient evidence to conclude that a respondent’s conduct violated the University’s Title IX Policy, the Hearing Chair will determine whether it is more likely than not that a violation occurred based on the information presented during the live hearing.

J  Decision Letter
The Hearing Chair will provide the parties notice of the outcome of the hearing in writing via a decision letter. The decision letter will include the following information: allegations and policies charged, a description of the process and the steps taken during the grievance procedure, information used to determine the findings and the application of the findings to the policies charged, rationales for each finding, any sanctions imposed on the respondent, any remedies provided to the complainant, and information about the appeal process.

K  Range of Possible Sanctions
The imposition of sanctions is designed to eliminate sexual harassment and prevent future recurrence while supporting the University’s educational mission and legal obligations. Sanctions may include educational, restorative, rehabilitative, and punitive components. Some conduct, however, is so egregious in nature, harmful to the individuals involved or so deleterious to the educational process that it requires the imposition of severe sanctions, including suspension or termination of employment from the University.

If a respondent is found responsible for the alleged misconduct, one or more of the following sanctions may be posed:

- Formal warning;
- Probation;
- No contact directives;
- Assignment of alternative worksite;
• Reassignment of position; and
• Recommendation for the imposition of a severe sanction, including demotion, suspension, non-reappointment, and for-cause dismissal.

When assigning sanctions, the Hearing Chair will consider the type and nature of any policy violation(s), including mitigating or aggravating factors. Sanctions are generally cumulative in nature. Nothing in these procedures abrogates post-adjudication rights as provided by state and federal law (i.e., State Grievance Procedure, under Chapter 30 (§2.2-3000 et. seq.) of Title 2.2 of the Code of Virginia; the Office for Civil Rights; and the Equal Opportunity Employment Commission). OEA will coordinate with the respondent’s supervisor to ensure the timely implementation of any sanction.

L Remedial Action

Following any hearing that results in a finding of responsibility, the Hearing Chair will coordinate with OEA to ensure that the complainant receives any remedial action necessary to restore or preserve the complainant’s equal access to the University’s education programs or activities. OEA will take any steps necessary to ensure that the complainant’s ability to access to the University’s education programs or activities is fully restored.

Appeal Process

Both parties have an equal opportunity to appeal the outcome of a formal hearing in a Title IX case, regardless of the outcome.

A Title IX Appellate Officers

Upon referral of a case for formal adjudication, the Title IX Coordinator or a deputy Title IX coordinator will select a qualified Title IX appellate officer to serve as the Appellate Officer for that case.

The Appellate Officer retains responsibility for, and authority over, the following:
• Administering the appeals process in accordance with this section;
• Communicating with participants about the appeals process;
• Ensuring that parties are given an equal and fair opportunity to appeal in accordance with this section;
• Providing simultaneous notice to parties describing the outcome of an appeal in accordance with this section; and
• In the case of an appeal that merits a new partial or full hearing, coordinating with the Title IX Coordinator or a deputy Title IX coordinator as necessary to ensure that a new or partial hearing is convened and administered in a manner that is fair and impartial to both parties.

B Grounds for Appeal

Appeals are not re-hearings. Appeal requests must be based on one of the following grounds:
• Procedural Irregularity: Procedural irregularity that affected the outcome;
• New Evidence: New evidence that was not reasonably available at the time of the live hearing that could have affected the outcome; and
• Conflict of Interest: Conflict of interest or bias of the Title IX Coordinator or deputy Title IX coordinator, the assigned investigator, or Hearing Chair, that affected the outcome.
The Appellate Officer will deny any appeal that is not sufficiently grounded in one or more of the bases described above.

C  Timeframe to Submit an Appeal

Parties have seven (7) calendar days from the date of the decision to submit the appeal. The date that the Hearing Chair sends the decision letter to parties is considered the first day of the appeal period. Appeals submitted after the deadline will not be accepted except in extenuating circumstances, as determined by the Appellate Officer.

D  Format of Appeal

To appeal, a party must submit a written request using the Appeal Form. The request must state the grounds on which the party seeks to appeal and include a rationale citing any information the party wants the Appellate Officer to consider and describing why the appeal should be granted. The burden is on the appealing party to demonstrate that the finding or sanction should be altered or a new partial or full hearing should be convened.

E  Notification to the Other Party

When one party submits an appeal, the Appellate Officer will notify the other party and provide them with an opportunity to review the appeal and submit a written statement in response, which will be included in the appeal documentation that the Appellate Officer will consider when making the determination about whether to grant or deny the appeal. The other party will have five (5) calendar days to respond to the appeal. Except in extenuating circumstances the Appellate Officer will not accept a late response.

F  Potential Outcomes of an Appeal

The Appellate Officer will review all information that parties submit in support of and in opposition to the appeal. The Appellate Officer may:

- Deny the appeal and uphold the original decision and any disciplinary sanctions and remedies;
- Grant the appeal and vacate a finding or findings; or
- Grant the appeal and send the case back to the Title IX Coordinator or deputy Title IX coordinator to identify a Hearing Chair to convene and administer a new partial or full hearing.

The Appellate Officer will issue a decision on the appeal via a letter sent to both parties simultaneously. This notification will include a brief rationale for the decision using the identified appeal basis as the standard for determining the appropriate course of action. Appeals are not de novo reviews; instead, the Appellate Officer will rely only on the record and any information that the parties submit in support of or in opposition to the appeal.
RESOLUTION TO AMEND THE BYLAWS OF
THE VIRGINIA TECH BOARD OF VISITORS,
EFFECTIVE JUNE 11, 2024

WHEREAS, in 2017, the Board of Visitors conducted a comprehensive review of its committee structure for the first time in several decades, which resulted in a restructuring of its committees and several associated changes; and

WHEREAS, a review of effectiveness, efficiencies, and best practices conducted in this seventh year of operation under the new structure resulted in proposed changes within Article I, Section 5, and Article II, Section 3 of the Bylaws to delegate to the President of the university the authority to implement annual compensation plans, including merit-based programs, authorized by the General Assembly or the Board of Visitors; and

WHEREAS, additionally, several other minor changes for clarity are proposed, as noted in the attached document;

NOW, THEREFORE, BE IT RESOLVED that the Bylaws of the Virginia Tech Board of Visitors be amended as described in the attached document, effective immediately.

RECOMMENDATION:

That the Bylaws of the Virginia Tech Board of Visitors be amended as proposed in the attached document, effective immediately.

June 11, 2024
Preamble

Virginia Polytechnic Institute and State University, popularly known as Virginia Tech, has evolved since its founding in 1872 into a comprehensive state land-grant university of increasing national and international prominence, heavily influenced by its land-grant heritage. The federal Morrill Act of 1862 mandated for the land-grant colleges not only the teaching of agricultural and mechanical arts and sciences, but also "the liberal and practical education of the industrial classes in the several pursuits and professions of life." It embraced three basic principles which shaped the destiny of the land-grant institutions: (1) that higher education should be made available to talented men and women regardless of economic class or conditions, (2) that inquiry and instruction should be directed toward the end of knowledge for its own sake, as well as toward knowledge applied for the benefit of all; and (3) that the results of scientific inquiry should be immediately and broadly disseminated throughout the society.

The University's instructional, research, and extension programs still are rooted in these principles. The Virginia statutes which created and control the institution heavily reflect the land-grant orientation. Subsequent federal legislation, including the Hatch Act of 1877, which established the agricultural experiment stations, and the Smith-Lever Act of 1914, which created the Federal Extension Service, further emphasized the multiple purpose of the University. The multiple-mission, multiple-agency structure of the University introduces some complexity into its internal organization, and into its relationships with the executive and legislative branches of both the state and federal governments. Each to some degree exercises budgetary and administrative control of various programs and activities of the institution which must be accommodated in the basic policies and programs of the University. These regulations and their interpretations provide a part of the reality in which the University functions as it seeks to fulfill the purposes for which it exists.
The public trustees are responsible for the University's academic and fiscal integrity and for the basic policies under which it is administered. With the Governor, they are responsible under applicable state statutes for the faithful execution of the requirements of law, as well as for the continued adaptation of the instructional programs to the evolving needs of the society which the University serves. The trustees collectively constitute the University's Board of Visitors. Much of the Board's duty and authority is delegated to the President whom it appoints. The Board, however, cannot delegate its legal obligations; service on the Board involves significant trustee responsibilities.

It is in this context that the Board's normal operating procedures, reflecting both its traditions and its legal responsibility, have been codified as bylaws conveniently available for reference.

**Article I**

The Board of Visitors of Virginia Polytechnic Institute and State University is a public corporation that serves as the governing authority for Virginia Polytechnic Institute and State University. The corporation is under the control of the General Assembly of the Commonwealth of Virginia.

**Section 1. Composition**

The Board of Visitors is composed of fourteen members, thirteen of whom are appointed by the Governor subject to confirmation by the Senate. The fourteenth member is the President of the Board of Agriculture and Consumer Services, who serves ex officio. All fourteen members have full voting privileges. Three members of the Board may reside outside of Virginia; at least six of the thirteen appointed members are required to be alumni or alumnae of the University.

The term of office for a visitor is four years, and the visitor is eligible to be reappointed for a successive four years. An individual appointed to fill an unexpired term which has become vacant is eligible for appointment to two additional four-year terms.

The term of the ex officio member of the Board of Visitors runs concurrently with his/her term as President of the Board of Agriculture and Consumer Services, which is typically from July 1 through June 30.

For each vacancy on the Board, the Alumni Association of the University may submit, for the consideration of the Governor, the names of three qualified persons. The Governor, however, is not limited to the persons on such a list when making an appointment (§23.1-2601, *Code of Virginia*, as amended).

Prior to appointment, the Virginia Commission on Higher Education Board Appointments may review potential Board appointees and make recommendations about the appointees to the Governor (§2.2-2518, *Code of Virginia*, as amended).
Section 2. Constituent Representatives

Representatives to the Board are appointed from the Undergraduate student body and the Graduate/Professional student body as non-voting, advisory representatives, pursuant to statutory authority (§23.1-1300, Code of Virginia, as amended). The term of appointment is for one year commencing July 1. Such representatives shall be welcomed at all open meetings of the Board and may be appointed to standing or special committees of the Board.

The President of the Faculty Senate (§23.1-1300, Code of Virginia, as amended), President of the Administrative and Professional Faculty Senate, and President of the Staff Senate shall also be welcomed to sit with the Board in open session and participate in discussion, without authority to vote or make or second motions. Similarly, these representatives shall also be welcomed to attend meetings of the Board's committees in open session and to provide information and advice as deemed appropriate by the chair of that committee, without authority to vote or to make or second motions. [BOV resolutions approved January 18, 1988; August 28, 2006; and November 8, 2021.]

By statute, the Board must solicit the input of representatives of the Faculty Senate or its equivalent at least twice per academic year on topics of general interest to the faculty, and in advance of decisions to be made on the search for the university’s new President (§23.1-1303).

Section 3. Meetings

By statute the Board must meet at Blacksburg, Virginia, once a year (§23.1-2602). It traditionally holds four meetings a year. The last meeting of the academic year will be designated the annual organizational meeting; this is the meeting at which officers of the Board will be elected. Meetings of the Board are called by the Rector of the Board; however, a special meeting may be called by the Governor, the Rector or any three members of the Board. Regardless of how called, all members must be notified of meetings (§23.1-2602). Moreover, by statute, the Board must notify and invite the Attorney General’s appointee or representative to all meetings of the board and its committees (§23.1-1303).

A majority of the voting membership of the Board and also of each of its committees constitutes a quorum (§23.1-2602). If the Rector is present at a committee meeting, he/she will be counted as a member of the committee for the purpose of determining whether a quorum is present. The Board or any of its committees may meet without a quorum present, but may not vote on any items.

The Board shall be transparent in all of its actions to the extent required by the law. All meetings of the Board, formal or informal, are subject to the requirements of the state’s Freedom of Information (FOI) statutes and are open to the public. Discussions and actions on any topic other than those specifically exempted by law must be held in open session. Public notice is required of meetings. Any official action taken in closed session must be approved in open session before it can have any force or effect. Open meetings must have minutes taken; copies of these minutes are posted to the Board’s website and available to the public (§23.1-1303). By statute, the Board must abide by standards developed by the State Council of Higher Education for Virginia (SCHEV) for providing the public with real-time electronic access to witness open meetings of the governing boards. Currently, SCHEV standards require video or audio livestreaming of regularly-scheduled meetings of the full governing board, with exceptions for a meeting, tour, or gathering that takes place outside of the usual location of the board meeting provided that the reason for
the exception is noted in the public notice of the meeting and in the meeting minutes. Livestreaming of the Board’s committees or subcommittees is not required.

Closed sessions may be held for specific matters. These matters are enumerated in the Code of Virginia, as amended. In order to assemble in closed session, the Board must approve a specific motion which cites each item to be considered in closed session, with appropriate reference to the exemption in the FOI statutes. Discussion in closed session is restricted to the items so identified.

Section 3a. Electronic (“All-Virtual”) Meetings

In accordance with the Freedom of Information Act, the Board and any of its committees separately may conduct all-virtual public meetings in which all who participate do so remotely, provided that the electronic communication means by which members of the public may witness the meeting is disclosed in the public notice of the meeting. Members of the public must be provided electronic communication means through which to observe or listen to the meeting. Any interruption in the means of electronic communication for an all-virtual meeting shall result in a suspension of action at the meeting until repairs are made and public access is restored. The board or its committee may not convene an all-virtual meeting (a) more than two times per calendar year or 25 percent of the meetings held per calendar year rounded up to the next whole number, whichever is greater, or (b) consecutively with an all-virtual meeting.

During an all-virtual meeting, no more than two members of the Board may participate from the same remote location unless that remote location is open to the public for physical access.

Section 3b. Remote Participation by Individual Board Members

An individual Board member may participate remotely in a Board or committee meeting by some electronic communication means if on or before the day of a meeting, the Board member notifies the Rector or respective committee chair and Board Secretary that the Board member is unable to attend the meeting due to (a) a Board member’s own disability or medical condition or the Board member’s need to care for a family member due to the family member’s medical condition, (b) the Board member’s principal residence being located more than 60 miles from the meeting location, or (c) a personal matter. The Board member’s location need not be open to the public. The minutes must include the remote location of the Board member and the reason that the Board member was unable to attend; if the reason is a personal matter, the specific nature of the personal matter must be cited in the minutes. If a Board member’s request to participate remotely is disapproved, such disapproval shall be recorded in the minutes with specificity. A Board member may participate remotely due to a personal matter in up to two meetings per calendar year or 25 percent of the meetings held per calendar year rounded up to the next whole number, whichever is greater. These provisions regarding remote participation of individual board members apply to meetings of the full board and to each of its committees separately.

An "all-virtual meeting" is a meeting conducted by electronic means during which all members who participate do so remotely rather than being assembled in one physical location and to which public access is provided through electronic communication means.
“Remote participation” is participation by an individual Board member via electronic means in a meeting where the public body is otherwise physically assembled. (§2.2-3708.2 and .3, Code of Virginia, as amended)
Section 4. Officers

The Board elects annually from among its members a Rector to preside at meetings and a Vice Rector to serve as President pro tempore in the absence of the Rector. By statute (§23.1-1300 Code of Virginia, as amended), either the Rector or the Vice Rector must be a Virginia resident. The Vice President for Policy and Governance serves as Secretary to the Board and as a resource on questions of parliamentary procedure unless the Board votes to elect a separate Secretary. The University Legal Counsel serves as the counsel to the Board.

The Rector and Vice Rector may serve a maximum of two one-year terms. The terms of the Rector and Vice Rector take effect July 1. The Vice Rector will also serve as the chair of one of the standing committees.

Section 5. Responsibilities of the Board

As public trustees, the members of the Board have the overall responsibility and authority, subject to constitutional and statutory limitations, for the continuing operation and development of the institution as a state land-grant university, and for the evolving policies within which it must function. Much of this authority necessarily is delegated to the President, who serves as agent of the Board and chief executive officer of the University.

The most important responsibility of the Board is the trustee obligation to insure that the University’s educational and research programs effectively meet the evolving needs of Virginia’s citizens to the fullest extent possible within the statutory mission of the institution. Similarly, in a national context, the Board’s oversight responsibilities extend to federally mandated programs. The formulation of the basic policies under which every aspect of the University's operations are carried out, as well as the implementation of those policies, consequently are subject to the Board's review, possible modification, and ultimate approval. However, it is at the policy level, rather than the operational level, that the Board's responsibilities are paramount.

By statute, the Board is charged with the care, preservation, and improvement of university property and with the protection and safety of students and other persons residing on such property. The Board also is charged with regulating the government and discipline of students and, in respect to the government of the University, may make such regulations as the Board deems expedient, not contrary to law. The Board has authority over the roads and highways within the University campus and may prohibit entrance to the property of undesirable and disorderly persons or eject such persons from the property (§23.1-2603), Code of Virginia, as amended).

Following are examples of the responsibilities of the Board, as set forth in state statutes or as developed through tradition and practice (see §23.1-1303). The list, however, is not necessarily inclusive.

1. Appointment of the President of the University.
2. Approves appointments and fix salaries of the faculty, university staff, and other personnel.  

3. Delegates authority to the President to implement annual compensation plans, including merit-based programs, authorized by the General Assembly or the Board of Visitors.

3.4. Establishes fees, tuition, and other charges imposed by the University on students (see Section 5b).

4.5. Reviews and approves the University’s budgets and oversees its financial management.

5.6. Reviews and approves proposed academic degree programs and the academic programs of the University.

6.7. Reviews and approves the establishment of new colleges or departments.

7.8. Ratifies appointments by the President or vice presidents that meet the salary threshold set by the Board.

8.9. Representation of the University to citizens and officers of the Commonwealth of Virginia, especially in clarifying the purpose and mission of the University.

9.10. Approves promotions, grants of tenure, and employment of individuals.²

10.11. Review and approves physical plant development of the University.

11.12. Approves the naming of buildings and other major facilities on University property.

12.13. Reviews and approves grants of rights-of-way and easements on University property.


14.15. Exercises the power of eminent domain.

15.16. Reviews personnel policies for the faculty and university staff.

16.17. Subject to management agreement between the Commonwealth of Virginia and Virginia Tech, the Board has full responsibility for management of Virginia Tech. (§23.1-1000, Code of Virginia, as amended).

² In practice the President and officers of the University make interim appointments which are ratified by the Board.

Section 5a. Resolutions

In order to permit mature consideration and to facilitate preparation of agendas and dissemination to all members of the Board, all proposed resolutions of the Board of Visitors shall be presented to the Secretary to the Board at least fifteen (15) days prior to the meeting at which they are proposed to be considered, with mailing or electronic access provided to the members and constituent representatives to occur ten (10) or more days prior to the meeting. Any amendments or additions to or deletions from the agenda must be presented to the Board Secretary in sufficient time to enable the changes to be distributed to the Board members and constituent representatives at least three (3) working days prior to the meeting. An emergency may be declared by a two-thirds (2/3) majority of the voting members present at the meeting to permit consideration of a proposal not adhering to this time requirement. Except in emergency situations, all action items and resolutions should come to the full Board from one of its standing or special committees or from the President of the University.

Section 5b. Resolutions for Tuition and Fees

Notwithstanding the provisions of Section 5a, when an increase to undergraduate tuition and/or mandatory fees is contemplated, the proposal shall be provided to the Board Secretary in sufficient time to enable notice of the projected range of the planned increase and an explanation of the need for the increase to be provided to students and the public at least 30 days prior to
voting on the resolution. The proposal will be shared with Board members concurrently with notification to the students and public. (§23.1-307(D), Code of Virginia, as amended)

Additionally, the Board will permit public comment on the proposed increase at a meeting (as defined in §2.2-3701, Code of Virginia, as amended) of the Board. The Governance and Administration Committee or other appropriate committee of the Board will develop guidelines for such public comment to include reasonable time limitations and the manner in which such comment will be shared with the Board. (§23.1-307(E), Code of Virginia, as amended)

Section 5c. Board Website

By statute, the Board is required to maintain a public website that includes a listing of all Board members with their date of appointment and the name of the Governor who appointed each, a listing of all Board committees and their membership, a schedule of all upcoming meetings of the Board and its committees along with instructions for public access, an archive of agendas and supporting materials of all Board and committee meetings, and an email address or email addresses through which Board members can receive public communications pertaining to Board business (§23.1-1303).

Section 6. Committees

The Board may organize itself into committees to facilitate its work. Committees are required to report to the full Board at least once a year (§23.1-2602, Code of Virginia, as amended). The Rector appoints the members and chairman-chairs of the Standing and Special Committees. The Vice Rector will serve as the chair of one of the standing committees. At the option of the Rector, chairs are limited to three (3) years.

The chairman of a committee is responsible to see that minutes are taken of the meetings of the committee. The President makes available appropriate persons who may be of assistance in the deliberations of a committee. The Rector is an ex officio member of all standing and special committees. All committee members will be members of the Board; committees, however, may form advisory committees which include non-Board members. Chairs may request advisors or other consultants to meet with their committees.

Any committee may adopt a formal written charter that specifies the committee’s responsibilities and practices. Charters must be approved by the Governance and Administration Committee before adoption.

Committee meetings are subject to the same requirements of the state's Freedom of Information statutes as are meetings of the full Board.

Section 6a. Executive Committee

The Executive Committee of the Board, established by statute (§23.1-2602, Code of Virginia, as amended), consists of not less than three or not more than six members. The Executive Committee includes the Rector, Vice Rector, and the chairs of the standing committees: Academic, Research, and Student Affairs Committee; Buildings and Grounds Committee; Compliance Audit, and Risk Committee; Finance and Resource Management Committee; and Governance and Administration Committee. [Note: The Vice Rector serves as chair of one of
the standing committees – See Sections 4 and 6.] At the request of the Rector or a quorum of the Executive Committee, the immediate Past Rector will be available to serve as a non-voting advisor to the Executive Committee. The immediate Past Rector is not counted as a member of the Executive Committee for the purpose of determining whether a quorum is present. The Executive Committee convenes on the call of the Rector or on the call of any two members. This Committee, in the interim between meetings of the Board, has full power to take actions on behalf of the Board. All actions taken by the Executive Committee must be ratified by the full Board at its next meeting in order to remain in effect.

The Executive Committee is charged by statute with organizing the working processes of the Board and recommending best practices for Board governance. Specifically, the Executive Committee shall:

1. Develop and recommend to the Board a statement of governance setting out the Board’s role;
2. Periodically review the Board’s bylaws and recommend amendments;
3. Provide advice to the Board on committee structure, appointments, and meetings;
4. Develop an orientation and continuing education process for visitors that includes training on the Virginia Freedom of Information Act;
5. Create, monitor, oversee, and review compliance with a code of ethics for Board members; and
6. Develop a set of qualifications and competencies for membership on the Board for approval by the Board and recommendation to the Governor. (§23.1-1306, Code of Virginia, as amended)

3 These duties of the Executive Committee are delegated to the Governance and Administration Committee.

Section 6b. Academic, Research, and Student Affairs Committee

This committee is responsible for matters and policies pertaining to the academic affairs, student life and conduct, and the research mission and goals of the university.

Section 6c. Buildings and Grounds Committee

This committee is responsible for the maintenance and development of the physical plant and infrastructure, land use and planning, and review and development of capital outlay requests. The university employee designated as the University Building Official when serving in that capacity reports directly to the Board of Visitors through this committee.

Section 6d. Compliance, Audit, and Risk Committee

This committee is responsible for oversight of enterprise risk management, adherence to the audit charter, reviewing audits conducted by Internal Audit and external bodies, and providing guidance on auditing concerns to the full Board. This committee is responsible also for oversight of university compliance with all federal, state, and local laws and executive orders; and policies promulgated by academic and athletic accrediting bodies, regulatory agencies, funding agencies, and the State Council of Higher Education for Virginia. This committee conducts an annual review of the Audit Charter.

Section 6e. Finance and Resource Management Committee
This committee is responsible for oversight of all fiscal resources, revenues, and expenditures of the university. This committee is charged with reviewing and evaluating budgets, expenditures, financial performance, and funding sources, and with providing guidance on financial issues to the full Board. This committee is also responsible for reviewing changes to the Commemorative Tributes Policy and requests for commemorative recognition.

Section 6f. Governance and Administration Committee

This committee is responsible for Board engagement, the Board’s protocols, bylaws, and periodic self-evaluation. This committee is also responsible for oversight of campus safety and security and of various administrative functions and non-academic areas of the university, including but not limited to human resources, communications and marketing, administrative computing, and athletics.

In addition, this committee is responsible for reviewing new or revised charters of all committees prior to their adoption (refer to Section 6).

Section 6g. Nominating Committee

The Nominating Committee, traditionally composed of three members, is appointed by the Rector and is responsible for reporting at the annual organizational meeting of the Board its nominations for all officers of the Board. The Rector will invite any additional nominations from the full Board before voting on nominations at the organizational meeting.

Section 7. Annual Reporting Requirement

The Board is required by statute to submit to the General Assembly and the Governor an annual executive summary of its interim activity and work no later than the first day of each regular session of the General Assembly. This executive summary shall also be posted for the public on the Board’s website (§23.1-1303). The secretary to the Board will be responsible for preparing the report and submitting and posting it in accordance with procedures stipulated by law.

Article II. Administration and Officers of the University

Section 1. The President

The Board appoints a President to initiate proposed policies, to execute approved policies, and to administer the University. The President serves as the authorized officer through whom communication takes place between the Board and the faculty, the Board and the students, and the Board and the other officers of administration or instruction employed by the University. The Board, as the governing authority of the University, delegates to the President the authority to oversee and to administer the policies of the Board and to manage the administrative, instructional, research, and public service programs of the University.
By statute, the Board must meet with the President at least once annually in a closed meeting and deliver an evaluation of the President’s performance. Any change to the President’s employment contract shall be made only by an affirmative vote of the majority of the Board’s members (§23.1-1303).

Section 2. Other Officers of the University

The President is assisted in the performance of the duties of that office by other officers of the University. Provost and vice-presidential appointments are made by the President and formally ratified by the Board.

Section 3. Faculty and Staff

The faculty and staff of the University receive appointments by appropriate University officials, and their names, titles and salaries are submitted periodically for confirmation to the Board of Visitors. The Board may delegate to the President (or designee) through a Delegation of Authority Resolution the authority to approve certain types of appointments or compensation actions without the requirement for subsequent confirmation by the Board. By statute, the Board may remove any faculty member of the University with the assent of two-thirds of the Board, subject to approved grievance procedures (§23.1-2605).

Article III. Related Corporations

Section 1. Associations with Related Corporations

A number of corporations are intricately tied with the University by virtue of affiliation agreements that they have entered into with the University and that comply with the format for affiliation agreements that the Board of Visitors has approved. Each corporation has its own board. The boards of these corporations focus on areas of special interest to the University. A listing of these affiliated corporations and their affiliation agreements shall at all times be kept on file with the Secretary of the Board of Visitors.

Prior approval of the Board of Visitors is required before permission to establish or to charter any new related corporation is sought from the State Corporation Commission.

Corporations associated with the Board are requested to supply the following information and comply with these procedures:

a. Provide the Board of Visitors with a copy of the corporate constitution, bylaws, and certificates of incorporation.

b. Specify the services which the corporation provides to the University.

c. Obtain approval for services and space, subject to review from time to time. The Administration, acting for the Board, may make facilities available.

d. Provide the Board with a copy of its official annual audit and other documents relating to tax-exempt status.

e. Coordinate insurance programs for the Corporation, other than employee benefit insurance programs, through the University’s insurance office and pay for its share of the premiums.
Article IV. Instruction

Section 1. Courses of Study

The curricula of the University, by statute, are to include instruction in agriculture and the mechanic arts without excluding other scientific and classical studies and military tactics (§23.1-2606). A full range of courses in the arts and sciences, agriculture, engineering, and other professional fields is offered in conformity with the institution’s mission as a comprehensive state university.

Section 2. Changing Curricula

The Board delegates to the President the authority to develop appropriate courses of study. New degree offerings are subject to the approval of the Board and the State Council of Higher Education for Virginia.

Article V. Extension

Section 1. Extension Division

The Board has responsibility and authority for the Virginia Cooperative Extension and Agricultural Experiment Station Division which encompasses Cooperative Extension, continuing education programs, and such other subjects as designated by the President or the Board. This Division, authorized by statute to serve both adults and youths, is established to conduct educational programs and disseminate useful and practical information to the people of the State (§23.1-2608, Code of Virginia, as amended).

Article VI. Miscellaneous Provisions

Section 1. Expenses

Board members may be reimbursed for reasonable travel expenses and other expenses incurred in the discharge of their duties (§23.1-1307).

Section 2. Removal of Board Members

The members of the Board of Visitors are protected by Virginia law from being removed without appropriate reasons. If any Visitor fails to attend the meetings of the Board for one full year without sufficient cause and/or perform the duties of his office for one year without good cause as determined by a majority vote of the Board, the remaining members of the Board shall record such failure in the minutes at its next meeting and notify the Governor, and the office of such member shall be vacated. (§23.1-1300, Code of Virginia, as amended).
The Code of Virginia §23.1-1304 requires new board members to attend educational programs developed by the State Council of Higher Education for Virginia (SCHEV) in his/her first two years of membership and to participate in further training on board governance as determined by SCHEV at least once every two years thereafter. If any Visitor fails to complete these educational requirements without sufficient cause, as determined by a majority vote of the Board, the remaining members of the Board shall record such failure in the minutes at its next meeting and notify the Governor, and the office of such member shall be vacated, and the member will be ineligible for reappointment. (§23.1-1300, Code of Virginia, as amended).

Dismissal of a Board member for cause will be pursued in accordance with Virginia Code §23.1-1300, as amended, which provides the process for removal of a Board member from office for malfeasance, misfeasance, incompetence, or gross neglect of duty. The Governor will issue a written public statement indicating his/her reasons for removing the member.

Section 3. Conflict of Interest

Each Board member is subject to the provisions of the State and Local Government Conflict of Interests Act and must file reports as necessary. (§ 2.2-3114(B), Code of Virginia, as amended).

Section 4. Code of Ethics

The Board is required by statute to adopt a Code of Ethics. Each Board member is subject to the provisions of the code. The Executive Committee will review compliance and report to the Governor any instances of breach of ethical conduct pursuant to the terms of the Code of Ethics.

Section 5. Educational Requirement

Educational programs for boards of visitors are required by statute to be delivered annually by the State Council of Higher Education for Virginia (SCHEV). New board members must participate in programs offered at least once during their first two years on the board. In addition, each board member shall participate in further training as determined by SCHEV at least once every two years (§23.1-1304, Code of Virginia, as amended). (See Article VI, Section 2.)

By July 1 of each year or upon request by SCHEV, the secretary of the Board shall report to SCHEV the activity of any Board member who has complied with the educational requirement during the prior year.

Section 6. Board Self-Evaluation

The Board periodically should conduct a formal evaluation of its committee structure, processes, procedures, and performance. Candid feedback should be sought from the Board members themselves, constituent representatives to the Board, the University President, and others as deemed appropriate by the Board, which may include the Board Secretary, Legal Counsel, and/or the administrators who serve as liaisons to the Board’s committees. The Governance and Administration Committee is responsible for developing and recommending to the full Board the evaluation procedure to be employed, including whether to retain an external consultant to conduct the evaluation, and for developing a plan to address any issues identified by the evaluation.
Article VII. Amendments and Repeal

Section 1. Construction

The Bylaws supplement the statutes of the Commonwealth as they relate to the University and are not intended to replace or amend them. Nothing contained in the Bylaws should be interpreted to diminish or alter the statutory powers of the Board.

Section 2. Changing Bylaws

These Bylaws, except where mandated by statute, may be changed by majority vote of the voting membership of the Board.

Section 3. Chronology of Bylaws Adoption and Amendments

Adopted by the Board, May 18, 1981
Amended by Resolution passed November 3, 2003
Amended by Resolution passed August 23, 2004
Amended by Resolution passed June 12, 2006.
Amended by Resolution passed August 28, 2006.
Amended by Resolution passed November 6, 2006.
Amended by Resolution passed June 20, 2008.
Amended by Resolution passed June 1, 2009.
Amended by Resolution passed August 31, 2009.
Amended by Resolution passed August 30, 2010.
Amended by Resolution passed June 3, 2013.
Amended by Resolution passed August 31, 2015.
Amended by Resolution passed June 26 (Executive Committee) & August 19, 2017
Amended by Resolution passed August 27, 2018
Amended by Resolution passed August 26, 2019
Amended by Resolution passed June 8, 2021
Amended by Resolution passed November 8, 2021
Amended by Resolution passed June 7, 2022 effective July 2022
Amended by Resolution passed June 7, 2022, effective September 2022
Amended by Resolution passed April 9, 2024
Respondents: 13 BOV Members, 5 Constituent Representatives; 7 Administrators

Note: Italic indicates > 0.2 gap between 2024 overall and BOV scores. Indicates that the question did not fall in the respective category in 2023.

### Average Scores Per Category (descending order) (poor=1; excellent=5)

<table>
<thead>
<tr>
<th>Category No.</th>
<th>2024 BOV Score</th>
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<tr>
<td>6. Board Culture</td>
<td>4.80</td>
<td>4.83</td>
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<td>4.70</td>
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<td>5. Meeting Dynamics</td>
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<td>4.44</td>
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<tr>
<td>3. Finance and Risk</td>
<td>4.12</td>
<td>4.23</td>
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<tr>
<td>1. Strategic Planning</td>
<td>4.08</td>
<td>4.07</td>
<td>4.02</td>
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<tr>
<td>4. Student Experience</td>
<td>3.95</td>
<td>3.94</td>
<td>3.95</td>
<td>3.92</td>
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<tr>
<td>2. Shared Governance</td>
<td>3.88</td>
<td>4.01</td>
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### Areas Possibly Needing Attention: (poor/disagree=1; excellent/agree=5) (worst to better)

<table>
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<tr>
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<th>2023 BOV Score</th>
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</tr>
</thead>
<tbody>
<tr>
<td>2.6 The board seeks out and considers diverse and competing points of view when discussing critical issues.</td>
<td>3.33</td>
<td>3.52</td>
<td>3.92</td>
<td>3.84</td>
</tr>
<tr>
<td>2.4 The board has a succession plan in place to address the departure or absence of the president, whether planned or unplanned.</td>
<td>3.42</td>
<td>3.67</td>
<td>3.00</td>
<td>3.26</td>
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<tr>
<td>2.7 The board demonstrates a commitment to freedom of expression and practices civil discourse, serving as a role model for the university community</td>
<td>3.83</td>
<td>4.04</td>
<td>3.85</td>
<td>4.16</td>
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<tr>
<td>1.1 The board is actively involved in shaping and supporting the institution's mission, strategy, and direction. The board holds the administration accountable for the safeguarding of university assets and implementing robust controls, ensuring that resources are utilized effectively and efficiently.</td>
<td>3.85</td>
<td>4.00</td>
<td>4.23</td>
<td>4.32</td>
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<tr>
<td>3.3 The board reviews educational quality based on current information regarding student learning outcomes, retention and graduation rates, experiential learning opportunities, first destination after graduation, etc.</td>
<td>3.85</td>
<td>3.76</td>
<td>3.92</td>
<td>3.88</td>
</tr>
<tr>
<td>4.5 The board ensures policies and practices are in place to protect freedom of expression and inquiry and institutional autonomy.</td>
<td>3.85</td>
<td>4.04</td>
<td>3.85</td>
<td>4.04</td>
</tr>
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</table>
### Areas Possibly Needing Attention: (poor/disagree=1; excellent/agree=5) (worst to better)

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<td>4.28</td>
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#### Items receiving a score of 1 or 2 by at least two respondents (and not listed above):

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<td>3.4</td>
<td>4.15</td>
<td>4.32</td>
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<tr>
<td>5.5</td>
<td>4.15</td>
<td>4.36</td>
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</tbody>
</table>

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The board remains informed of the ideas and perspectives of the faculty and staff (and students when appropriate) on major institutional issues, valuing their contributions to institutional governance.

The board ensures both the development and implementation of strategies that foster a campus-wide culture of inclusion.

The board encourages an appropriate level of risk-taking to foster innovation and growth while maintaining a vigilant approach to managing associated risks.

The board ensures the recruitment and retention of high-quality faculty and staff.

The board monitors non-college-based or co-curricular activities, such as the Corps of Cadets, athletics, living/learning communities, fraternity and sorority life, etc.

*Board meetings encourage constructive, high-quality, respectful exchanges and active engagement with robust and probing discussions.*

The board uses relevant data to monitor progress on strategic initiatives.

The board reviews university and college/department accreditation reports and administration's response to identified concerns or deficiencies.
### Areas Possibly Needing Attention: (poor/disagree=1; excellent/agree=5) (worst to better)

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<td>4.31</td>
<td>4.28</td>
<td>3.92</td>
<td>4.04</td>
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</table>

**Items from 2023 not continued forward as needing attention:**

1.3 The board ensures that the institution has a multi-year financial plan that is aligned with its strategic priorities.

1.4 The board is well informed of current issues and risks facing higher education and the associated institutional impacts, e.g., debt, value of college degree, enrollment cliff, mental health, technology, tension between free speech and harassment, etc.

4.2 The board remains well informed of signature programs and the breadth of offerings available.

2.2 The board collaborates with the president and appropriate constituent groups to gain support for established institutional goals.

### Highest-rated Items: (descending order) (poor/disagree=1; excellent/agree=5)

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<td>6.12</td>
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<td>4.56</td>
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<td>6.1</td>
<td>4.62</td>
<td>4.80</td>
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<td>4.72</td>
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</table>
The board promotes trust among board members through a culture based on openness and respect.

<table>
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<tr>
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<th>Score BOV</th>
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<th>Score Overall</th>
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</thead>
<tbody>
<tr>
<td>6.5</td>
<td>The board members speak openly during board meetings but after a vote is taken, support the decision of the board.</td>
<td>4.62</td>
<td>4.76</td>
<td>4.46</td>
<td>4.54</td>
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<tr>
<td>6.11</td>
<td>The board focuses its time on issues of greatest consequence to the institution.</td>
<td>4.54</td>
<td>4.68</td>
<td>4.46</td>
<td>4.52</td>
</tr>
<tr>
<td>3.5</td>
<td>The board stays abreast of legal and other issues affecting the national landscape for intercollegiate athletics and exercises appropriate oversight of VT’s intercollegiate athletics program.</td>
<td>4.46</td>
<td>4.46</td>
<td></td>
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</tr>
<tr>
<td>5.4</td>
<td>The board receives succinct reports/presentations from committees that frame productive discussion and facilitate decision-making.</td>
<td>4.46</td>
<td>4.52</td>
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<tr>
<td>5.2</td>
<td>The committees are properly structured and perform their delegated roles, reporting back clearly and fully to the board.</td>
<td>4.38</td>
<td>4.56</td>
<td>4.38</td>
<td>4.64</td>
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<tr>
<td>5.7</td>
<td>Meeting agendas allocate the majority of time to the university's strategic priorities and most critical issues facing the university.</td>
<td>4.38</td>
<td>4.56</td>
<td></td>
<td></td>
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<tr>
<td>1.3</td>
<td>The board ensures that the institution has a multi-year financial plan that is aligned with its strategic priorities.</td>
<td>4.23</td>
<td>4.08</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.5</td>
<td>The board refers to the institutional mission, its strategic priorities, and risks to inform effective decision-making.</td>
<td>4.23</td>
<td>4.20</td>
<td></td>
<td></td>
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<tr>
<td>3.1</td>
<td>The board reviews budget and periodic financial reports to ensure financial management supports the university mission and reflects institutional priorities, balancing short-term needs with long-term goals.</td>
<td>4.23</td>
<td>4.32</td>
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<tr>
<td>5.3</td>
<td>The board's time is allocated appropriately between the university's three missions of instruction, research, and outreach/engagement.</td>
<td>4.23</td>
<td>4.36</td>
<td></td>
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</table>
Board of Visitors Self-Assessment Summary
May 2024

To improve board's performance:
* Shorter presentations and more time for board engagement. The board wants the opportunity to share their input and expertise and have their questions answered. They do not want to be a rubber stamp.
* Opportunities to learn more about what is happening at other committees.

Top challenges facing the university:
* Accurately forecasting the higher ed environment for the next 10 years: enrollment, programmatic growth and decline, impact of AI and other technologies.
* Aligning university priorities to realistic budget revenues; constrained resources. Programmatic growth and decline. Eliminate extraneous activities. Find the right balance of resources to finance major initiatives while supporting basic programs and critical enabling infrastructure.
* Develop a sustainable business model not so heavily dependent on tuition increases. Develop multi-year plan for tuition. Diversify funding resources; increase endowment; build financial and organizational resilience. Implement a centralized model for SELECTIVE functions.
* Attract and retain top, forward-thinking talent. Address competitive salaries/benefits, housing cost, and challenges of rural area.
* Career-connected relevance - demonstrating the value proposition for a four-year or advanced degree. Also ensuring that faculty play the pre-eminent role in determining programs and not outside influences.
* The new era for intercollegiate sports
* Political polarization. Remain apolitical in VT’s commitment to being a welcoming and inclusive institution.
* Creating a culture in which the exchange of ideas and free speech are encouraged, with a focus on respectful interactions and constructive dialog. Balancing free speech with the need to ensure public safety.
* Student-administrator communications.

Areas about which the board needs more information:
* Underlying operating and business models that drive instruction and research. Expenditures not related to teaching, research, and extension. Strategies to achieve long-term financial stability to alleviate dependence on tuition increases.
* Development of metrics and milestones for the two primary initiatives: VT Advantage and VT Global Distinction.
* Impact of AI, generative AI, and cybersecurity on the effectiveness of operations and safety of the institution.
Board of Visitors Self-Assessment Summary
May 2024

* Benchmarking on current issues in common with other universities and how those universities are addressing them.
* VT’s alignment with national and global environmental standards.
* From 2023 - Space utilization and options for repurposing existing space as an alternative to new construction.