BOARD OF VISITORS

MEETING

August 28-29, 2023

Virginia Polytechnic Institute and State University
Board of Visitors Meeting Schedule
August 26-29, 2023

Saturday, August 26: Attire is casual business.

Late afternoon
BOV members arrive in Roanoke; check into Hotel Roanoke (4 pm) if lodging is needed.

Hotel Roanoke, 110 Shenandoah Avenue, Roanoke, VA

5:45 p.m. Gather in Hotel Roanoke lobby for short walk to restaurant for dinner

6:00 p.m. Reception/Dinner

Sunday, August 27: Attire is casual business.

8:30 a.m. Bus departs promptly from rear of Hotel Roanoke (lower level)
(pick up grab-and-go breakfast items as you depart hotel)

9:30 a.m. Arrive Skelton 4-H Educational Conference Center, 775 Hermitage Road, Wirtz, VA;
bos tour of the grounds

9:45 -10:15 Continental breakfast

10:15 – 10:45 BOV Orientation – legal and regulatory responsibilities

10:45 - 11:00 Opening remarks by Rector Baine and President Sands; introduction to the retreat topics
by President Sands

11:00 – 1:00 Discussion of generative artificial intelligence and implications for higher education and
Virginia Tech led by Scott Hartley with Rishi Jaitly and Naren Ramakrishnan.

12:00 Buffet lunch served during AI discussion.

1:00 – 2:30 Session 1 – Top 100 Global Research University (led by Clarke, Sui, and Sebring)

2:45 – 4:45 Session 2 – The Virginia Tech Advantage (led by Pratt, Holt, Holloway, and Keene)

4:45 – 5:00 Concluding remarks by Rector Baine and President Sands

5:00 – 6:00 Bus from 4-H Center to dinner venue

6:00 Dinner for BOV members and invited administrators (return by bus to
Hotel Roanoke after dinner)

Monday, August 28: Attire is business/business casual.

Unless otherwise noted, all meetings will be held at the Fralin Biomedical Research Institute at VTC (FBRI),
4 Riverside Circle, Roanoke.

BOV members will have breakfast on their own at Hotel Roanoke in the Regency Room

7:30 – 8:30 Executive Committee meets with President Sands in Closed Session in the Virginia Room (within
Regency Room)

8:30 a.m. CAR Committee and other BOV members assemble in the lobby of Hotel Roanoke for transport
to Fralin Biomedical Research Institute at VTC. (The only passengers on the bus will be Board
members, representatives, and 3-4 administrators.)
Monday, August 28 (continued): Attire is business/business casual.

8:45 -10:30 Compliance, Audit, and Risk Committee meets in Closed and Open Sessions in Room G102 A/B
10:15 a.m. Remaining BOV members assemble in lobby of Hotel Roanoke for transport to Fralin Biomedical Research Institute
10:45 – 12:45 Tour of Fralin Biomedical Research Institute and Virginia Tech Carilion School of Medicine
12:45-1:45 Lunch in FBRI lobby
12:45 p.m. Nominating Committee meets in Closed Session in Room 1102
1:45 – 3:30 Information Session for full Board in Room G102 A/B focusing on health and biomedical sciences; constituent reports
3:30-5:30 Academic, Research, and Student Affairs Committee meets in Open Session in Room G102 A/B
5:30 p.m. Bus departs from Fralin Biomedical Research Institute at VTC for Hotel Roanoke
6:00 p.m. Dinner for Board Members and invited administrators at Hotel Roanoke

Tuesday, August 29: Regular business attire. Unless otherwise noted, all meetings will be held at FBRI.

BOV members will have breakfast on their own at Hotel Roanoke in the Regency Room. Please check out of rooms and leave luggage at front desk.

7:30 – 8:30 Committee Chairs breakfast meeting with committee staff meets in Open Session in the Virginia Room (within Regency Room)
8:30 a.m. Bus departs Hotel Roanoke for Fralin Biomedical Research Institute at VTC
8:45 – 9:15 Academic, Research, and Student Affairs Committee meets in Closed Session in Room 1102. [At conclusion, committee members may join other committee meetings.]
8:45 – 10:45 Buildings and Grounds Committee meets in Open Session in Room G101 A/B, Fralin Biomedical Research Institute
8:45 – 10:45 Finance and Resource Management Committee meets in Closed and Open Sessions in Room G102 A/B, Fralin Biomedical Research Institute
10:45 – 11:15 Buildings and Grounds Committee and Finance and Resource Management Committee meet jointly in Open Session in Room G102 A/B, Fralin Biomedical Research Institute
11:15 a.m. BOV Group Photo and new BOV member individual photos, location TBD
11:45 a.m. Lunch for Board Members and invited administrators
1:15 p.m. Full Board Meeting in Room G102 A/B, Fralin Biomedical Research Institute
4:00 p.m. (time approximate) Meeting adjourns.
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  • Staff Representative to the Board – LaTawnya Burleson
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*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
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

Ms. Lynsay Belshe: Vice President for Auxiliary and Business Services
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
Dr. Chris Kiwus: Vice President for Campus Planning, Infrastructure, and Facilities
Dr. Steven H. McKnight: Vice President for Strategic Research Alliances
Dr. David Raymond: Interim Vice President for Information Technology and Chief Information Officer

Mr. Ken Miller: Vice President for Finance and University Treasurer
Ms. Kim O’Rourke: Vice President for Policy and Governance and Secretary to the Board
Mr. Charles D. Phlegar: Senior Vice President for Advancement
Dr. Menah Pratt: Vice President for Strategic Affairs and Diversity
Dr. Daniel Sui: Senior Vice President for Research and Innovation
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
Ms. Sharon M. Kurek: Vice President for Audit, Risk, and Compliance and Chief Risk Officer
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, 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, 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 – Joe Merola
Administrative and Professional Faculty Senate President – Janice Austin
Staff Senate President – LaTawnya Burleson
Graduate/Professional Student Representative – Emily Tirrell
Undergraduate Student Representative – Will Storey
Virginia Tech Board of Visitors Retreat

Agenda

Sunday, August 27, 2023
9:30 a.m. – 5:00 p.m.

W. E. Skelton 4-H Center
775 Hermitage Road
Smith Mountain Lake, Wirtz, Virginia 24184

- Orientation – Legal and Regulatory Responsibilities of the Board
- Opening Remarks by Rector Baine and President Sands
- Discussion of Generative Artificial Intelligence and Implications for Higher Education and Virginia Tech
- Session I – Top 100 Global Research University
- Session II – The Virginia Tech Advantage (Access, Affordability, and Student Success)
Virginia Tech Board of Visitors Meeting

Information Session

Monday, August 28, 2023
1:45 p.m.

Room G102 A/B
Fralin Biomedical Institute at VTC, Roanoke, VA

Virginia Tech’s Commitment to Health and Biomedical Sciences
• Dr. Michael Friedlander, Vice President for Health Sciences & Technology
• Dr. Lee Learman, Dean, Virginia Tech Carilion School of Medicine

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
Introduction of New Board Members and Student Representatives
MINUTES

June 6, 2023

The Board of Visitors of Virginia Polytechnic Institute and State University met on Tuesday, June 6, 2023, at 1:30 p.m. in Torgersen Hall Boardroom (Room 2100), Virginia Tech Campus, 620 Drillfield Drive, Blacksburg, Virginia 24061.

Present
Edward H. Baine (Vice Rector)
Shelley Butler Barlow
David Calhoun
Carrie H. Chenery
Sandy C. Davis
Greta J. Harris
C. T. Hill
Anna L. James
Letitia A. Long (Rector)
Sharon Brickhouse Martin
Melissa Byrne Nelson
Jeff Veatch

Absent
Brad Hobbs
L. Chris Petersen

Constituent Representatives:
Anna Buhle, Graduate/Professional Student Representative
Holli Drewry, Administrative and Professional Faculty Representative
Jamal Ross, Undergraduate Student Representative
Robert Weiss, Faculty Representative
Serena Young, Staff Representative

Also present were the following: President Timothy Sands, Kim O'Rourke (Secretary to the Board), Janice Austin, Mac Babb, Callan Bartel, Lynsay Belshe, Eric Brooks, Bob Broyden, Lori Buchanan, LaTawnya Burleson, Brock Burroughs, Cyril Clarke, Al Cooper, Corey Earles, Alisha Ebert, Kari Evans, Ron Fricker, Mike Friedlander, Bryan Garey, Guru Ghosh, Ellington Graves, Dee Harris, Kay Heidbreder, Tim Hodge, Elizabeth Hooper, Frances Keene, Chris Kiwus, Sharon Kurek, Elizabeth McClanahan, Nancy Meacham, Joe Merola, Ken Miller, Mike Mulhare, April Myers, Kelly Oakes, Charlie Phlegar, Ellen Plummer, Menah Pratt, Paul Richter, Julia Ross, Lisa Royal, Amy Sebring, Brennan Shepard, Dee Dee Somervell, Will Storey, Michael Stowe, Aimee Surprenant, John Tarter, Don Taylor, Jon Clark Teglas, Emily Tirrell, Rob Viers, Tracy Vosburgh, Lisa Wilkes, Chris Wise, and a number of students.

The meeting was livestreamed for the public via YouTube; there were 56 concurrent viewers on YouTube and a total of 224 views.

* * * * *

There was no public comment period.
Rector Long convened the meeting and welcomed everyone. She noted that the board held an information session the previous day and had presentations/discussions on transportation and parking, the Innovation Campus, and the Virginia Tech Advantage (addressing access and affordability) and heard constituent reports from the undergraduate and graduate/professional student representatives.

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

[*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 Long asked for a motion to approve/accept the consent agenda open session items as listed. The motion was made by Ms. Barlow, seconded by Ms. Harris, and approved unanimously.

- Minutes from March 20, 2023, BOV Meeting
- Minutes from April 21, 2023, BOV Special Meeting on Tuition and Fees - Attachment A
- Minutes from May 9, 2023, BOV Executive Committee Meeting - Attachment B
- Minutes from June 6, 2023, BOV Executive Committee Meeting – Attachment C
- Resolution to Ratify Action Taken by the BOV Executive Committee on May 9, 2023 – Attachment D
- Minutes of Information Session on June 5, 2023 - Attachment E
- Minutes of BOV Committee Chairs Meeting on June 6, 2023 – Attachment F
- Minutes of BOV Nominating Committee on June 6, 2023 – Attachment G
- Academic, Research, and Student Affairs Committee General Report (6/6/23) - Attachment H
- Buildings and Grounds Committee General Report (6/6/23) - Attachment I
- Compliance, Audit, and Risk Committee General Report (6/5/23) - Attachment J
From the Academic, Research, and Student Affairs Committee Consent Agenda:

- Resolution to Revise Language in Faculty Handbook Regarding Emeritus or Emerita Designation – Attachment M
- Resolution to Revise Chapter Seven of Faculty Handbook Regarding A/P Faculty Grievance Processes - Attachment N
- Resolution to Create Department of Neurosurgery at VTC School of Medicine - Attachment O
- Resolution to Establish a Master of Professional Studies in Climate Leadership in the College of Natural Resources and Environment - Attachment P
- Resolution to Approve Revisions and Updates to the 2023-2024 Virginia Tech Student Code of Conduct - Attachment Q
- Resolution to Allow Administrative Resolution of First-Time Honor Code Cases - Attachment R
- Resolution Mandating that First-Year Students Receive and Complete Human Trafficking Training - Attachment S

From the Finance and Resource Management Committee Consent Agenda:

- Resolution to Approve 2023-24 Hotel Roanoke Conference Center Commission Budget - Attachment T
- Resolution to Appoint University Commissioner to the Hotel Roanoke Conference Center Commission - Attachment U

From the Governance and Administration Committee Consent Agenda:

- Resolution to Revise the Staff Senate Constitution and Bylaws - Attachment V
- Resolution to Appoint a Representative to the New River Valley Emergency Communications Regional Authority – Attachment W
- Resolution to Appoint a Representative to the Virginia Tech/Montgomery Regional Airport Authority – Attachment X
Consent agenda information item; no Board of Visitors action required:

- Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies - Attachment Y
- Atlantic Coast Conference Governing Board Certification - Attachment Z
- Report of Research and Development Disclosures - Attachment AA

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REPORT OF THE ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE

Rector Long called on Dr. Nelson for the report of the Academic, Research, and Student Affairs Committee.

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REPORT OF THE BUILDINGS AND GROUNDS COMMITTEE

Rector Long called on Ms. Barlow for the report of the Buildings and Grounds Committee.

As part of the Buildings and Grounds Committee report by Ms. Barlow, approval of the following resolution was moved by Ms. Barlow, seconded by Dr. Nelson, and passed unanimously.

Resolution to Authorize the Demolition of University Buildings No. 0133 (Randolph Hall) and No. 0270C (Randolph Annex) and the Partial Demolition of Building No. 0133C (Hancock Hall)

That the resolution authorizing the demolition of Buildings No. 0133, No. 0280C, and partial demolition of Building No. 0133C be approved.

(Copy filed with the permanent minutes and marked Attachment BB.)

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REPORT OF THE COMPLIANCE, AUDIT, AND RISK COMMITTEE

Rector Long called on Ms. Martin for the report of the Compliance, Audit, and Risk Committee.

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REPORT OF THE FINANCE AND RESOURCE MANAGEMENT COMMITTEE

Rector Long called on Mr. Baine for the report of the Finance and Resource Management Committee.

As part of the Finance and Resource Management Committee report by Mr. Baine and with the endorsement of the Academic, Research, and Student Affairs Committee, approval of the following resolution was moved by Mr. Baine, seconded by Ms. James, and passed unanimously.

Approval of Resolution Delegating Authority for Pratt Funds

That the resolution delegating authority for the management of the Pratt Fund payouts to the Dean of the College of Agriculture and Life Sciences and the Dean of the College of Engineering be approved for the programs as defined by the estate. (Copy filed with the permanent minutes and marked Attachment CC.)

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

Approval of Strategies Related to the Development of the 2024-2030 Six-Year Plan

That the university’s strategies for the development of the 2024-30 Six-Year Plan proposal to advance shared goals be approved. (Copy filed with the permanent minutes and marked Attachment DD.)

Mr. Baine noted that the actual Six-Year Plan will be brought to the board for approval at their November meeting.

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

Approval of Year-to-Date Financial Performance Report
(July 1, 2022 – March 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, 2022, through March 31, 2023, and the Capital Outlay Report be approved. (Copy filed with the permanent minutes and marked Attachment EE.)
As part of the Finance and Resource Management Committee report by Mr. Baine and with the endorsement of the Academic, Research, and Student Affairs Committee, approval of the following resolution was moved by Mr. Baine, seconded by Ms. James, and passed unanimously.

**Approval of 2023-24 Faculty Compensation Plan**

That the proposed 2023-24 Faculty Compensation Plan be approved. (Copy filed with the permanent minutes and marked Attachment FF.)

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

**Approval of 2023-24 Compensation for Graduate Assistants**

That the graduate assistant compensation program for 2023-24 be approved. Pending final action by the General Assembly, the Board authorizes the president to modify the increase for graduate assistant compensation to match the statewide employee compensation program. (Copy filed with the permanent minutes and marked Attachment GG.)

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

**Approval of 2023-24 University Operating and Capital Budgets**

That the proposed fiscal year 2023-24 operating and capital budgets, as displayed on Schedules 1, 2, and 3, be approved. (Copy filed with the permanent minutes and marked Attachment HH.)

As part of the Finance and Resource Management Committee report by Mr. Baine and with the endorsement of the Buildings and Grounds Committee, approval of the following resolution was moved by Mr. Baine, seconded by Ms. Barlow, and passed unanimously.

6
Approval of Resolution for the Football Locker Room Renovation Project

That the resolution authorizing Virginia Tech to design and construct the Football Locker Room Renovation project be approved. (Copy filed with the permanent minutes and marked Attachment II.)

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As part of the Finance and Resource Management Committee report by Mr. Baine and with the endorsement of the Buildings and Grounds Committee, approval of the following resolution was moved by Mr. Baine, seconded by Ms. Barlow, and passed unanimously.

Approval of Resolution for Student Life Village, Phase I Planning Authorization

That the resolution authorizing Virginia Tech to move forward with a $19.5 million planning authorization to complete preliminary designs for Phase I of the Student Life Village be approved. (Copy filed with the permanent minutes and marked Attachment JJ.)

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REPORT OF THE GOVERNANCE AND ADMINISTRATION COMMITTEE

Rector Long called on Ms. Harris, in the absence of committee chair Chris Petersen, for the report of the Governance and Administration Committee.

Rector Long commented on one element of the board’s annual assessment, which was part of the committee’s agenda. Responses to one of the questions on the survey instrument indicated that there was a general lack of awareness of any succession planning in the event of a planned or unplanned vacancy in the university presidency. Rector Long clarified that the board’s Executive Committee regularly discusses succession planning.

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PRESIDENT’S REPORT

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

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CONSTITUENT REPORTS (no action required)

- Undergraduate Student Representative – Jamal Ross
- Graduate and Professional Student Representative – Anna Buhle
- Staff Representative - Serena Young
- Administrative and Professional Faculty Representative - Holli Drewry
- Faculty Representative - Robert Weiss

The students’ reports were delivered at the board’s information session on June 5, and the reports of the staff, administrative and professional faculty, and faculty representatives were delivered at the full board meeting. (Copies filed with the permanent minutes and marked Attachment LL.)

**********************************

Motion to Begin Closed Session

Mr. Baine 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. Consideration of the acquisition of real property for a public purpose, where discussion in an open meeting would adversely affect negotiating strategy.

3. The status of current litigation and briefing on actual or probable litigation.
4. Fundraising activities.

all pursuant to the following subparts of 2.2-3711 (A), Code of Virginia, as amended, .1, .3, .7, and .9.

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

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CLOSED SESSION REPORTS
(No Board action required)

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

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Motion to Return to Open Session

Following the closed session, members of the public were invited to return to the meeting. Rector Long asked Mr. Baine to make the motion to return to open session. Mr. Baine 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. Barlow and passed unanimously.

* * * * * * * * * *

Upon motion by Ms. James and second by Ms. Harris, 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 (5) – Attachment MM
- Resolution to Approve Appointments to Endowed Chairs, Professorships, or Fellowships (6) - Attachment NN
- Resolution to Approve Appointments with Tenure (5) – Attachment OO
- Resolution to Approve Faculty Research Leaves (3) – Attachment PP
- Resolution to Approve Exception to the Virginia Conflict of Interests Act (1) – Attachment QQ
- Resolution to Approve Appointments to Alumni Distinguished Professor (2) – Attachment RR
- Resolution to Approve Appointments to University Distinguished Professor (2) – Attachment SS
• *Resolution to Approve Promotion, Tenure, and Continued Appointments - Attachment TT
• *Resolution to Ratify 2023-24 Faculty Salary Adjustments as amended - Attachment UU
• *Resolution to Ratify Personnel Changes Report as amended - Attachment VV
• Resolutions to Approve Facility Namings (3) – Attachment WW

Mr. Calhoun recused himself from voting on the facility namings. (Copies are filed with the permanent minutes and marked as noted above.)

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Election of Rector and Vice Rector for 2023-2024

Rector Long called on Ms. Harris, for a report of the Nominating Committee for officers of the board. On behalf of the Nominating Committee, which Ms. Harris chaired and which also included Mr. Hobbs and Mr. Petersen, Ms. Harris presented the following nominees:

Rector:    Ed Baine
Vice Rector:  Sharon Martin (contingent upon reappointment)

Ms. Harris offered impassioned remarks about the historic significance in the life of the university of Mr. Baine’s nomination. “I am humbled and extremely proud today to put forth the name of an outstanding leader who fully embodies our Ut Prosim motto and after 151 years would become the university’s first Black rector,” Harris said. “With this vote, you would not only be making university history. We would be making one more spectacular step forward of manifesting our ancestors’ hopes and dreams for a better future.”

In accordance with the board’s bylaws, Rector Long asked if there were any other nominations from the floor for the position of Rector. There being no additional nominations, Mr. Hill made a motion for approval. The motion was seconded by Mr. Calhoun and passed unanimously.

Rector Long then asked if there were any other nominations from the floor for the position of Vice Rector. There being no additional nominations, Ms. Harris made a motion for approval of the nominees presented, contingent upon Ms. Martin’s reappointment to a second term on the board by Governor Youngkin. The motion was seconded by Ms. Barlow and passed unanimously. [If Ms. Martin is reappointed, it would be the first time in the university’s history that both the Rector and Vice Rector of the board were African-American.]

Ms. Harris suggested that it would be fitting to commemorate this historic milestone for our beloved university with a marker in the Quillen Spirit Plaza. Mr. Baine and Ms. Martin received a standing ovation.
In accordance with the board’s bylaws, Kim O’Rourke, Vice President for Policy and Governance, serves as Secretary to the board.

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Rector Long, along with President Sands, thanked Ms. Barlow, Mr. Hill, Ms. Martin, and Dr. Nelson for their service on the board as their terms come to an end. Ms. Martin and Dr. Nelson are eligible for reappointment by the Governor to a second term.

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Rector Long presented certificates of appreciation to the five constituent representatives whose terms are ending: Jamal Ross, Anna Buhle, Serena Young, Holli Drewry, and Robert Weiss. She then welcomed Will Storey as the incoming Undergraduate Student Representative, Emily Tirrell as the incoming Graduate/Professional Student Representative, Janice Austin, as the incoming Administrative and Professional Faculty Representative, LaTawnya Burleson as the incoming Staff Representative, and Joseph Merola as the incoming Faculty Representative.

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The meeting was adjourned at 4:24 p.m.

The dates of the next regular meeting are August 28-29, 2023, in Roanoke, VA.

________________________
Letitia A. Long, Rector

________________________
Kim O’Rourke, Secretary
Minutes of Executive Committee Meeting
Monday, August 28, 2023
Minutes of Retreat

Sunday, August 27, 2023
Minutes of Information Session

Monday, August 28, 2023
RESOLUTION TO RATIFY THE 2023 - 2024 FACULTY HANDBOOK

Documents included:

- Resolution to ratify the 2023 - 2024 Faculty Handbook
- Summary Table of Edits
- Detail of Edits for each chapter
- All handbook chapters including edits (additions and deletions including strikethrough)
RESOLUTION TO RATIFY THE 2023 – 2024 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 2023- 2024 Faculty Handbook that incorporates the revisions summarized in the attached table.

RECOMMENDATION:

That the Resolution to Ratify the 2023 – 2024 Faculty Handbook be approved.

August 29, 2023
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## Edits CHAPTER ONE
### MISSION AND GOVERNANCE OF THE UNIVERSITY

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no change in language, created new "stand alone" section, moved language from "restricted" section below
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<td><strong>9.5 Grading Systems</strong></td>
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<td>Added verbiage from “Resolution to Change the Grading Mode at VTCSOM from Satisfactory/Unsatisfactory with Opportunities for Letters of Distinction in each Year 3 Clerkship to Honors/High Pass/Pass/Fail “, approved by University Council on 10/4/2021.</td>
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<td>10.3 Preparation of Proposals for Sponsored Projects</td>
<td>Added OSP procedure 20002, Proposal Submission link for clarifying information.</td>
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<td>Added clarifying language for approved nonexempt protocol changes. Office for Innovation and Research</td>
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<td>Added clarifying language for approved nonexempt protocol changes. Office for Innovation and Research</td>
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<td>Added clarifying language for record retention compliance with Code of Virginia.</td>
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<td>Added clarifying language and corrected policy link.</td>
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<td><strong>FACULTY BENEFITS</strong></td>
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<td>New contract. Updated to reference the Benefits section of the Human Resources website and remove reference to specific disability monthly benefits amounts.</td>
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<td>Edits to this section approved by BOV on March 20, 2023.</td>
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<td>12.0 Virginia Tech Carilion School of Medicine (VTCSOM) Faculty</td>
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<td>Clarified that clinical preceptors are eligible for promotion, not eligible for tenure-to-title,</td>
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<td>Added Visiting Faculty to Instructor rank.</td>
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<td>14.0 Virginia Tech Extension Faculty with Continued Appointment or on</td>
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This document is subject to change. Please refer to the provost’s website for the most recent Faculty Handbook information.

University policies are available online, as are many important procedures maintained by the Procurement Department, Human Resources, and the Controller’s Office websites are updated as policies and procedures change. Please refer to them for issues not addressed in the Faculty Handbook.

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 veteran 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.

Faculty have the responsibility to be fully acquainted with and to comply with this handbook and the relevant policies of Virginia Tech.
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 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
- Graduate and Professional Student Senate
  - Commission on Graduate and Professional Student Affairs
- Staff Senate
  - Commission on Staff Policies and Affairs
- Undergraduate Student Senate
  - Commission on Undergraduate Student Affairs

**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
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 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 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

1.4.2 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.

1.4.2.1 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.

1.4.2.2 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.

1.4.2.3 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 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 outside the classified and university staff personnel system who are appointed to carry out the learning, discovery, and engagement programs of the university; carry out 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.

Tenure-track, tenured, instructional faculty not on the tenure-track, 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 relatively small instructional component, and non-tenure-track instructional faculty may have a relatively small to no research component.

College Faculty: tenure-track and tenured faculty, and instructional faculty not on the tenure-track

University Libraries 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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<th>Track</th>
<th>Ranks</th>
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<tr>
<td>Instructor</td>
<td>instructor, advanced instructor, senior instructor</td>
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<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 associate, clinical professor</td>
</tr>
<tr>
<td>Collegiate Professor</td>
<td>collegiate assistant professor, collegiate associate professor, collegiate professor</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 policies in chapter seven.

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<th>Track</th>
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<tr>
<td>Extension Agent</td>
<td>associate Extension agent, Extension agent, senior Extension agent</td>
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<tr>
<td>Extension Specialist</td>
<td>associate Extension specialist, Extension specialist, senior Extension specialist</td>
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<tr>
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<td>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.</td>
</tr>
<tr>
<td>4-H Center Program Director</td>
<td>associate 4-H center program director, program director, senior program director</td>
</tr>
<tr>
<td>Continued Appointment</td>
<td>assistant professor, associate professor, professor</td>
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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.

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>
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<tr>
<td>Research Professor</td>
<td>research assistant professor, research associate professor,</td>
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<td>research professor</td>
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<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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</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 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.

See chapter 12 in this handbook, “Employment Policies for VTCSOM Faculty.”

2.4 Faculty Search Processes
Faculty recruitment and search processes are available on the Human Resources website. 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 have the opportunity to 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.

The terms of faculty offer templates for each type of faculty appointment can be accessed by authorized users of the university’s recruitment and onboarding system. The terms of faculty offer is intended to document the tenure or continued appointment status (tenured, tenure-track, non-tenure-track, continued appointment, or continued appointment-track), appointment status (regular or restricted, effective date and, if restricted, an end date), the appointment period (academic or calendar year) and length of the appointment, assigned faculty rank, 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). All terms of faculty offer shall refer to further 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 website](#). 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 website](#).

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 special additional compensation earned through all university programs in the summer sources by any faculty member on academic year appointment shall not exceed 33½ 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 also receive special 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 of special additional compensation earned through all university programs in the summer by any faculty member on an academic year appointment shall not exceed 33⅓ 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) appointments may be invited by the department head, chair, school director, or supervisor to teach one or more courses in summer session for special compensation.

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.

Faculty members on academic year appointments may also receive special compensation for engaging in approved sponsored research, Extension activities, or non-credit instructional activity conducted by Continuing and Professional Education. The total of special compensation earned through all university programs in the summer by any faculty member on academic year appointment shall not exceed 33⅓ percent of the annual salary for the preceding academic year.

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, as it is not considered part of the usual expectations for the instructional year. 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 percent 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 percent 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.

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

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.

2.8 Conviction and Driving Record Investigation for Employment

The university conducts a conviction and/or driving record investigation once a contingent offer is made to 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 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, 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 33⅓ percent 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 33⅓ 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 33⅓ 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 on the basis of 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

| First year of employment (One-year term appointment) | February 9 of academic year or three months before end of employment year. |
| Second year of employment | November 9 of the academic year or six months before end of employment year; |
| Subsequent years | 12 months before end of employment year (May 9 for academic year appointments). |
### 2.16.3.3 Notice of Non-Reappointment for Faculty on Regular, Non-Tenure-Track, Instructional Appointments

<table>
<thead>
<tr>
<th>Duration</th>
<th>Notification Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than two years</td>
<td>At least three months before the end of the current contract for those who have been in a regular appointment for less than two years.</td>
</tr>
<tr>
<td>Up to five years</td>
<td>At least one semester before the end of the current contract for those on an academic year (AY) appointment; or six months for those on a calendar year (CY) appointment; for those who have been in a regular appointment for two years up to five years.</td>
</tr>
<tr>
<td>Five years or more</td>
<td>At least one year before the end of the current contract for those on regular appointment for five years or more (May 9 for academic year (AY) appointment).</td>
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</tbody>
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### 2.16.3.4 Non-Reappointment for Research Faculty on Regular Appointment

<table>
<thead>
<tr>
<th>Duration</th>
<th>Notification Requirement</th>
</tr>
</thead>
<tbody>
<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>
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### 2.16.3.5 Notice of Non-Reappointment for Administrative and Professional Faculty on Regular Appointment

<table>
<thead>
<tr>
<th>Duration</th>
<th>Notification Requirement</th>
</tr>
</thead>
<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>
</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 purpose of 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 purposes 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 as a whole. 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 the purpose of developing the 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. In particular, notice of termination longer than the minimum specified above may be given to particular 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 manner in which 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. Not all employees
who are eligible will be selected to participate if more apply than are needed to address the reductions or if an individual 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 of 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 makes a contribution 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 a larger and institution-wide commitment to a safe and secure campus, the university established offices specifically charged with security and safety responsibilities, created a committee structure, the University Safety and Security Policy Committee, to provide general oversight and leadership for the university’s security, safety, and violence prevention efforts, 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. Faculty Senate Committee on Ethics

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. Faculty Senate Committee on Reconciliation

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. Faculty Senate Review Committee

2.22 Consulting Activities
Consult the Conflict of Interest 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 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 are 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 33⅓ 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 33⅓ percent for academic year faculty members. Faculty members on calendar year appointments may earn 33⅓ 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-teaching credit 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, provided that participation in those activities is in compliance 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 of 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 weighted 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 (https://law.lis.virginia.gov/vacode/title2.2/chapter31/ (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 (https://law.lis.virginia.gov/vacode/title2.2/chapter31/ (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
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 joint 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 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.
CHAPTER THREE
TENURE-TRACK AND TENURED FACULTY

3.0 Employment Policies for Tenure-Track and Tenured Faculty

3.1 Faculty Ranks

3.1.1 Assistant Professor
An assistant professor 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 that may be renewable.

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 and also as a group, to share their scholarship with university alumni or other interested groups, as well as to render special service or to offer particular 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 particular 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 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. 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 collegiate 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 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.

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.

3.2.4 Emeritus or Emerita Designation

The title of emeritus or emerita is conferred on retired Virginia Tech full professors, associate
professors, administrative officers, Extension or libraries faculty members with continued
appointment, and senior Extension agents, as defined in Faculty Handbook, Chapter Two,
sections 2.2 through 2.7 with continued appointment, and senior Extension agents who have
made given exemplary service contributions to the university and who the president specifically
recommends to the Board of Visitors for approval are recommended to the Board of Visitors for
approval by the provost and president. For additional information and nomination procedures see
the provost's website. Their names are listed on the appropriate university website(s). Policy 4405
“Emeritus/Emerita Faculty” provides further guidance to department heads, chairs, and school
directors, retiring faculty members concerning emeritus or emerita status and continued
involvement in the life of the university.

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 honors, each college should have formal
procedures for the nomination and appointment of faculty to emeritus or emerita status that
include review by a college honors 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.

3.3 Appointments with Tenure

A 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 of time, 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 are able to 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

Promotion in rank and the granting of tenure are based on a faculty member’s contributions 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. It should be understood that departmental expectations, guidelines, and procedures are also the same for schools.

Faculty members being considered for either promotion or the awarding of tenure have their dossiers reviewed at as many as three levels: by a (1) departmental/school committee and the
head, chair, or school director; by a (2) college committee and the dean; and by (3) a university committee and the provost.

Occasionally faculty members are evaluated for a tenured appointment during the probationary period but before the final probationary 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.

**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. As such, the content of conversations and the results of any votes may be discussed only with individuals who have a current role in the promotion and tenure process, such as committee members or administrators. However, faculty 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 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 will maintain promotion and/or tenure guidelines in a document that follows 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, and will be made available online. Revisions to these guidelines must also be approved by the faculty, the college, and the provost’s office.

**3.4.1 Tenure Eligibility**

Tenure is an institution developed for the protection of the academic freedom of the teaching faculty in institutions of higher education. Eligibility for tenure consideration is limited to faculty members holding regular faculty appointments of 50 percent to 100 percent in academic departments. Tenure is not granted to faculty members with temporary appointments or to administrative and professional faculty. Individuals holding tenure in academic departments who are appointed to administrative positions, however, continue to hold tenure in those departments.

Full-time administrators who also hold appointments in academic departments and engage in teaching and research may be recommended for tenure in such departments.
3.4.2. Pre-Tenure Probationary Period and Reviews of Progress Toward Promotion and/or Tenure

Pre-tenure probationary period. The term "probationary period" ("pre-tenure") is applied to the succession of regular, full, or part-time term appointments during which evaluation for reappointment and an eventual tenured appointment takes place. The probationary period is typically six years unless an approved extension is granted. The beginning of the probationary period for faculty members on term appointments is 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.)

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.

The maximum total period for full-time probationary appointments is normally six years, unless approved tenure clock extensions are granted. Decision about tenure, if not made earlier, is made in the final year of the probationary appointment. If the tenure decision made in the final year is negative, a one-year terminal appointment is offered.

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.”

A faculty member on a probationary appointment who wishes to request a leave of absence should consult with their department head or chair 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.

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 award of tenure.)

In determining the final tenure 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 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.

Pre-tenure probation period reviews: 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 offer (TOFO) identify 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 scholarship or creative activity. It is strongly suggested that promotion and tenure committees and pre-tenure faculty use the 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 or chair meet with the faculty member to discuss the review and recommendations. Faculty members are also encouraged to seek guidance and mentoring from senior colleagues and the department head or chair. Pre-tenure faculty members bear responsibility for understanding and meeting departmental expectations for promotion and/or tenure.

The initial review for a part-time faculty member 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 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.

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. The extent of this review is determined by each department or school.

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 to discuss the review and recommendations. Faculty members are also encouraged to seek guidance and mentoring from senior colleagues and the department head or chair.

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. However, 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. The extent of this review is determined by each department or school.

Under usual circumstances, departmental/school promotion and tenure committees review the professional progress and performance of pre-tenure 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/school 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 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 reappointment reviews and for the mandatory review for tenure should be documented in writing as part of the agreement for the part-time appointment. Any changes to the agreement should be agreed upon and documented by the faculty member and department.

Reviews are substantive and thorough. At a minimum, departmental/school promotion and tenure committees must review the faculty member's relevant annual activity reports, peer evaluations of teaching, and authored materials. It is strongly suggested that promotion and tenure committees and pre-tenure faculty use the promotion and tenure dossier format available on the provost's website in organizing and presenting information for review.

The pre-tenure reviews should analyze the faculty member's progress toward promotion and 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 departmental/school file. In addition, the promotion and tenure committee and the department
head, chair, and school directors 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 and the department head, chair, and school director or chair. Pre-tenure faculty members bear responsibility for understanding departmental/school expectations for promotion and tenure and for meeting those expectations.

The initial appointment for assistant professors, and for associate professors and professors employed without tenure, is ordinarily for a period of not less than two years. Multiple-year reappointment may be subsequently recommended.

The maximum total period for full-time probationary appointments is six years, unless an approved extension is granted. Decision about tenure, if not made earlier, is made in the final year of the probationary appointment. If the tenure decision made in the final year is negative, a one-year terminal appointment is offered.

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 award of tenure.)

In determining the mandatory tenure 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 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 .5 is rounded down, and a fraction greater than .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 denied tenure following a mandatory 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, “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 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 three, “Guidelines for the Calculation of Prior Service.”

A faculty member on probationary appointment who wishes to request a leave of absence consults with the 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 and the provost’s approval of the leave request specifies whether the leave is to be included in the probationary period.
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 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 three, "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 (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.

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 tenure status. Excepting temporary appointments with limited terms, the faculty appointees are given clear notice of the length of the term of their initial appointment, and the 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.

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, the faculty member provides documentation for 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, chair, or school director and the dean.

3.4.4 General Expectations for Promotion and Tenure
Promotion to a higher rank and appointment with tenure may be awarded 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 should maintain a current curriculum vitae, with copies filed in the department and college (or equivalent academic units, as appropriate). The curriculum vitae together with annual faculty activity reports, student evaluations, reprints of publications, reference letters, and other similar documents comprise a dossier that furnishes the principal basis for promotion and tenure decisions.

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.

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 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 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.

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.

Faculty members being considered for either promotion or the awarding of tenure have their dossiers reviewed at as many as three levels: by a departmental/school committee and the head or chair; by a college committee and the dean; and by a university committee and the provost.

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 committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Each candidate for tenure and/or promotion to associate professor is evaluated in the light of the triple mission of the university: learning, discovery, and engagement. Although not all candidates are 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 require evidence of excellence in at least one area.

The award of tenure is based on the achievement of distinction in an area of learning and the prediction of eminence throughout the individual’s professional career. The documentation and evaluation should recognize some significant impact of the candidate’s contributions beyond the borders of the university. If the primary strength is in instruction, there should be recognition that the candidate’s pedagogical contributions have influence beyond the immediate classroom; if in research, that there is significant impression on colleagues nationally; if in outreach that the influence of the contributions reaches beyond the immediate clientele.
Each candidate for the rank of professor must demonstrate a high level of competence in an appropriate combination of instruction, outreach, and professional activities relevant to the 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.

The university recognizes and encourages appropriate international involvement of its faculty as a mission of the university that cuts across the three traditional missions of learning, discovery, and engagement. Occasionally faculty members are placed on international assignments at full salary away from the university’s domestic locations. Under such circumstances, faculty members should be given the usual consideration for tenure, promotion, and salary advancement.

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.

In cases of tenure recommendation, in addition to evaluation of the candidate’s professional abilities, consideration should be given, at all stages of evaluation and review, to future departmental/school program directions and concern for maintaining currency and flexibility by preserving opportunities to appoint new faculty members in the various sub-fields of the department.

Levels of expectation vary, of course, with the level of the decision. Where probationary reappointments recognize, in part, perceived potential instead of accomplishment, recommendations for tenure should suggest that the potential is being achieved and should imply few, if any, lingering doubts about the value of the candidate to the department’s program for a “lifetime.” And promotion to professor, which leaves limited opportunity for further university recognition of professional development, should be reserved for those whose achievements are broad and noteworthy.

Besides consideration of specific professional criteria, evaluation for promotion or tenure 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.

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. The committee makes a recommendation on each candidate to the department head, chair, or school director, 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 college-level committee and administrator, but must otherwise remain confidential outside the committee. In the absence of a unanimous recommendation, a minority report may be included.
Whenever the department head, chair, or school director does not concur with the committee’s recommendation, the committee is so notified.

**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 in order 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 mandatory tenure decision in the final year of probationary service, the head, chair, or school director passes on to the dean sends the dossier of every candidate to the dean, even when both the head, chair, school director and the committee have made negative recommendations, which includes the committee’s evaluation and recommendation and the head, chair, or school director’s own recommendation, whether concurring or not. If not concurring, the head, chair, or school director includes a letter specifying the reasons. If concurring, the head, chair, or school director may submit a letter that combines the committee’s and the head, chair, or school director’s evaluation and recommendation. Should the committee and the head, chair, or school director agree on a negative recommendation, the dean may declare that to be the final decision or may choose to have the recommendation reviewed by the college committee.

In all other cases, (promotion or tenure before the final year of probationary service), 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 head, chair, or school director informs the faculty member of a negative decision if no further review is scheduled. In that case, the faculty member is notified, in writing, of appeal options.

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.

In sending dossiers to the college level, the head, chair, or school director may hold back supplementary materials not deemed central to the review but indicates their nature and their availability. Accompanying the set of dossiers is a statement from the head, chair, or school director describing the formation and procedures of the departmental/school committee and summarizing the number of candidates considered in each category (mandatory tenure, pre-final-year tenure, promotion at each rank).

On recommendation of the Commission on Faculty Affairs, University Council approved guidelines for the careful consideration by colleges and departments in the composition and method of selection of departmental/school promotion and tenure committees. They are presented as guidelines in the recognition that some flexibility is necessary to accommodate the diversity in size, structure, and composition of departments and in the desire to preserve some degree of department and college autonomy in such matters.

Composition and size: Individual departments must develop and publish written policies to guide their promotion and tenure review processes, including the rules governing eligibility and selection of committee members. Individual departments determine who is eligible to serve on committees.
from among tenured faculty members. A balance between adequate representation and effectiveness of operation as a committee suggests that a size between four to seven members is most appropriate.

Method of selection: Some significant elements of faculty choice must be a part of the selection procedure. Some possibilities are: a combination of elected and appointed representatives; an elected slate significantly larger than the committee size, allowing the department head, chair, or school director to appoint the committee from the slate; or a committee elected by the faculty.

Role of the department head, chair, or school director: Given their responsibility to make a separate and independent recommendation on each case, department heads, chairs, and school directors may not vote as members of committees. Department heads, chairs, and school directors may convene committees and may discuss each candidate with committees as appropriate. However, it is recommended that committees discuss the merits of the candidates and frame their recommendations without department heads, chairs, or school directors in attendance.

3.4.4.2 College Evaluation for Promotion and Tenure

Each college shall 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.

The committee reviews the cases of any candidates recommended by the departmental/school committee and/or the head, chair, or school director and, if requested by the dean, reviews cases of mandatory tenure receiving negative recommendations by both the departmental/school committee and the head, chair, or school director.

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.

The committee makes a recommendation on each candidate to the dean. The division of the vote at both the departmental/school and college level is conveyed to the university-level committee and provost, but must otherwise remain confidential. If the recommendation is at variance with that received from the department head, chair, or school director, reasons for that variance should be specified in the recommendation.

Whenever the dean does not concur with the committee's recommendation, the committee is so notified. The dean sends to the provost the full dossier of every candidate for whom the dean makes positive recommendation and also the dossiers of those cases where the dean does not concur with the college committee's positive recommendation. The dean includes a letter specifying the reasons for any reversal of the committee's recommendation and, in cases of concurrence, may include a letter to bring out additional points not raised in earlier evaluations.

In the case of any candidate for promotion or tenure whose dossier is not being sent to the provost, the dean informs the department head, chair, or school director of the rejection and the department head, chair, or school director so notifies the departmental/school committee and the faculty member. In that case, the faculty member is notified, in writing, of appeal options.

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, subsequent to 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.

Committee composition: Rules governing eligibility and selection of college committee members and the committee chair, and operating guidelines for the committee’s deliberations must be documented in written college policies, formally approved by the faculty.

Individual colleges determine who is eligible to serve on committees from among tenured faculty members.

A significant element of faculty choice must be part of the committee selection procedure. Some possibilities are: 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.

The dean may appoint up to three tenured faculty members to serve on the college committee in order to assure appropriate representation of disciplines or very large departments and schools, 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.

If department heads, chairs, and/or school directors serve on college committees, their total number must be less than that of other faculty members.

Committee appointments 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.

Selection of the committee chair is determined in accordance with college policies, approved by the faculty.

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 college committee’s, reasons for that variance must be specified, including references to the relevant
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 carried out.

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.

The dean may be present at college committee deliberations and serve in an advisory capacity to the committee to assure compliance with college and university procedures and fairness and equity of treatment of candidates. The dean does not vote on committee recommendations, but provides a separate recommendation to the provost.

Faculty members appointed to serve on the university-level promotion and tenure committee are encouraged to observe college-level deliberations to better prepare for their roles but should not participate or attempt to influence college-level recommendations.

Committee procedures and recommendations: The college committee may ask the department head, chair, or school director, the candidate, and/or a representative(s) of the department committee to appear before the college committee to present additional information or clarification of recommendations.

The committee makes a recommendation on each candidate to the dean and prepares a letter summarizing its evaluation to forward with the dossier. A record of the committee's vote is documented and forwarded to the dean.

Review and recommendations by the dean: The dean sends forward to the provost the full dossier of every candidate for whom there is a positive recommendation from either the college committee or the dean, or both. The dean prepares a separate letter of recommendation to be forwarded with the dossier.

The dossiers that the dean sends to the provost are 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. The division of the vote at both the departmental/school and college levels is conveyed to the university-level committee and provost, but must otherwise remain confidential.

If both the college committee and the dean of the college reject a positive department recommendation, the usual process of review is concluded and the dossier is not sent forward to
the provost. The dean informs the department head, chair, or school director of the rejection and the department head, chair, or school director notifies the departmental/school committee and the faculty member. In that case, the dean informs the faculty member, in writing, of the specific reasons for the decision and provides notification of appeal options outlined in chapter three, “Appeals of Decisions on Reappointment, Tenure, or Promotion.”

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. reviews the qualifications of the candidates recommended for promotion or tenure by each college dean. It also reviews those cases in which the dean does not concur with the college committee’s positive recommendation. The purpose of the reviews is to verify that the recommendations are consistent with the evidence, reflect university standards, and that they are consistent with university objectives, programmatic plans, and budgetary constraints.

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. The committee makes a 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.

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. Subsequent to 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 in order 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 particular 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 upon 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.

If the recommendation for promotion and/or tenure varies from that received from the department or college, reasons for that variance must be specified, including references to the relevant departmental “Expectations Guidelines” for promotion and/or tenure.

The president makes recommendation 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.

On recommendation of the Commission on Faculty Affairs, the University Council approved the following further guidelines on formation and procedures of the university committee:

The university committee consists of the college deans and tenured faculty members of the rank of associate professor or higher, one from each college and one faculty member-at-large. The selection of the faculty members should be based on demonstrated professional excellence.

All members of the 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 tenure review process vote only once on an individual case, deans do not vote on cases from their own college. Similarly, faculty members serving on the university committee do not vote on any case they previously voted on, should this circumstance occur.

Some significant element of faculty choice should be part of the selection procedure; therefore, each college faculty, by 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 faculty members of the committee hold rotating terms of three years. The provost chairs the committee, but does not hold voting privileges.

All voting within the committee should be by written secret ballot; the division of any ballot must remain confidential.
3.4.5 Appeals of Decisions on Non-Reappointment, Tenure, or Promotion (for grievance policy and procedures see section 3.7)

Appeal. A faculty member who is notified of a negative decision following 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 make reference to explain the appeal procedures.

An appeal can 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 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 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 fairness or thoroughness of review. Whenever possible, the goal should be to achieve final resolution in time to accommodate the first meeting of the Board of Visitors in the fall semester.

At any time, A faculty member who believes that with questions or concerns about the appeal procedures 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, and/or file a grievance in accordance with the grievance procedure.

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 both 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, “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, and with the advice of the departmental/school personnel committee or the faculty development committee, evaluate faculty for non-reappointment. Notice of non-reappointment is furnished according to the schedule in chapter two, “Retirement, Resignation, and Non-Reappointment.”

If the decision is based on evaluation of the faculty member’s performance, including perceived lack of potential for further professional development, then 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 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.

The department/school committee makes a recommendation on each candidate to the head, chair, or school director. If the head, chair, or school director does not concur with the committee’s recommendation, or if both the head, chair, or school director and the department/school committee recommend non-reappointment, the specific reasons for the negative recommendation(s) are provided to the faculty member in writing by the department head, chair, or school director, and there is an automatic review of the candidate’s dossier by the college committee and the dean.

The dean notifies the faculty member in writing of the review, including their right to present oral arguments to the college committee. If the college committee and the dean recommend non-reappointment, the dean notifies the faculty member in writing of the specific reasons for the negative recommendations and no further appeal is provided. If the college committee’s recommendation varies from the dean’s, the case is automatically sent to the provost for review.

The specific reasons for the decision are provided to the faculty members in writing, evaluate faculty for reappointment.

If the decision is based primarily on evaluation of the faculty member’s performance, including perceived lack of potential for further professional development, then 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.

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, 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. With all non-mandatory cases, 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 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 president’s recommendation to the Board of Visitors, and the Board of Visitors’ final decision, 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.

<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 (all but mandatory tenure cases)</td>
<td>May appeal to college committee (through the dean)</td>
</tr>
<tr>
<td><strong>Appeal granted by the college committee and/or dean</strong></td>
<td></td>
</tr>
<tr>
<td>Negative recommendation by department committee and by department head or chair (final year/mandatory tenure cases only)</td>
<td>Moves to college committee and dean for normal consideration of the case</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>Negative recommendation by department committee; negative 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>Negative recommendation by college committee and dean</td>
<td>May appeal to University Promotion and Tenure Committee (through the provost)</td>
</tr>
<tr>
<td>---------------------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Appeal granted by the University Promotion and Tenure</strong></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>

### 3.4.3.1 Tenure Decision

Occasionally faculty members are evaluated for a tenured appointment during the probationary period but before the final probationary 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.

Evaluation for a tenured appointment is mandatory in the final year of probationary service unless the faculty member has given written notice of resignation from the faculty. If both the departmental/school committee and the department head, chair, or school director agree that the faculty member’s record does not warrant a tenured appointment, there is an automatic review of the candidate’s dossier by the dean. If the dean concurs, the faculty member is notified by the dean, in writing, of the decision and the specific reasons for it.

The faculty member may then request, through the dean, that the college committee on promotion and tenure independently review the decision. The faculty member presents the appeal in writing as specified in chapter three “Appeals of Decisions on Reappointment, Tenure, or Promotion.” The faculty member may elect to present oral arguments to the committee as well. If the committee concurs with the decision, the decision is final. The dean so notifies the faculty member, in writing, and no further appeal is provided.

During the automatic review of the candidate’s dossier, the dean may wish to reserve judgment. In such a case, the dean notifies the faculty member of the departmental/school decision and tells the faculty member that the dean is requesting the college committee on promotion and tenure to undertake an independent review, as specified in the previous paragraph, and to make a recommendation. Should the college committee and the dean concur with the departmental/school decision, the decision is declared final, the faculty member is so notified, and no further appeal is provided. The specific reason for the decision is provided to the faculty member in writing.
In any case of college-level review of a negative departmental/school decision, a positive recommendation by either the college committee or the dean is sent with the dossier to the University Promotion and Tenure Committee in the same way as in the usual review process. If the college committee and the dean undertake the review based on a positive recommendation of either or both the departmental/school committee and the department head, chair, or school director and if the college committee recommends that tenure not be awarded and the dean concurs, the faculty member is notified of the negative decision with reference to appeal procedures. The specific reasons for the decision are furnished to the faculty member in writing. The faculty member may then appeal to the provost for review of the decision by the university committee, which makes a recommendation to the provost for a final decision. The faculty member presents the appeal in writing as specified in chapter three, “Appeals of Decisions on Reappointment, Tenure, or Promotion.” No further appeal is provided. The university committee may choose to hear oral arguments.

Should the provost not concur with a positive recommendation from the University Promotion and Tenure Committee, 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.

During review following an appeal, the college committee may find reason to believe that the departmental/school evaluation was biased or was significantly influenced by improper considerations. In that case, the reviewing committee may request that the college dean form an ad hoc committee to re-initiate the evaluation. The ad hoc committee is composed, as feasible, of faculty members in the candidate’s department or in closely allied fields and does not contain any members of the original committee.

Should the university committee make such a finding in the review of an appeal relative to the college evaluation, it requests the dean to form a new ad hoc committee at the college level. The ad hoc committee makes a recommendation to the committee that requested its formation.

Review of Progress Toward Promotion to Professor

At least one review of progress toward promotion to professor is required three to five years after promotion and tenure is awarded (or after tenure is awarded at the current rank of associate professor). The review is required for faculty promoted and tenured during 2012-13 and thereafter. The review is to be substantive and thorough. At a minimum, an appropriate departmental/school committee (e.g., promotion and tenure committee, personnel committee, annual review committee) must review the faculty member’s relevant annual activities, 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 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 focus 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
departmental/school file. In addition, the faculty member may request a meeting with the department committee chair and the department head, chair, or school director to discuss the review and recommendations. Individual faculty members are also encouraged to seek guidance and mentoring from senior colleagues and the department head, chair, or school director.

3.4.5.4 Promotion to Professor Consideration and Decision
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, chair, or school director by a faculty member at any time if the department head, chair, or school director or 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. In such a case, for a member of the college faculty, or a member of the administrative and professional faculty seeking promotion in rank through an academic department, an appeal follows the same procedures as in chapter three, “Appeals of Decisions on Reappointment, Tenure, or Promotion.”

3.5 Annual Evaluation, Post-Tenure Review, and Periodic Review of College and Departmental 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.

The 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 minimal 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 Departmental Minimal Standards
Each academic department shall develop, maintain, and publish a statement of minimal standards for satisfactory faculty performance using the following process. Standards should be written with the participation of faculty in the department and approved by a vote of the tenured and tenure-track faculty in the department. Standards developed and approved by departments and the head, chair, or school director are then reviewed by the college-level promotion and tenure committee, the dean, and are reviewed and approved by the office of the provost. Once approved, the department's standards are published and made available to all faculty in the department. Revisions of departmental/school standards also follow these procedures. The following guidance is provided for the development of departmental/school minimal standards:

Departments should carefully assess and state the overall standards of professional performance and contribution they consider minimally acceptable for tenured faculty. Each department'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."
Departmental/school standards should embrace the entire scope of faculty contributions. Expectations should recognize differences in faculty assignments within the same department. Departmental/school 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 academic discipline; the individual's contributions to the collective life of the department, college, and university; and the individual's activity in and contributions to the university's outreach mission.

Departmental/school 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/school statements should include the expectation that tenured faculty will adhere to the standards of conduct and ethical behavior as stated in the Faculty Handbook and/or promulgated through other official channels.

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 was involved in the original unsatisfactory annual evaluations. In this case, the department elects a committee to carry out the review function.

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 minimal 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 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 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-level 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.

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.

3.5.5 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.

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 of American citizens.

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 particular 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 should be nominated on the basis of their objectivity, competence, and regard. They must have no bias or untoward interest in the case and be 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 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 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 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 for response.

**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 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. 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 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 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. 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. 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 president within 20 calendar days. The president's decision is final.

**3.7.3 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 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 most recently proposed resolution in force. 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 above 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 appeal as outlined in section 3.5.1) 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 particular step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s website.)

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 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 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 particular step. (An agreement form to extend the grievance response time is available on the provost’s website.)

Overview of the Formal Grievance Process for Tenured and Tenure-Track Faculty

<table>
<thead>
<tr>
<th>Step one</th>
<th></th>
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<tbody>
<tr>
<td>Within 30 days of</td>
<td>1a. Grievant meets with immediate department head, chair, school director, or supervisor.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>1b. Department head, chair, or school director provides verbal response.</td>
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<tr>
<td></td>
<td>1c. If department head, chair, or school director’s response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>1d. 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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<table>
<thead>
<tr>
<th>Step two</th>
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</thead>
<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>2a. Grievant submits written grievance to department head, chair, or school director.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>2b. Department head, chair, or school director responds in writing on grievance form.</td>
</tr>
<tr>
<td></td>
<td>2c. If department head, chair, or school director’s response is satisfactory to grievant, that ends the matter.</td>
</tr>
</tbody>
</table>
If department head, chair, or school director’s response is not satisfactory to grievant, move to step three within 5 weekdays.

**Step three**

<table>
<thead>
<tr>
<th>Step three</th>
<th>Within 5 weekdays</th>
<th>3a.</th>
<th>Grievant advances grievance form to the second-level administrator (usually dean).</th>
</tr>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>3b.</td>
<td>Dean meets with grievant; dean may request department head, chair, or school director to be present.</td>
<td></td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>3c.</td>
<td>Dean responds in writing on grievance form.</td>
<td></td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>3d.</td>
<td>If dean’s written response is satisfactory to grievant, that ends the matter.</td>
<td></td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>3e.</td>
<td>If dean’s written response is not satisfactory to grievant, move to step four within 5 weekdays.</td>
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</tr>
</tbody>
</table>

**Step four**

<table>
<thead>
<tr>
<th>Step four</th>
<th>Within 5 weekdays</th>
<th>4a.</th>
<th>Grievant advances grievance form to the provost.</th>
</tr>
</thead>
<tbody>
<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>
<td></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 Senate Review Committee members; panel holds its initial meeting with both principals.</td>
<td></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 grievant.</td>
<td></td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>4f.</td>
<td>The provost meets with grievant.</td>
<td></td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>4g.</td>
<td>The provost notifies grievant in writing of the decision.</td>
<td></td>
</tr>
<tr>
<td>Within 10 weekdays</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>
<td></td>
</tr>
<tr>
<td>Within 10 weekdays</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>
<td></td>
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</table>

**Step five**

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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 carry out 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 website.

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 leave for up to 1 year;
- Change from a full year leave to a half-year leave (or vice-versa);
- Change in the location of the research leave;
- Cancellation of 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 of the pro rata portion of 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 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 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 website. 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 website.

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 leave for up to 1 year;
- Change from a full year leave to a half-year leave (or vice versa);
- Change in the location of your research leave;
- Cancellation of 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. 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. 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.

3.10 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 website. 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 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, schools, and colleges is strongly encouraged, and should be noted in the request.

Approval of the department head, chair, school director, dean, and provost are necessary. If the department head or 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.
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: 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 website.

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 website.)

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). Policy 4405, “Emeritus/Emerita Faculty,” 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 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 are able to 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 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, 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 percent 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

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, 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.
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.

Requests for a probationary period extension are submitted in writing to the appropriate supervisor. (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 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 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.

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:** 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.

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 Appointments 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 make reference 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 & 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 & 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
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 & 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 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. (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 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.

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. 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 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 particular step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s website.)
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 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 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 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 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 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 website.)

<table>
<thead>
<tr>
<th>Step one</th>
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<tbody>
<tr>
<td>Within 30 days of event</td>
<td>1a. Grievant meets with immediate supervisor.</td>
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<tr>
<td>Within 5 weekdays</td>
<td>1b. Supervisor provides verbal response.</td>
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<td>1c. If the supervisor’s response is satisfactory to the grievant, that ends the matter.</td>
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<td>1d. 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>
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<tr>
<td>Within 5 weekdays</td>
<td>2a. Grievant submits written grievance to immediate supervisor.</td>
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<tr>
<td>Within 5 weekdays</td>
<td>2b. Supervisor responds in writing on grievance form.</td>
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<td>2c. If the supervisor’s response is satisfactory to the grievant, that ends the matter.</td>
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<tr>
<td></td>
<td>2d. 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>
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<tr>
<td>Step</td>
<td>Description</td>
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<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>3a. Grievant advances grievance form to the second-level administrator (usually dean of University Libraries).</td>
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<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>3b. Dean meets with grievant; dean may request department to be present.</td>
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<td><strong>Within 5 weekdays</strong></td>
<td>3c. Dean responds in writing on grievance form.</td>
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<td><strong>Within 5 weekdays</strong></td>
<td>3d. If the dean’s written response is satisfactory to the grievant, that ends the matter.</td>
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<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>3e. 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>
<td><strong>Step four</strong></td>
<td>4a. Grievant advances grievance form to the provost.</td>
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<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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<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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<td><strong>Within 15 weekdays</strong></td>
<td>4d. 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><strong>Within 45 weekdays</strong></td>
<td>4e. The hearing panel concludes its work and makes recommendations to the provost and the grievant.</td>
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<td><strong>Within 10 weekdays</strong></td>
<td>4f. Provost meets with grievant.</td>
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<td><strong>Within 10 weekdays</strong></td>
<td>4g. The provost notifies the grievant in writing of the decision.</td>
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<td><strong>Within 10 weekdays</strong></td>
<td>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.</td>
</tr>
<tr>
<td><strong>Within 10 weekdays</strong></td>
<td>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.</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 carry out 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 website.

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 website. 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 website.

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 website. 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.
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 website.) 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 carry out 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 website.

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 website.

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 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 website.

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 website.

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. 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 website](#).

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 Promotion and Tenure page of the provost’s website.

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 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 by the provost. The decision of the provost is final and cannot be appealed.

Faculty members should be provided 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 in 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 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 departmental head 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 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. 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.

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 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. 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 particular step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s website.)

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
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 website.)

<table>
<thead>
<tr>
<th>Step one</th>
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<tbody>
<tr>
<td><strong>Within 30 days of event</strong></td>
</tr>
<tr>
<td><strong>1a.</strong> Grievant meets with immediate supervisor (usually department head).</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
</tr>
<tr>
<td><strong>1b.</strong> Department head provides verbal response.</td>
</tr>
<tr>
<td><strong>1c.</strong> If department head’s response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td><strong>1d.</strong> If department head’s response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
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</tbody>
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<table>
<thead>
<tr>
<th>Step two</th>
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<tbody>
<tr>
<td><strong>Within 5 weekdays</strong></td>
</tr>
<tr>
<td><strong>2a.</strong> Grievant submits written grievance to department head.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
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<tr>
<td><strong>2b.</strong> Department head responds in writing on grievance form.</td>
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<td></td>
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<tr>
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</tr>
<tr>
<td>2c.</td>
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<tr>
<td>2d.</td>
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</tbody>
</table>

**Step three**

<table>
<thead>
<tr>
<th>Within 5 weekdays</th>
<th>3a.</th>
<th>Grievant advances grievance form to the second-level administrator (usually dean).</th>
</tr>
</thead>
<tbody>
<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 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 dean’s written response is not satisfactory to grievant, move to step four within 5 weekdays.</td>
</tr>
</tbody>
</table>

**Step four**

<table>
<thead>
<tr>
<th>Within 5 weekdays</th>
<th>4a.</th>
<th>Grievant advances grievance form to the provost.</th>
</tr>
</thead>
<tbody>
<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>
</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>Hearing panel concludes its work and make recommendations to provost and grievant.</td>
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<tr>
<td>Step</td>
<td>Event</td>
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<tr>
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</tr>
<tr>
<td>Within 10 weekdays</td>
<td>4f. Provost meets with grievant.</td>
<td></td>
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<tr>
<td>Within 10 weekdays</td>
<td>4g. Provost notifies grievant in writing of the decision.</td>
<td></td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>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.</td>
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<tr>
<td><strong>Step five</strong></td>
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<tr>
<td>Within 20 calendar days</td>
<td>5a. Grievant appeals in writing to president.</td>
<td></td>
</tr>
<tr>
<td>Within 20 calendar days</td>
<td>5b. 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 website of the Office of Sponsored Programs.

<table>
<thead>
<tr>
<th>Track</th>
<th>Ranks</th>
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<tbody>
<tr>
<td>Postdoctoral Associate</td>
<td>postdoctoral associate</td>
</tr>
<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>
</tr>
<tr>
<td>Research Professor</td>
<td>research assistant professor, research associate professor, research professor</td>
</tr>
</tbody>
</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 website.

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 carry out 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 do not also have involvement 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 website of the Office for Sponsored Programs.

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 website.) 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 carry out 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 in order 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 is in excess of 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 website. 
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. Promotions from one rank to another in order to recognize a faculty member’s increased responsibilities, credentials, and/or contributions to the program over time may be recommended by the supervisor.

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 make reference 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 also 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 in order 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 in order 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 relatively 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 perform effectively 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 time 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 also serves as a notice of termination. The terms of faculty offer also 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 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. 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.

**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 website.

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 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 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 website.)

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 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 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 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 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 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 website.)

<table>
<thead>
<tr>
<th>Step one</th>
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<tbody>
<tr>
<td>Within 30 days of event</td>
<td>1a. Grievant submits written grievance to supervisor.</td>
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<tr>
<td>Within 5 weekdays</td>
<td>1b. Supervisor meets with grievant and provides written response.</td>
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<td>1c. If supervisor’s response is satisfactory to grievant, that ends the matter.</td>
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<td>1d. If supervisor’s response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
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<th>Step two</th>
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<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>2a. Grievant advances grievance form to the next-level administrator referred to as the second-level administrator.</td>
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<tr>
<td>Within 5 weekdays</td>
<td>2b. Second-level administrator provides written response.</td>
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<td>2c. If second-level administrator’s written response is satisfactory to grievant, that ends the matter.</td>
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<td>2d. If second-level administrator’s written response is not satisfactory to grievant, move to step four within 5 weekdays.</td>
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<th>Step three</th>
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<tr>
<td>Within 5 weekdays</td>
<td>3a. Grievant advances grievance form to the dean or equivalent senior-level manager.</td>
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<tr>
<td>Within 5 weekdays</td>
<td>3b. Dean or equivalent senior-level manager meets with grievant; dean or senior-level manager may request immediate supervisor to be present.</td>
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<td></td>
<td>3c. Dean or senior-level manager provides written response.</td>
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<td>Step</td>
<td>Description</td>
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<tr>
<td>3d.</td>
<td>If the dean’s or senior-level manager’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 or senior-level manager’s written response is not satisfactory to grievant, move to step give within 5 weekdays.</td>
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<tr>
<td><strong>Step four</strong></td>
<td></td>
</tr>
<tr>
<td>Within 5 weekdays 4a.</td>
<td>Grievant advances grievance form to the provost.</td>
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<tr>
<td>Within 5 weekdays 4b.</td>
<td>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 percent 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, 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 carrying out 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 similar to 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 handled 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 website. 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.

As a means 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 website.

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 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 time 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 work 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 carrying out 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 website.)

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 a number of 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 chair of the Commission on Administrative and Professional Faculty Affairs (CAPFA) 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 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: 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 website.

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 in order 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. 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.

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 Website “Forms” page of the Human Resources website.

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 Extension, the district director or appropriate step one administrator) and to the Administrative and Professional Faculty Senate Vice President/chair of the Commission on Administrative and Professional Faculty Affairs (CAPFA) 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/chair of CAPFA, within fifteen weekdays of receiving a copy of the grievance form, will convene a grievability panel. The panel consists of the chair of CAPFA and two A/P faculty senators/members from CAPFA. 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
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 CAPFA 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 CAPFA Administrative and Professional Faculty Senate hearing panel. If the step three administrator does not accept the petition, a CAPFA Administrative and Professional Faculty Senate hearing panel is formed to review the grievance as outlined in these procedures. A CAPFA 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 CAPFA Administrative and Professional Faculty Senate.

Hearing Panel: A grievance hearing for A/P faculty is conducted by an ad hoc panel selected by the CAPFA Administrative and Professional Faculty Senate chair 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 chair of CAPFA Administrative and Professional Faculty Senate serves as the non-voting chair of each hearing panel. In the event that the chair of CAPFA 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 CAPFA 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 chair of CAPFA 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 chair of CAPFA 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 time frame 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 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 chair of CAPFA 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 chair of CAPFA 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 chair of CAPFA 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 chair of CAPFA 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 chair of CAPFA Administrative and Professional Faculty Senate Vice President has the following options: The chair 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 for complaints of unlawful discrimination or harassment; 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” for complaints related to unprofessional or unethical conduct; Faculty Handbook, chapter two “Non-Reappointment” for complaints related to non-reappointment or abolition of position).

The subject of a grievance is normally not considered by the Commission on Administrative and Professional Faculty Affairs, 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 handle 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 extension by written agreement of both parties. The grievant and the administrator involved at that particular step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s website.)

The principals and the chair of CAPEA Administrative and Professional Faculty Senate Vice President, if necessary, negotiate extensions of time limits at step three. In case of disagreement, the chair of CAPEA 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 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 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 chair of CAPFA 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 particular step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s website.)

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>
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<tbody>
<tr>
<td>Within 30 days of event</td>
<td>1a. Grievant submits written grievance to step one administrator (for Extension A/P faculty this is usually the district director) and chair of CAPFA Administrative and Professional Faculty Senate Vice President.</td>
</tr>
<tr>
<td>Within 510 weekdays</td>
<td>1b. CAPFA chair Administrative and Professional Faculty Senate Vice President acknowledges in writing to grievant that copy of grievance has been received.</td>
</tr>
<tr>
<td>1c.</td>
<td>CAPFA chair 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 documented and a written report on the deliberation sent to all parties concerned.</td>
</tr>
<tr>
<td>1d.</td>
<td>If the issue is not grievable, the grievance process concludes.</td>
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</table>
If the issue is grievable, the step one administrator responds to grievance in writing on the grievance form.

If step one administrator’s response is satisfactory to grievant, that ends the matter.

If step one administrator’s response is not satisfactory to the grievant, move to step two within 5 weekdays.

### Step two

**Within 5 weekdays**

2a. 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.

2b. Step two administrator meets with the grievant and provides a written response

2c. If step two administrator’s response is satisfactory to grievant, that ends the matter.

2d. If step two administrator’s response is not satisfactory to grievant, move to step three within 5 weekdays.

### Step three

**Within 5 weekdays**

3a. Grievant advances grievance form to the step three administrator (the vice president for human resources or the provost for faculty affairs) who then, depending on reporting structure, shares a copy of the grievance with the provost.

**Within 5 weekdays**

3b. Step three administrator acknowledges receipt of grievance and forwards copy to CAPFA chair

**Within 5 weekdays**

3c. CAPFA chair acknowledges in writing to grievant that copy of grievance has been received from the step three administrator

**Within 15 weekdays**

3e. CAPFA chair convenes a hearing panel that holds its initial meeting with both principals.

**Within 45 weekdays**

3f. Hearing panel concludes its work and makes recommendation to step three administrator and grievant.

**Within 10 weekdays**

3g. Step three administrator meets with grievant.

**Within 10 weekdays**

3h. Step three administrator notifies grievant in writing of the decision.

3i. 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.
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.

**Step four**

Within 20 calendar days

4a. Grievant appeals in writing to president.

4b. President’s decision is final.

### 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 [Conflict of Interest 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 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 website 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 of additional employment plan. The Graduate School should be consulted to assist with the resolution of any conflicts 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 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

See Office of the University Registrar website

9.0 Instruction-Related Policies

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 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 in order for students to make alternate plans.

Students register via Hokie SPA during the published pre-registration period. After departments make adjustments based on course requests, completed schedules are 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.

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 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 website.

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 Resources webpage.

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.

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.

A grade appeal must be made by the student 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 SSD website. 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 undergraduate honor system 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 undergraduate honor system 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 undergraduate honor system 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 the undergraduate honor system 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 an 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
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 website.

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. Official certification of these items can only be provided by the Office of the University Registrar. 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.

9.12 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 very 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.
CHAPTER TEN
RESEARCH, CREATIVE AND SCHOLARLY ACTIVITIES

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) website.

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 at the Virginia Tech Limited Submissions website.

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 without amendment submission to, and review and approval 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.

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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 can be made in an approved protocol prior to amendment submission, review, and approval 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 website 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, and as required by state law. 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

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 defined described in Policy 13010, “Conflict of Interest.”

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
research projects. Consult Policy 13000, “Policy on Intellectual Property” for information on the
university’s nonexclusive license for scholarly articles.

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
direct 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 undergraduate honor system 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 website.

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 percent 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 as long as 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 or designee. Membership of the IPC is set forth in the bylaws of the University Council.
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 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.

11.1.2 Long-Term Disability Insurance
Long-term disability insurance provides coverage for 60 percent of 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 the contractually negotiated amounts with the applicable vendor and are available in the “Benefits” section of the Human Resources website, $35,000, and the minimum monthly benefit is $100. In addition to paying a monthly benefit, a 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 the monthly premium, which is approximately .25 percent of the employee’s salary.

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 whichever VRS plan 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).

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 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 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 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 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. 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. 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

ORP 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. 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.

For faculty members hired on or after July 1, 2010, the university contributes 8.5 percent of base salary, and the employee contributes five percent of their base salary to the ORP.

Benefits at retirement are based on contributions, and net earnings. The faculty member can choose from a number of 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 borne by the employee with risks varying based on the types of funds selected. Fidelity and TIAA are the providers for 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 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.

Restricted faculty members who accrue sick leave each pay period will automatically be enrolled in the Standard Insurance Company short-term disability plan. 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 allows employees who are on approved short-term disability leave to collect up to 60 percent 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 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 are defaulted 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 website.

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 15 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 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, 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.

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
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 handled 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 work days. Ability to document 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 is not given for service of less than one-half month; leave cannot be granted before it is earned. 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 for 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 Leave
The university recognizes that faculty members have family responsibilities that may make extraordinary claims on their time, making it difficult to fully carry out 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 in order 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) of paid parental leave to employees who have been employed by the commonwealth for a minimum of twelve (12) consecutive months. 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 in order 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 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.

Faculty 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 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 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 Retirement Benefits.

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 have the ability to 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 provides assistance 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 premium is paid entirely by the employee. 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 in the course of 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

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<tr>
<th>Regular* Appointment</th>
<th>Appointment Description</th>
<th>Rank</th>
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<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><strong>Appointment Description</strong></td>
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<td></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>
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<th>Instructional Appointment</th>
<th><strong>Appointment Description</strong></th>
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<tr>
<td>Adjunct</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>
</tbody>
</table>

| Clinical Preceptor        | 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. | The Clinical Preceptor title does not change, even with prolonged service, unless a promotion is granted. |

| Instructors and Visiting Faculty | 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, either regular or instructional, but for whom the opportunity to teach medical students is anticipated before the faculty appointment process is completed. Appointment as Senior Instructor or Instructor | Instructor Senior Instructor Visiting Instructor |

*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
540-231-4873
oem@vt.edu
emergency.vt.edu

13.1 During Any Emergency
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 www.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.

13.2 Reporting an Emergency
Dial 911 for police, fire, or emergency medical services. Remain calm – your actions will influence others.

- Tell the dispatcher you are at Virginia Tech, give the street address, building name, and room number.
- 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.
- Do not hang up the telephone, additional information may be needed. If possible, have someone 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 Medical Emergency
- Create space for the affected individual(s) and emergency personnel
- Do not move an injured person before responders arrive
Call 911
Have someone meet and direct emergency personnel to the site
Only those trained properly should provide first aid or CPR

13.5 SECURE-in-Place
- Remain calm
- Inside: lock the door and/or place a barricade between you and the violence or danger.
- 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, silence phones, draw blinds, and move away from windows.
- Await further instruction from VT Alerts and/or emergency personnel.
- DO NOT leave until an “All Clear” is instructed by first responders.

13.6 Entry to a Secure Location
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:
- Determine if the individual is under duress, or might they be lying in wait?
- 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.
- Have the person leave a backpack, laptop case, package, etc. outside of the secure area.
- Have the person lift up their shirt, coat or jacket and rotate to see if they might be concealing a weapon.

13.7 SHELTER-in-Place
Shelter-in-place events are usually weather-related emergencies. During a tornado, seek shelter on the lowest level possible.
- Remain calm
- Respond immediately, DO NOT wait to see a tornado or severe weather event to react. Do not go outside to check the weather conditions.
- Seek shelter in the closest building in an interior room or corridor, away from windows, glass, and unsecured objects that may fall. DO NOT lock doors in case others need to shelter-in-place.
- Avoid sheltering in large free-standing spaces such as auditoriums and gymnasiums.
- DO NOT use elevators.
- Await instruction from VT Alerts and first responders.
- DO NOT leave until an “All Clear” is received.

13.8 Weather Definitions
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. Keep your class together. Stay 50 feet from the building to allow access for emergency personnel.

13.10 Persons with Disabilities
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: communicate with the hearing impaired with a note or hand gestures
- Visual: describe the situation and act as a “sighted guide” to escort them to a safe location. Identify a “buddy” before an emergency.
- Mobility: if a person cannot safely leave the building, a “buddy” can accompany the individual to an area of refuge without blocking the evacuation path. Do not attempt a rescue evacuation of an individual with a disability unless you have had the appropriate rescue training and the individual gives permission.

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 - vtx.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:

1) Extension Faculty with Continued Appointment
   Ranks: assistant professor, associate professor, professor

2) 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 website.

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 offer of faculty 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 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 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 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 are able to 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 percent 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
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
Professors and the Association of American Colleges (AAUP Bulletin, September 1970, pp.323-
325).

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 percent to 100 percent 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 offer 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 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.

Requests for a probationary period extension are submitted in writing to the department head or
chair. (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 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 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.
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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 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 provide 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 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 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 so 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 Appointments 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 make reference to appeal procedures. The appeal can only be based on 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 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 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 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 particular 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 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 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 study of 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 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. 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 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 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 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 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. 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 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 particular step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost's website.)

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 at the time he or she discovers 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 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 website.)

<table>
<thead>
<tr>
<th>Step one</th>
<th></th>
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</thead>
<tbody>
<tr>
<td><strong>Within 30 days of event</strong></td>
<td></td>
</tr>
<tr>
<td>1a.</td>
<td>Grievant meets with immediate supervisor (usually division head).</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td></td>
</tr>
<tr>
<td>1b.</td>
<td>Supervisor provides verbal response.</td>
</tr>
<tr>
<td>1c.</td>
<td>If supervisor’s response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td>1d.</td>
<td>If supervisor’s response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
</tr>
</tbody>
</table>

**Step two**
<table>
<thead>
<tr>
<th>Within 5 weekdays</th>
<th>2a.</th>
<th>Grievant submits written grievance to immediate supervisor.</th>
</tr>
</thead>
<tbody>
<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 supervisor’s response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>2d.</td>
<td>If supervisor’s response is not satisfactory to grievant, move to step three within 5 weekdays.</td>
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<tr>
<td><strong>Step three</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>3a.</td>
<td>Grievant advances grievance form to the second-level administrator (usually dean of Agriculture and Life Sciences).</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>3b.</td>
<td>Dean meets with grievant; dean may request division head to be present.</td>
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<tr>
<td></td>
<td>3c.</td>
<td>Dean responds in writing on grievance form.</td>
</tr>
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<td></td>
<td>3d.</td>
<td>If dean’s written response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>3e.</td>
<td>If dean’s written response is not satisfactory to grievant, move to step four within 5 weekdays.</td>
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<tr>
<td><strong>Step four</strong></td>
<td></td>
<td></td>
</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>Hearing panel concludes its work and make recommendations to provost and grievant.</td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>4f.</td>
<td>Provost meets with grievant.</td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>4g.</td>
<td>Provost notifies grievant in writing of his or her decision.</td>
</tr>
<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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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 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. 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 website.

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 website. 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 website.

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.

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 website. 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 the 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 FOR EXCLUSION OF CERTAIN OFFICERS/DIRECTORS

WHEREAS, Virginia Polytechnic Institute and State University (Virginia Tech) was determined by the U.S. Department of Defense (DoD) to be a facility authorized to be eligible for access to classified information or award of classified contracts in 1960, and years following, with the most recent authorization in May 2022; and

WHEREAS, in accordance with the National Industry Security Program Operating Manual (NISPOM), Cognizant Security Agencies (CSAs) require that certain principal officers, directors, partners, regents, or trustees, and those occupying similar positions at institutions of higher education meet the personnel security clearance requirements established for the level of the institution’s facility security clearance or be formally excluded; and

WHEREAS, the NISPOM permits the exclusion from the personnel clearance requirements of said principal officers et al. on the basis that these cited individuals shall not require, shall not have, and can be effectively excluded from access to all classified information disclosed to Virginia Tech, and do not occupy positions that would enable them to affect adversely corporate policies or practices in the performance of classified contracts, as determined by a CSA;

NOW, THEREFORE, BE IT DECLARED that the Virginia Tech Board of Visitors hereby formally appoints a managerial group with the authority and responsibility for the negotiation, execution, and administration of classified contracts (Key Management Personnel), consisting of the following principal officers within Virginia Tech: President, University Legal Counsel, Chief Contracting Officer, Senior Vice President and Chief Research and Innovation Officer, Senior Associate Vice President for Research and Innovation, Senior Contracts Officer, Facility Security Officer, and Insider Threat Program Senior Official (specified by name in Attachment A); and

BE IT RESOLVED that the President, and the said managerial group, at the present time do possess the required security clearance; and

BE IT RESOLVED FURTHER that in the future, when a CSA determines that additional Virginia Tech officials must be added to said managerial group and be granted personnel clearances or excluded from classified access pursuant to the NISPOM, such requirements shall be made and approved by the Key Management Personnel, and not the Board of Visitors, unless approval by the Board of Visitors is formally required by a CSA; and

LASTLY, BE IT RESOLVED that the appended list of all members of the Board of Visitors and certain University Principal Officers (specified by name in Attachment B) shall not require, shall not have, and can be effectively excluded from access to all classified information in the possession of Virginia Tech, and do not occupy a position that would enable them to affect adversely Virginia Tech policies or practices in the performance of classified contracts. A copy of this resolution shall be provided to CSAs as required by the NISPOM.

RECOMMENDATION:

That the above resolution be approved.

August 29, 2023
ATTACHMENT A:

Key Management Personnel who must be granted personnel clearances or excluded from classified access pursuant to the NISPOM per Board of Visitors Resolution, August 29, 2023

<table>
<thead>
<tr>
<th>Role</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>President</td>
<td>Timothy D. Sands, Ph.D.</td>
</tr>
<tr>
<td>University Legal Counsel</td>
<td>Kay K. Heidbreder, Esq.</td>
</tr>
<tr>
<td>Chief Contracting Officer</td>
<td>Timothy D. Sands, Ph.D</td>
</tr>
<tr>
<td>Sr. VP and Chief Research &amp; Innovation Officer</td>
<td>Daniel Sui, Ph.D.</td>
</tr>
<tr>
<td>Sr. AVP, Research &amp; Innovation</td>
<td>James R. Heflin, Ph.D.</td>
</tr>
<tr>
<td>AVP, Sponsored Programs</td>
<td>Trudy Riley</td>
</tr>
<tr>
<td>Facility Security Officer and Insider Threat Program Senior Official</td>
<td>John J. Talerico, III</td>
</tr>
</tbody>
</table>
ATTACHMENT B:

Members of the Virginia Tech Board of Visitors to be excluded per Board of Visitors Resolution, August 29, 2023.

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

List of Virginia Tech Principal Officers to be excluded per Board of Visitors Resolution, August 29, 2023

Executive Vice President and Provost Dr. Cyril R. Clarke
Executive Vice President and Chief Operating Officer Ms. Amy S. Sebring
DISPOSITION of UNIVERSITY BUILDINGS at SOUTHERN PIEDMONT AGRICULTURAL RESEARCH AND EXTENSION CENTER

LIZA MORRIS
ASSISTANT VICE PRESIDENT FOR PLANNING AND UNIVERSITY ARCHITECT

August 29, 2023
PROJECT LOCATION

/ DISPOSITION of UNIVERSITY BUILDINGS at SOUTHERN PIEDMONT AREC
EXISTING CONDITIONS

SITE

University Building No. 0903B (Greenhouse)

University Building No. 0903A (Greenhouse)

/ DISPOSITION of UNIVERSITY BUILDINGS at SOUTHERN PIEDMONT AREC
EXISTING CONDITIONS

VIEW SOUTHEAST

VIEW NORTHWEST

DISPOSITION of UNIVERSITY BUILDINGS at SOUTHERN PIEDMONT AREC
That the resolution authorizing the disposition of University Buildings No. 0903A and 0903B be approved.
RESOLUTION FOR DISPOSITION OF UNIVERSITY BUILDINGS AT SOUTHERN PIEDMONT AGRICULTURAL RESEARCH AND EXTENSION CENTER

The university requests approval for the disposition of Buildings No. 0903A and 0903B located at the Southern Piedmont Agricultural Research and Extension Center in Blackstone, Virginia.

The Southern Piedmont Agricultural Research and Extension Center engages in research of tobacco, fruit, and other crop research and educational programs requiring multiple types of facilities at the Blackstone, Virginia location. Buildings No. 0903A and 0903B have fallen into disrepair and are beyond their useful life for the teaching and research programs. The university desires to surplus the vacant structures before they fall into further disrepair.

Buildings 0903A and 0903B are vacant greenhouses, and each is 432 square feet. They were erected on site in 2005 and 2007 respectively. The structures will be disassembled, removed and sent to surplus. The existing concrete slab will remain. The university will obtain required approvals prior to the disposition of these structures.
RESOLUTION FOR DISPOSITION OF UNIVERSITY BUILDINGS AT SOUTHERN PIEDMONT AGRICULTURAL RESEARCH AND EXTENSION CENTER

WHEREAS, under the 2006 Management Agreement between the Commonwealth of Virginia and the university, the Board of Visitors has the authority to approve the disposition of any building or land; and,

WHEREAS, the buildings are located at the Southern Piedmont Agricultural Research and Extension Center in Blackstone, Virginia, are beyond their useful life as experimental and teaching structures; and,

WHEREAS, the university will obtain required approvals prior to the disposal of these structures;

NOW, THEREFORE, BE IT RESOLVED that the Board of Visitors approve the disposal of Buildings No. 0903A and 0903B, located at the Southern Piedmont Agricultural Research and Extension Center in Blackstone, Virginia, in accordance with the applicable statues of the Code of Virginia (1950), as amended.

RECOMMENDATION:

That the resolution authorizing the disposition of University Buildings No. 0903A and 0903B be approved.

August 29, 2023
Resolution on Appointments to the 
Blacksburg-Virginia Polytechnic Institute Sanitation Authority 

BUILDINGS AND GROUNDS COMMITTEE 

Tuesday, August 29, 2023 

The Blacksburg-Virginia Polytechnic Institute Sanitation Authority was created January 30, 1962, pursuant to the Virginia Water and Sewer Authorities Act, Code of Virginia (1950, as amended) for the purpose of constructing and maintaining a sewer disposal system for the participating entities, which include the Town of Blacksburg and Virginia Tech. 

The Authority’s Board consists of five members. The Town of Blacksburg and the Board of Visitors of Virginia Tech each appoint one member to the Board; the remaining three members are jointly appointed by the two entities. From time to time, it is necessary to appoint and reappoint members of its Board of Directors in connection therewith. 

Current terms for the university’s representative and two of the three at-large members expire January 1, 2024. In anticipation of these term expirations and to ensure appropriate continuity of operations, Virginia Tech desires to reappoint Christopher H. Kiwus as the university’s representative and member of the Authority’s Board of Directors for a new four-year term expiring January 1, 2028. Additionally, Virginia Tech and the Blacksburg Town Council desire to reappoint Raymond D. Smoot, Jr. and Ron F. Rordam as jointly appointed representatives and at-large members of the Authority’s Board of Directors for new four-year terms expiring January 1, 2028. The term of the third jointly appointed representative and at-large member, third, Lucius Merritt, is a four-year term effective January 1, 2022 and expiring January 1, 2026. No action is requested for Mr. Merritt’s appointment, as that would be considered at the recommendation of the university and pleasure of the Board in a future meeting as the term expiration nears.
RESOLUTION ON APPOINTMENTS TO THE BLACKSBURG-VIRGINIA POLYTECHNIC INSTITUTE SANITATION AUTHORITY

WHEREAS, the Blacksburg-Virginia Polytechnic Institute Sanitation Authority was created January 30, 1962, pursuant to the Virginia Water and Sewer Authorities Act, Code of Virginia (1950, as amended) for the purpose of constructing and maintaining a sewer disposal system for the participating entities, which include the Town of Blacksburg and Virginia Tech.

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. 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, it is necessary to appoint and reappoint members of its Board of Directors in connection therewith; and

WHEREAS, Christopher H. Kiwus, Vice President for Campus Planning, Infrastructure, and Facilities, currently serves as the university’s representative and member of the Authority’s Board of Directors for a term expiring on January 1, 2024; and

WHEREAS, Virginia Tech desires to reappoint Christopher H. Kiwus as the university’s representative and member of the Authority’s Board of Directors for a new four-year term expiring January 1, 2028; and

WHEREAS, Raymond D. Smoot, Jr. currently serves as a jointly appointed representative and at-large member of the Authority’s Board of Directors for a term expiring on January 1, 2024; and

WHEREAS, Virginia Tech and the Blacksburg Town Council desire to reappoint Raymond D. Smoot, Jr. as a jointly appointed representative and at-large member of the Authority’s Board of Directors for a new four-year term expiring January 1, 2028; and

WHEREAS, Ron F. Rordam currently serves as a jointly appointed representative and at-large member of the Authority’s Board of Directors for a term expiring on January 1, 2024; and

WHEREAS, Virginia Tech and the Blacksburg Town Council desire to reappoint Ron F. Rordam as a jointly appointed representative and at-large member of the Authority’s Board of Directors for a new four-year term expiring January 1, 2028; and

WHEREAS, Lucius Merritt serves as the third jointly appointed representative and at-large member in a four-year term effective January 1, 2022 and expiring January 1, 2026; and
WHEREAS, no action is requested for Mr. Merritt’s appointment, as that would be considered at the recommendation of the university in a future meeting as the term expiration nears; and

NOW, THEREFORE, BE IT RESOLVED, that Christopher H. Kiwus, Vice President for Campus Planning, Infrastructure, and Facilities, be appointed as the university’s representative to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors effective January 1, 2024 for the term expiring January 1, 2028; and

BE IT FURTHER RESOLVED, that Raymond D. Smoot, Jr. be named as a joint representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors effective January 1, 2024 for the term expiring January 1, 2028; and

BE IT FURTHER RESOLVED, that Ron F. Rordam be named as a joint representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors effective January 1, 2024 for the term expiring January 1, 2028.

RECOMMENDATION:

That the above resolution recommending appointment of the following individuals to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors for terms effective January 1, 2024, and expiring January 1, 2028, be approved: Christopher H. Kiwus, Vice President for Campus Planning, Infrastructure, and Facilities, representing the university; and Raymond D. Smoot, Jr. and Ron F. Rordam each as an at-large member jointly representing Virginia Tech and the Blacksburg Town Council.

August 29, 2023
Date: 7/5/2023

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 4/1/2023 – 6/30/2023) 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>P31DMHWI</td>
</tr>
<tr>
<td>Names of parties</td>
<td>Virginia Tech and Fermi Energy, Inc.</td>
</tr>
<tr>
<td>Date contract executed</td>
<td>3/16/23</td>
</tr>
<tr>
<td>Contract term</td>
<td>3/1/23-2/29/24</td>
</tr>
<tr>
<td>Subject of contract</td>
<td>&quot;Manufacturing Ni- and Co-free cathodes for high-energy and low-cost Li-ion batteries&quot;</td>
</tr>
<tr>
<td>Nature of COI</td>
<td>Feng Lin, Associate Professor in the Department of Chemistry, has an equity interest in Fermi Energy, Inc. exceeding 3% and serves as the Chief Executive Officer for the company. Fermi Energy, Inc. has received an NSF STTR Phase I award that includes a subaward to Virginia Tech. Feng Lin is the Principal Investigator for Virginia Tech. Feng Lin developed lithium-ion battery cathode technology that is owned by Virginia Tech, and Fermi Energy, Inc. intends to license this technology. In the context of sponsored research, this financial interest creates a financial 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>
<th>2 (of 4)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open contract number</td>
<td>PT2ZP73N</td>
</tr>
<tr>
<td>Names of parties</td>
<td>Virginia Tech and Yamaha Motor Corporation</td>
</tr>
<tr>
<td>Date contract executed</td>
<td>5/11/23</td>
</tr>
<tr>
<td>Contract term</td>
<td>2/1/23 - 2/1/24</td>
</tr>
<tr>
<td>Subject of contract</td>
<td>“Steady and unsteady Panel method for Super-cavitating propellers”</td>
</tr>
<tr>
<td>Nature of COI</td>
<td>Stefano Brizzolara, Professor in the Department of Aerospace and Ocean Engineering, developed computer software at a prior institution that analyzes marine propellers. Stefano Brizzolara licensed this technology to the Yamaha Motor Corporation and will be receiving payments from Yamaha Motor Corporation exceeding $5,000. Virginia Tech has received an award from the Yamaha Motor Corporation that will develop new intellectual property and follow the university’s IP policy. Stefano Brizzolara is the Principal Investigator for Virginia Tech. The nature of this financial interest in the context of sponsored research creates a financial 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>Details of how revenues are to be dispersed</td>
<td>N/A (no revenues will be generated)</td>
</tr>
<tr>
<td>Contract</td>
<td>3 (of 4)</td>
</tr>
<tr>
<td>-------------------</td>
<td>---------------------------</td>
</tr>
<tr>
<td>Open contract number</td>
<td>PWDWUKND</td>
</tr>
<tr>
<td>Names of parties</td>
<td>Virginia Tech and Yamaha Motor Corporation</td>
</tr>
<tr>
<td>Date contract executed</td>
<td>5/11/23</td>
</tr>
<tr>
<td>Contract term</td>
<td>2/1/23- 2/1/24</td>
</tr>
<tr>
<td>Subject of contract</td>
<td>“Propeller Design by Parametric Optimization”</td>
</tr>
<tr>
<td>Nature of COI</td>
<td>Stefano Brizzolara, Professor in the Department of Aerospace and Ocean Engineering, developed computer software at a prior institution that analyzes marine propellers. Stefano Brizzolara licensed this technology to the Yamaha Motor Corporation and will be receiving payments from Yamaha Motor Corporation exceeding $5,000. Virginia Tech has received an award from the Yamaha Motor Corporation that will develop new intellectual property and follow the university’s IP policy. Stefano Brizzolara is the Principal Investigator for Virginia Tech. The nature of this financial interest in the context of sponsored research creates a financial 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>Details of how revenues are to be dispersed</td>
<td>N/A (no revenues will be generated)</td>
</tr>
<tr>
<td>Contract</td>
<td>4 (of 4)</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>Open contract number</td>
<td>PHRZZ4AQ</td>
</tr>
<tr>
<td>Names of parties</td>
<td>Virginia Tech and ENSCO, Inc.</td>
</tr>
<tr>
<td>Date contract executed</td>
<td>5/18/23</td>
</tr>
<tr>
<td>Contract term</td>
<td>4/24/23- 4/9/24</td>
</tr>
<tr>
<td>Subject of contract</td>
<td>&quot;MOSES (FA7022-17-D-0009) TO 0075 Support&quot;</td>
</tr>
<tr>
<td>Nature of COI</td>
<td>John Morris, Associate Dean for Research in the College of Science, has reported consulting for ENSCO, Inc. and has received payments in the past 12 months exceeding $5,000. The external consulting was performed through Morris Scientific Consulting, LLC, which is owned and operated by John Morris. Virginia Tech has received an award from ENSCO, Inc. and John Morris will be the Principal Investigator. The nature of this financial interest in the context of sponsored research creates a financial conflict of interest with state law implications. The Research Conflict of Interest Program has implemented a management plan to promote objectivity.</td>
</tr>
</tbody>
</table>
| Institution employee responsible for administering contract | Trudy Riley, contract administration signatory
Director, Virginia Tech Office of Sponsored Programs |
| The institution's commitment of resources or finances for the contract | N/A |
| Details of how revenues are to be dispersed | N/A (no revenues will be generated) |
Open Session Agenda

ACADEMIC, RESEARCH AND STUDENT AFFAIRS COMMITTEE
Fralin Biomedical Research Institute, 102 A/B Roanoke VA
Monday, August 28, 2023
3:30 – 5:00 p.m.

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 June 5, 2023 Meeting Minutes
   B. Report of Reappointments to Endowed Chairs, Professorships, and Fellowships
   *C. Resolution to Ratify 2023-2024 Faculty Handbook
   *D. Resolution for Exclusion of Certain Officers/Directors

4. Provost’s Update C. Clarke

5. Top-100 Global University: Virginia Tech’s Cancer Research Initiatives C. Clarke, D. Sui, M. Friedlander

6. Agenda Items for Future Committee Meetings C. Chenery

7. Adjourn C. Chenery

* Requires Full Board Approval
# Discusses Enterprise Risk Management topic(s)
<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Reporting Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Welcome</td>
<td>C. Chenery</td>
</tr>
<tr>
<td>The chair of the committee, will welcome committee members and others to the committee open session.</td>
<td></td>
</tr>
<tr>
<td>2. Review and Approve Open Session Agenda</td>
<td>C. Chenery</td>
</tr>
<tr>
<td>The chair will review and ask for acceptance of the Open Session Agenda and items as listed on the Open Session Consent Agenda.</td>
<td></td>
</tr>
<tr>
<td>#3. Consent Agenda</td>
<td>C. Chenery</td>
</tr>
<tr>
<td>the committee will consider approval of items on the consent agenda including: June 6, 2023 meeting minutes, a report on reappointments to endowed chairs, professorships, or fellowships, ratification of the 2023-24 Faculty Handbook, and a resolution for the exclusion of certain officers and directors.</td>
<td></td>
</tr>
<tr>
<td>4. Provost’s Update and Discussion</td>
<td>C. Clarke</td>
</tr>
<tr>
<td>Cyril Clarke will update the committee on the university’s academic initiatives.</td>
<td></td>
</tr>
<tr>
<td>#5. Panel Discussion: Top-100 Global University: Virginia Tech’s Cancer Research Initiatives</td>
<td>C. Clarke, D. Sui, M. Friedlander</td>
</tr>
<tr>
<td>C. Clarke, Dan Sui, senior vice president for research and innovation, and Mike Friedlander, vice president for health science &amp; technology and executive director of the Fralin Biomedical Research Institute, will provide an overview of VT’s current cancer research initiatives and opportunities for further development of this area.</td>
<td></td>
</tr>
<tr>
<td>6. Agenda Items for November 2023 Committee Meeting</td>
<td>Committee Chair</td>
</tr>
<tr>
<td>The committee chair will request that committee members consider topics for upcoming meetings of the committee.</td>
<td></td>
</tr>
<tr>
<td>7. Adjourn Committee Meeting</td>
<td>C. Chenery</td>
</tr>
</tbody>
</table>

* Requires Full Board Approval
# Discusses Enterprise Risk Management topic(s)
Closed Session Agenda
ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE
Tuesday, August 29, 2023
8:45 – 9:15 a.m.

<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Reporting Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Motion to Begin Closed Session</td>
<td>C. Chenery</td>
</tr>
<tr>
<td>* 2. Resolutions to Approve Appointments to Emeritus/a Status (2)</td>
<td>C. Clarke</td>
</tr>
<tr>
<td>* 3. Resolution to Approve Appointments Endowed Chairs, Professorships, or Fellowships (24)</td>
<td>C. Clarke</td>
</tr>
<tr>
<td>* 4. Resolution to Approve Appointments with Tenure (18)</td>
<td>C. Clarke</td>
</tr>
<tr>
<td>* 5. Resolution to Approve Faculty Research Leaves (3)</td>
<td>C. Clarke</td>
</tr>
<tr>
<td>7. Motion to End Closed Session</td>
<td>C. Chenery</td>
</tr>
<tr>
<td>8. Report of Closed Session Action items</td>
<td>C. Chenery</td>
</tr>
</tbody>
</table>

*Requires Full Board Approval
Closed Session Briefing Report

ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE

August 29, 2023

<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Reporting Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1. Motion to Begin Closed Session</strong></td>
<td>C. Chenery</td>
</tr>
<tr>
<td>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.</td>
<td></td>
</tr>
<tr>
<td><strong>2. Resolutions to Approve Appointments to Emeritus/a Status (2)</strong></td>
<td>C. Clarke</td>
</tr>
<tr>
<td>The committee will consider two resolutions for appointments to emeritus or emerita status.</td>
<td></td>
</tr>
<tr>
<td><strong>3. Resolution to Approve Appointments to Endowed Chairs, Professorships, or Fellowships (24)</strong></td>
<td>C. Clarke</td>
</tr>
<tr>
<td>The committee will consider 24 resolutions for appointments to endowed chairs, professorships, or fellowships.</td>
<td></td>
</tr>
<tr>
<td><strong>4. Resolution to Approve Appointments with Tenure (18)</strong></td>
<td>C. Clarke</td>
</tr>
<tr>
<td>The committee will consider a resolution to approve the tenured appointments of 18 faculty members.</td>
<td></td>
</tr>
<tr>
<td><strong>5. Resolution to Approve Faculty Research Leaves (3)</strong></td>
<td>C. Clarke</td>
</tr>
<tr>
<td>The committee will consider a resolution to approve three requests for faculty research leave.</td>
<td></td>
</tr>
<tr>
<td><strong>6. Ratification of Personnel Changes Report</strong></td>
<td>C. Clarke</td>
</tr>
<tr>
<td>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.</td>
<td></td>
</tr>
<tr>
<td><strong>7. Motion to End Closed Session</strong></td>
<td>C. Chenery</td>
</tr>
<tr>
<td>C. Chenery will request that a member of the committee make a motion to end the committee’s closed session.</td>
<td></td>
</tr>
</tbody>
</table>

*Requires Full Board Approval*
8. **Report of Closed Session Action Items**

C. Chenery will report on those actions that were voted on during closed session.
# Open Session Agenda

**BUILDINGS AND GROUNDS COMMITTEE**

**Tuesday, August 29, 2023**

*Open session meeting begins at 8:45 a.m.*

*in Room 101 A/B, Fralin Biomedical Research Institute*

<table>
<thead>
<tr>
<th><strong>Agenda Item</strong></th>
<th><strong>Reporting Responsibility</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Welcome and Introductions</td>
<td>Committee Chair Chris Kiwus</td>
</tr>
<tr>
<td>2. Consent Agenda</td>
<td>Committee Chair Chris Kiwus</td>
</tr>
<tr>
<td>a. Minutes from the June 2023 Committee Meeting</td>
<td></td>
</tr>
<tr>
<td>* b. Resolution for Disposition of University Buildings at Southern Piedmont AREC</td>
<td></td>
</tr>
<tr>
<td>* c. Resolution on Appointments to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority</td>
<td></td>
</tr>
<tr>
<td># + 3. Overview of the University’s Physical Assets and Investment Approach</td>
<td>Chris Kiwus</td>
</tr>
<tr>
<td># + 4. Overview of the Campus Master Plan</td>
<td>Liza Morris</td>
</tr>
<tr>
<td># + 5. Overview of the Capital Construction Program</td>
<td>Bob Broyden Dwyn Taylor</td>
</tr>
<tr>
<td># + 6. Acceptance of the Capital Project Status Report</td>
<td>Dwyn Taylor</td>
</tr>
<tr>
<td>+ 7. Update on Agricultural Facilities</td>
<td>Alan Grant</td>
</tr>
<tr>
<td># + 8. Design Preview and Review for the Life, Health, Safety, Accessibility, and Code Compliance - Priority 2</td>
<td>Liza Morris</td>
</tr>
<tr>
<td>10. Future Agenda Items and Closing Remarks</td>
<td>Committee Chair</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

Tuesday, August 29, 2023
Open session meeting begins at 8:45 a.m.
in Room 101 A/B, Fralin Biomedical Research Institute

Open Session Meeting

1. Welcome and Introductions: The Committee Chair will convene the meeting and provide welcoming remarks.

2. Consent Agenda: The Committee will consider for approval the items listed on the Consent Agenda.

   a. Minutes from the June 2023 Committee Meeting: The Committee will review for approval the minutes from its June 2023 meeting.

   * b. Resolution for Disposition of University Buildings at Southern Piedmont AREC: The Committee will review for approval a resolution for disposition of university buildings at the Southern Piedmont Agricultural Research and Extension Center (AREC) in Blackstone, Virginia. Specifically, the university requests approval for the disposition of Buildings No. 0903A and 0903B. The Southern Piedmont AREC engages in research of tobacco, fruit, and other crop research and educational programs requiring multiple types of facilities. Buildings No. 0903A and 0903B have fallen into disrepair and are beyond their useful life for the teaching and research programs. The university desires to surplus the vacant structures before they fall into further disrepair. Buildings 0903A and 0903B are vacant greenhouses, and each is 432 square feet. They were erected on site in 2005 and 2007 respectively. The structures will be disassembled, removed and sent to surplus. The existing concrete slab will remain. The university will obtain required approvals prior to the disposition of these structures.

   * c. Resolution on Appointments to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority: The Committee will review for approval a resolution on appointments to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority. The Blacksburg-Virginia Polytechnic Institute Sanitation Authority was created January 30, 1962, pursuant to the Virginia Water and Sewer Authorities Act, Code of Virginia (1950, as amended) for the purpose of constructing and maintaining a sewer disposal system for the participating entities, which include the Town of Blacksburg and Virginia Tech. The Authority’s Board consists of five members. The Town of
Blacksburg and the Board of Visitors of Virginia Tech each appoint one member to the Board; the remaining three members are jointly appointed by the two entities. From time to time, it is necessary to appoint and reappoint members of its Board of Directors in connection therewith. Current terms for the university’s representative and two of the three at-large members expire January 1, 2024. In anticipation of these term expirations and to ensure appropriate continuity of operations, Virginia Tech desires to reappoint Chris Kiwus, Vice President for Campus Planning, Infrastructure, and Facilities, as the university’s representative and member of the Authority’s Board of Directors for a new four-year term expiring January 1, 2028. Additionally, Virginia Tech and the Blacksburg Town Council desire to reappoint Ray Smoot and Ron Rordam as jointly appointed representatives and at-large members of the Authority’s Board of Directors for new four-year terms expiring January 1, 2028. The term of the third jointly appointed representative and at-large member, third, Lu Merritt, is a four-year term effective January 1, 2022 and expiring January 1, 2026. No action is requested for Mr. Merritt’s appointment, as that would be considered at the recommendation of the university and pleasure of the Board in a future meeting as the term expiration nears.

3. Overview of the University’s Physical Assets and Investment Approach: The Committee will receive an overview of the university’s physical assets and investment approach from Chris Kiwus, 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. The university’s strategic physical asset investment programs include operations and maintenance, customer requested renovations, facilities renewal, maintenance reserve, and capital project.

4. Overview of the Campus Master Plan: The Committee will receive an overview of Beyond Boundaries 2047: The Campus Plan from Liza Morris, Assistant Vice President for Planning and University Architect. The current plan — approved by the Board of Visitors in November 2018 — guides current and future campus leaders as they imagine and develop the Blacksburg campus and the university’s agricultural research and extension centers through 2047. The plan, a key initiative connecting across all core values of the university’s strategic plan prepares the university for the next generation of higher education. The plan builds upon the Beyond Boundaries vision to ensure appropriate capacity in facilities and infrastructure, as seen in the plan’s vision for living-learning communities anchored by flexible learning spaces. Since its completion, the plan has received two national achievement awards. In 2019 the Society for College and University Planning awarded the university the Excellence in Planning for an Existing Campus Plan award.
Campus Merit Award for its innovative, collaborative, multidisciplinary, and integrated approaches to planning and design. In 2021, the university received the Excellence in Landscape for Open Space Planning Award (also awarded by the Society for College and University Planning) for universal design features within the plan set to boost campus accessibility and mobility.

5. Overview of the Capital Construction Program: The Committee will receive an overview of the university’s capital construction program from Bob Broyden, Associate Vice President for Campus Planning and Capital Financing, and Dwyn Taylor, Assistant Vice President for Capital Construction. The Capital Construction team provides leadership in the administration and management of all major capital outlay projects, which are defined as projects with a total project cost of $3 million or more inclusive of all expenditures necessary to complete the project, and/or projects involving the construction of 5,000 square feet or more. Project managers work closely with sponsoring colleges and departments, future building users, and other project stakeholders to achieve project goals. Following project authorization by the Board of Visitors, project managers coordinate all phases of a project from initiation through completion and close-out.

6. Acceptance of the Capital Project Status Report: The Committee will review for acceptance the quarterly capital project status report from Dwyn Taylor, Assistant Vice President for Capital Construction. 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 1.6 million gross square feet (GSF) of new construction, and renovates nearly 300,000 gross square feet of existing space.

The university recommends acceptance of the Capital Project Status Report and that reports in November 2023, April 2024, and June 2024 be included on the Committee’s consent agenda.

7. Update on Agricultural Facilities: The Committee will receive an update from Alan Grant, Dean of the College of Agriculture and Life Sciences, on agricultural facilities planning and construction. The update will include project status information and an introduction of Mary Burrows, the new Associate Dean and Director of the Virginia Agricultural Experiment Station.

8. Design Preview and Review for the Life, Health, Safety, Accessibility, and Code Compliance - Priority 2: The Committee will review for approval the joint design preview and review for the Life, Health, Safety, Accessibility, and Code Compliance - Priority 2 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 second priority of three high priority accessibility initiatives identified by the university in the Life, Health, Safety, Accessibility & 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 in the working drawings phase with construction anticipated to begin late fall of 2023 and to attain substantial completion late fall of 2024. The university received total project funding of $10.4 million in Life, Health, Safety, Accessibility & Compliance funds from the state for three priority projects, $3.9 million of which will be applied to the second priority project.

The university recommends that the design preview and review graphics be approved, and authorization be provided to continue with the project design consistent with the drawings shown.

9. Design Review for Mitchell Hall: The Committee will review for approval the design review for Mitchell Hall. Virginia Tech’s top ranked College of Engineering has grown 68 percent since the fall of 2006. As of 2022-2023 the number of Bachelors, Masters and Doctorate represents 39 percent degree production at the institution. To address this growth and aging facilities, as well as accommodate changing pedagogies, a new Mitchell Hall facility will replace undersized and outdated Randolph Hall with a state-of-the-art engineering hub. The facility will primarily house Aerospace and Ocean Engineering, Mechanical Engineering, and Engineering Education departments; it will provide project space for student teams, supporting national team-based research and development competitions. The project also provides student collaboration and general assignment classroom spaces serving the entire campus community. The project received $11 million of authorization for design funding in the 2020 Acts of Assembly, full project funding in the 2022 Acts of Assembly with a total budget of $292 million, and is in the working drawing phase. Construction activities are anticipated to begin in the winter of 2023 with substantial completion planned for the summer of 2027.

The university recommends that the design review graphics be approved, and authorization be provided to continue with the project design consistent with the drawings shown.

10. Future Agenda Items and Closing Remarks: The Committee will discuss potential topics for inclusion on future meeting agendas.
Open Joint Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE
AND BUILDINGS AND GROUNDS COMMITTEE

Room 102 A/B, Fralin Biomedical Research Institute

10:45 a.m.

August 29, 2023

<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Reporting Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>*#+ 1. Ratification of the Capital Outlay Plan for 2024-2030</td>
<td>Ken Miller</td>
</tr>
<tr>
<td></td>
<td>Chris Kiwus</td>
</tr>
<tr>
<td></td>
<td>Bob Broyden</td>
</tr>
<tr>
<td>* 2. Approval of Resolution to Amend a Long-term Lease for Children's National Hospital</td>
<td>Ken Miller</td>
</tr>
<tr>
<td></td>
<td>Chris Kiwus</td>
</tr>
<tr>
<td></td>
<td>Bob Broyden</td>
</tr>
</tbody>
</table>

* Requires full Board approval
# Discusses Enterprise Risk Management topic(s)
+ Discusses Strategic Investment Priorities topic(s)
Joint Open Session

1. Ratification of the Capital Outlay Plan for 2024-2030: The Committees will review for ratification the Capital Outlay Plan for 2024-2030. The Board of Visitors approved the initial 2024-2030 Capital Outlay plan at the March 2023 meeting. This revision includes renaming two projects, the addition of one project, and a budget revision for six projects to use the state’s updated prescribed unit cost for construction and escalation rates.

2. Approval of Resolution to Amend a Long-term Lease for Children’s National Hospital: The Committees will review for approval a resolution to amend a long-term lease for Children’s National Hospital. This request is for authorization to amend the university’s existing lease with the Children’s National Research Center to include an additional 12,350 rentable square feet for furthering research.
Ratification of the Capital Outlay Plan for 2024-2030

JOINT FINANCE AND RESOURCE MANAGEMENT COMMITTEE
AND BUILDINGS AND GROUNDS COMMITTEE

July 20, 2023

Background:
At the March 2023 meeting, the Board of Visitors reviewed a resolution requesting approval of the university’s 2024-2030 Capital Outlay Plan (Plan). The Plan includes two attachments with lists of projects: i) Attachment A is a prioritized listing of projects requesting General Fund support that require review and approval by the General Assembly and ii) Attachment B is a listing of entirely nongeneral fund projects that may be authorized by the Board of Visitors. The resolution further requests authorization to submit Capital Budget Requests to the state, in accordance with future guidance from the state and based on the projects listed in Attachment A of the Plan. The resolution was approved, and the university has proceeded accordingly.

On May 25, 2023, the state issued instructions for the preparation and submission of Capital Budget Requests for the 2024-2026 Biennial Budget. The deadline for submission of the Capital Budget Requests to the state was June 22, 2023, and the university prepared and submitted its requests by the due date. The state instructions, consultation with the Department of Planning and Budget, and consultation with state budget policy makers resulted in adjustments to the Plan approved in March. The list below covers the main points of guidance provided by the state to the university:

i. the submission to the state is limited to projects requesting some portion of General Fund resources in their budget and projects requesting to participate in the state’s nongeneral fund bond pools,

ii. each agency may submit only a subset of its highest priorities for General Fund support,

iii. supplement funding for projects previously approved for construction will be considered top budget priorities,

iv. agencies should include small, medium, and large size projects in their submission,

v. agencies are encouraged to include maintenance reserve-like projects that are beyond the $2 million capital budget threshold and extend the useful life of an asset, and
vi. for projects being submitted, the state provided prescribed unit construction cost values and escalation rates to estimate the total project costs to the mid-point of construction.

In response to the instructions and guidance, Virginia Tech made the following adjustments to Attachment A of the Plan. Attachment B of the Plan, the list of entirely nongeneral fund projects, has not changed.

Attachment A:

i. retitled two projects to better align with state budget priorities: the Hahn Hall South Renovation and Expansion project (priority #2 in the University Division) and the System-wide Agricultural Research and Extension Centers Improvements, Phase I project (priority #2 in the Cooperative Extension / Agriculture Experiment Station Division),

ii. inserted the Derring Hall Envelope Repair project to align with the state’s funding priorities for Maintenance Reserve-like projects, and

iii. revised the budget amounts for the six projects submitted to use the state’s updated prescribed unit cost for construction and escalation rates, which made the amounts higher than the university’s original estimates.

The instructions limited the number of budget requests for the 2024-2026 biennium to a subset of the institution’s highest priorities in Attachment A. The table below summarizes the subset of six projects submitted for the 2024-2026 biennium.

<table>
<thead>
<tr>
<th></th>
<th>Dollars in Thousands</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>General Fund</td>
</tr>
<tr>
<td>University Division</td>
<td></td>
</tr>
<tr>
<td>1. Virginia Tech-Carilion School of Medicine and Fralin Biomedical Research Institute Expansion</td>
<td>$ 153,700</td>
</tr>
<tr>
<td>2. Chemistry/Physics Facilities Renovation &amp; Expansion (Formerly titled Hahn Hall South)</td>
<td>100,500</td>
</tr>
<tr>
<td>3. Life, Health, Safety, Code Compliance Package</td>
<td>8,000</td>
</tr>
<tr>
<td>4. Derring Hall Envelope Repair (New Item)</td>
<td>16,800</td>
</tr>
<tr>
<td>Total University Division Projects</td>
<td>$ 279,000</td>
</tr>
<tr>
<td>Cooperative Extension / Agriculture Experiment Station Division</td>
<td></td>
</tr>
<tr>
<td>1. Center Woods Complex Improvements</td>
<td>$ 14,700</td>
</tr>
<tr>
<td>2. Agricultural Research and Extension Center Improvements (Formerly titled System-wide AREC Improvements, Phase I)</td>
<td>25,200</td>
</tr>
<tr>
<td>Total CE/AES Division Projects</td>
<td>$ 39,900</td>
</tr>
<tr>
<td>GRAND TOTAL</td>
<td>$ 318,900</td>
</tr>
</tbody>
</table>
State Capital Budget Review and Approval Process:

The next steps for the state’s 2023 budget session include at least five major phases as summarized below:

1) A state appointed Six-Year Capital Outlay Plan Advisory Committee (staffed by several central agencies and offices) will review all 2024-2030 capital plans submitted by agencies and institutions over the summer of 2023. This phase will include ongoing interactions by the university to best position its projects.

2) By November 1, 2023, the Six-Year Capital Outlay Plan Advisory Committee will provide a set of recommendations to the Governor, Chairman of the Senate Finance Committee, and Chairman of House Appropriations Committee to update the state’s capital outlay plan for the 2024-2030 period.

3) On December 20, 2023, the Governor is scheduled to present to the General Assembly a bill proposing the state’s updated capital outlay plan and a budget bill including planning funds or full funding for high priority items in the plan.

4) The legislature may amend the proposed plan and the proposed funding program in the Executive Budget Bill during the 2024 General Assembly. Depending on the overall size of the capital program and the amount of General Fund support for its projects, the university may submit legislative amendments for projects. This phase includes ongoing interactions by the university until a budget bill is passed.

5) July 1, 2024, the state’s updated 2024-2030 plan, capital funding program, and list of projects for the 2024-2026 biennium becomes effective.

In recognition of the adjustments in accordance with the instructions and guidance from state policy makers, the university is requesting ratification of an amended Attachment A of the Capital Outlay Plan for 2024-2030, attached. Attachment B of the Plan, the list of entirely nongeneral fund projects, remains as approved during the March 2023 meeting.

Recommendation:

That the Six-Year Capital Outlay Plan listing of projects shown on Attachment A for the period 2024 through 2030 be ratified for budget consideration with the state.

August 29, 2023
### University Division

<table>
<thead>
<tr>
<th>Project Description</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Virginia Tech-Carilion School of Medicine and Fralin Biomedical Research Institute Expansion</td>
<td>$153,700</td>
<td></td>
<td>$30,000</td>
<td>$183,700</td>
</tr>
<tr>
<td>Chemistry/Physics Facilities Renovation and Expansion</td>
<td>100,500</td>
<td></td>
<td>40,900</td>
<td>141,400</td>
</tr>
<tr>
<td>Derring Hall Renovation</td>
<td>117,500</td>
<td>9,500</td>
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<td>127,000</td>
</tr>
<tr>
<td>Newman Library Renovation</td>
<td>92,000</td>
<td></td>
<td></td>
<td>92,000</td>
</tr>
<tr>
<td>Robeson Hall Renovation</td>
<td>46,800</td>
<td>9,200</td>
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<td>56,000</td>
</tr>
<tr>
<td>Classroom Renovations</td>
<td>25,000</td>
<td></td>
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<td>25,000</td>
</tr>
<tr>
<td>Life, Health, Safety, Code Compliance Package</td>
<td>8,000</td>
<td></td>
<td></td>
<td>8,000</td>
</tr>
<tr>
<td>Derring Hall Envelope Repair</td>
<td>16,800</td>
<td></td>
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<tr>
<td>Total University Division Projects</td>
<td>$560,300</td>
<td>$18,700</td>
<td>$70,900</td>
<td>$649,900</td>
</tr>
</tbody>
</table>

### Cooperative Extension / Agriculture Experiment Station Division (CE/AES)

<table>
<thead>
<tr>
<th>Project Description</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Center Woods Complex Improvements</td>
<td>$14,700</td>
<td></td>
<td></td>
<td>14,700</td>
</tr>
<tr>
<td>Agricultural Research and Extension Center Improvements</td>
<td>25,200</td>
<td></td>
<td></td>
<td>25,200</td>
</tr>
<tr>
<td>Relocate Animal-Based Facilities from Glade Road</td>
<td>41,000</td>
<td></td>
<td></td>
<td>41,000</td>
</tr>
<tr>
<td>Plant and Environmental Sciences Research Facility (HABB-II)</td>
<td>91,000</td>
<td></td>
<td></td>
<td>91,000</td>
</tr>
<tr>
<td>Renew Animal and Livestock Facilities</td>
<td>34,000</td>
<td></td>
<td></td>
<td>34,000</td>
</tr>
<tr>
<td>Total CE/AES Division Projects</td>
<td>$205,900</td>
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<td>$205,900</td>
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</table>

### Total General Fund Capital Plan for 2024-2030

<table>
<thead>
<tr>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
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</thead>
<tbody>
<tr>
<td>$766,200</td>
<td>$18,700</td>
<td>$70,900</td>
<td>$855,800</td>
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</table>
## ATTACHMENT B

### Nongeneral Fund Six-Year Capital Outlay Plan for 2024-2030

**as of February 27, 2023**

<table>
<thead>
<tr>
<th>Project Description</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Blacksburg &amp; Roanoke Academic</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Architecture, Arts, &amp; Design Renovations</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Renovate Architecture Annex</td>
<td>$ -</td>
<td>$ 5,200</td>
<td>$ -</td>
<td>5,200</td>
</tr>
<tr>
<td>Renovate Media Building</td>
<td>-</td>
<td>4,400</td>
<td>-</td>
<td>4,400</td>
</tr>
<tr>
<td>Renovate Squires Performance Spaces</td>
<td>-</td>
<td>3,800</td>
<td>-</td>
<td>3,800</td>
</tr>
<tr>
<td>Expand Vivarium Spaces</td>
<td>-</td>
<td>-</td>
<td>54,000</td>
<td>54,000</td>
</tr>
<tr>
<td>FBRI Cancer Research Facility</td>
<td>-</td>
<td>112,000</td>
<td>-</td>
<td>112,000</td>
</tr>
<tr>
<td>Pamplin College of Business</td>
<td>-</td>
<td>28,100</td>
<td>52,700</td>
<td>80,800</td>
</tr>
<tr>
<td>Renovate G. Burke Johnston Student Center</td>
<td>-</td>
<td>5,000</td>
<td>5,000</td>
<td>10,000</td>
</tr>
<tr>
<td>Veterinary Teaching Hospital Expansion</td>
<td>-</td>
<td>29,000</td>
<td>20,000</td>
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<td>-</td>
<td>-</td>
<td>187,500</td>
<td>131,700</td>
<td>319,200</td>
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<td><strong>Blacksburg Auxiliaries &amp; Campus Services</strong></td>
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<td>Food Processing Center and Warehouse</td>
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<td>15,000</td>
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<td>Football Locker Room Renovation</td>
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<tr>
<td>Mail Services Facility</td>
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<td>Parking Garage</td>
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<td>Replace Kmart Lease</td>
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<td>Rescue Squad Facility</td>
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<td>Student Life Village Phase I:</td>
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<td>40,000</td>
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<td>Dining Component</td>
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<td>Recreation Component</td>
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<td>Residential Component</td>
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<td>Utilities and Infrastructure</td>
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<td><strong>Greater Washington D.C., Metro Area</strong></td>
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<tr>
<td>Children's National Lease Expansion, Phase II</td>
<td>-</td>
<td>-</td>
<td>6,000</td>
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<tr>
<td>Research Space Reconfiguration at VTRC-A</td>
<td>-</td>
<td>-</td>
<td>5,000</td>
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<tr>
<td>Upfit Floor 6 of Innovation Campus Academic Building I</td>
<td>-</td>
<td>9,000</td>
<td>-</td>
<td>9,000</td>
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<tr>
<td>-</td>
<td>-</td>
<td>9,000</td>
<td>11,000</td>
<td>20,000</td>
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<tr>
<td><strong>Total Nongeneral Fund Capital Plan for 2024-2030</strong></td>
<td>$ -</td>
<td>$ 240,200</td>
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<tr>
<td><strong>GRAND TOTAL SIX-YEAR CAPITAL OUTLAY PLAN</strong></td>
<td>$ 766,200</td>
<td>$ 258,900</td>
<td>$ 595,900</td>
<td>$ 1,621,000</td>
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</table>
Resolution to Amend the Long-Term Lease with the Children's National Research Center

JOINT FINANCE AND RESOURCE MANAGEMENT COMMITTEE AND BUILDINGS AND GROUND COMMITTEE

July 28, 2023

Virginia Tech and Children’s National Research Center (Children’s National) enjoy a strong partnership to collaborate to develop novel treatments for pediatric cancer and diseases. As part of the collaboration, Virginia Tech holds a long-term lease of 12,350 rentable square feet of space on the hospital’s 160,000 square foot research and innovation campus. The campus is located on the former Walter Reed Army Medical Center in the northwest section of the city and is the nation’s first innovation campus focused on pediatric cancer and disease research.

Virginia Tech’s existing space at the Children’s National houses a team of the Fralin Biomedical Research Institute (FBRI) with a highly active and diverse research portfolio that encompasses cancer research, neuroscience, neurobiology, and more. The leased space includes a mix of laboratories, offices, meeting rooms, and other spaces for FBRI’s cancer research and pediatric portfolio.

The existing lease includes an option for Virginia Tech to expand its space in the facility, and the university is ready to exercise this option as part of a planned strategic research growth between FBRI and Children’s National. Under the option, Virginia Tech may expand the additional square feet of rentable space, effectively doubling its space to approximately 24,700 square feet.

The terms of the option include an initial ten years with extensions through 2051. The total costs of the lease expansion with all extensions through 2051 is $20 million including an $11.3 million net present value of lease payments and $8.7 million of one-time costs for upfits to create the type of research space required by FBRI. The university has developed an entirely nongeneral fund resource plan to support the one-time and ongoing costs of the lease expansion.

Under the 2006 Management Agreement between the Commonwealth of Virginia and the university, the Board of Visitors has the authority to approve the budget, size, scope, and funding of nongeneral fund capital outlay projects, including long-term leases. This request is for authorization to amend the university’s existing lease with Children’s National to include an additional 12,350 rentable square feet for furthering research.
RESOLUTION TO AMEND THE LONG-TERM LEASE WITH THE CHILDREN’S NATIONAL RESEARCH CENTER

WHEREAS, Virginia Tech is in the first phase of a partnership and lease with the Children’s National Research Center (Children’s National) to develop novel treatments for pediatric cancer and diseases; and,

WHEREAS, as part of the collaboration, Virginia Tech currently leases 12,350 rentable square feet within Children’s National 160,000 square foot facility with terms that provide extensions through the year 2051; and,

WHEREAS, the existing lease includes an option for Virginia Tech to expand its space by leasing an additional 12,350 rentable square feet; and,

WHEREAS, Virginia Tech desires to expand its research partnership with Children's National and to exercise its option to lease additional space; and,

WHEREAS, Virginia Tech has developed an entirely nongeneral fund plan sufficient to cover the estimated $550,000 of incremental annual lease cost and a not-to-exceed one-time cost of $8.7 million for tenant improvements; and,

WHEREAS, the present value of the lease terms through 2051, including the $8.7 million one-time tenant improvement costs, is $20 million; and,

WHEREAS, under the 2006 Management Agreement between the Commonwealth of Virginia and Virginia Tech, the Board of Visitors has authority to approve the budget, size, scope, debt issuance, and overall funding of nongeneral funded major capital outlay projects, including long-term leases.

NOW, THEREFORE, BE IT RESOLVED, that the university be authorized to amend the Long-term Lease with Children's National Research Center to include additional space up to 12,350 rentable square feet and to upfit the space with incremental leasing costs not to exceed a net present value of $20 million.

RECOMMENDATION:

That the resolution authorizing Virginia Tech to amend the long-term lease with Children’s National be approved.

August 29, 2023
Closed Session Agenda

COMPLIANCE, AUDIT, AND RISK COMMITTEE

Fralin Biomedical Research Institute, Room G102 A/B
August 28, 2023
8:45 am

<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Reporting Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Motion to Begin Closed Session</td>
<td>Committee Member</td>
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<tr>
<td>2. Update on Fraud, Waste, and Abuse Cases</td>
<td>Sharon Kurek</td>
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<td></td>
<td>Ryan Hamilton</td>
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<tr>
<td># 3. Discussion on Legal Compliance Risk</td>
<td>Suzanne Griffin</td>
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<td></td>
<td>Kay Heidbreder</td>
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<td>4. Discussion with the Vice President for Audit, Risk, and Compliance and</td>
<td>Sharon Kurek</td>
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<tr>
<td>Chief Risk Officer</td>
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<tr>
<td>5. Motion to End Closed Session</td>
<td>Committee Member</td>
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</tbody>
</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 on Legal Compliance Risk:** The Committee will discuss legal and compliance risks related to an investigation.

4. **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.

5. **Motion to End Closed Session:** Motion to end closed session.
Open Session Agenda

COMPLIANCE, AUDIT, AND RISK COMMITTEE

Fralin Biomedical Research Institute, Room G102 A/B
August 28, 2023
9:15 am

<table>
<thead>
<tr>
<th>Agenda Item</th>
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<tbody>
<tr>
<td>1. Welcome and Introductory Remarks</td>
<td>Committee Chair</td>
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<tr>
<td>2. Consent Agenda</td>
<td>Committee Chair</td>
</tr>
<tr>
<td>a. Minutes from the June 5, 2023 Meeting</td>
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<tr>
<td>b. Update of Responses to Open Internal Audit Comments</td>
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<tr>
<td>c. Audit Plan Status Report</td>
<td></td>
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<tr>
<td>d. Internal Audit Reports</td>
<td></td>
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<tr>
<td>i. College of Natural Resources and Environment</td>
<td></td>
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<tr>
<td>ii. Housing Services</td>
<td></td>
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<tr>
<td>iii. SBIR/STTR Grant Compliance</td>
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<tr>
<td>iv. University Scholarships and Financial Aid</td>
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<tr>
<td>e. Status Update on the Audit of the University’s Financial Statements</td>
<td></td>
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<tr>
<td>f. Legislative Update</td>
<td></td>
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<tr>
<td># 3. Enrollment Management Landscape</td>
<td>Luisa Havens-Gerardo</td>
</tr>
<tr>
<td>4. Notice Pursuant to General Assembly’s Animal Research Legislation</td>
<td>Suzanne Griffin  Kay Heidbreder</td>
</tr>
<tr>
<td>5. Internal Audit Reports</td>
<td>Justin Noble</td>
</tr>
<tr>
<td>a. Data Analytics: Administrative Operations</td>
<td></td>
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<tr>
<td>b. Data Analytics: HokieMart Segregation of Duties</td>
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<tr>
<td>c. Data Analytics: Procurement Card Transaction Review</td>
<td></td>
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<tr>
<td>d. Human Resources: Employee Administration</td>
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<tr>
<td>Agenda Item</td>
<td>Reporting Responsibility</td>
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<td>------------------------------------------------</td>
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</tr>
<tr>
<td>6. OARC Annual Report</td>
<td>Sharon Kurek</td>
</tr>
<tr>
<td>7. Discussion of Future Topics</td>
<td>Committee Chair</td>
</tr>
</tbody>
</table>

# Discusses Enterprise Risk Management topic(s).
Compliance, Audit, and Risk Open Session

1. **Welcome and Introductory Remarks:** The chair of the Compliance, Audit, and Risk Committee will provide opening remarks.

2. **Consent Agenda:** The Committee will consider for approval and acceptance the items listed on the Consent Agenda.
   
   a. **Minutes from the June 5, 2023 Meeting:** The Committee will review and approve the minutes of the June 5, 2023 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 March 31, 2023, the university had 18 open recommendations. Four audit comments were issued during the fourth quarter of the fiscal year. As of June 30, 2023, the university had addressed seven comments, leaving 15 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 89 percent of its audit plan, and 100 percent is underway, in accordance with the fiscal year 2022-23 annual audit plan.

   d. **Internal Audit Reports:** The following internal audit reports were issued by OARC since the June 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. College of Natural Resources and Environment: The audit received a rating of improvements are recommended.
Observations were noted regarding lab safety training and labor cost transfers. Low-priority recommendations of a less significant nature were noted regarding effort reporting and compliance with the university's award management system for uploading final technical reports.

ii. Housing Services: The audit received an effective rating.

iii. SBIR/STTR Grant Compliance: The audit received an effective rating.

iv. University Scholarships and Financial Aid: The audit received an effective rating.

e. **Status Update on the Audit of the University’s Financial Statements:** This report provides the current status of the audit of the university’s financial statements for fiscal year 2022-23.

f. **Legislative Update:** This report provides an update on recent legislative changes that impact the Committee’s responsibility for oversight of compliance and risk.

3. **Enrollment Management Landscape:** The Committee will receive a presentation on the enrollment management landscape as it relates to the university’s enterprise risk management.

4. **Notice Pursuant to General Assembly’s Animal Research Legislation:** This report notifies the Committee of the university’s recent results from the U.S. Department of Agriculture Animal and Plant Health Inspection Service inspection, which included a citation for critical noncompliance under the Animal Welfare Act in accordance with the recently amended Code of Virginia Article 13 of Chapter 65 of Title 3.2 § 3.2-6593.2. Furthermore, the university made the report publicly available along with any other relevant documents by displaying a link to access such information on the landing page of the animal testing facility's website, within 30 days of receiving the inspection report.

5. **Internal Audit Reports:** The following internal audit reports were issued by OARC since the June 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. Data Analytics: Administrative Operations: The audit received a rating of effective.

b. Data Analytics: HokieMart Segregation of Duties: The audit received a rating of effective.

c. Data Analytics: Procurement Card Transaction Review: The audit received a rating of effective.

d. Human Resources: Employee Administration: The audit received a rating of significant improvements are needed. Observations were noted regarding employment eligibility verifications, data integrity, oversight of wage appointments, and security of high-risk data.

6. **OARC Annual Report for Fiscal Year 2022-23:** The Committee will review the annual report for OARC. Acceptance of this report documents the Committee's review of the effectiveness of the internal audit function, including staffing resources, financial budget, training, objectivity, and reporting relationships as required by the Committee's charter.

7. **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 102 A/B, Fralin Biomedical Research Institute  
8:45 a.m.  
August 29, 2023

<table>
<thead>
<tr>
<th><strong>Agenda Item</strong></th>
<th><strong>Reporting Responsibility</strong></th>
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<tbody>
<tr>
<td>1. Motion for Closed Session</td>
<td>Committee Member</td>
</tr>
<tr>
<td>* 2. Ratification of Personnel Changes Report</td>
<td>Ken Miller</td>
</tr>
</tbody>
</table>

* Requires full Board approval  
# Discusses Enterprise Risk Management topic(s)  
+ Discusses Strategic Investment Priorities topic(s)
Briefing Report

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

August 29, 2023

Closed Session

1. Motion for Closed Session

Open Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

Room 102 A/B, Fralin Biomedical Research Institute

To begin immediately following the Finance and Resource Management Committee Closed Session

August 29, 2023

<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Reporting Responsibility</th>
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<tbody>
<tr>
<td>1. Motion to Reconvene in Open Session</td>
<td>Committee Member</td>
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<tr>
<td>2. Welcome and Opening Remarks</td>
<td>Anna James</td>
</tr>
<tr>
<td>3. Consent Agenda</td>
<td>Anna James</td>
</tr>
<tr>
<td>a. Approval of Items Discussed in Closed Session</td>
<td></td>
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<tr>
<td>b. Approval of Minutes of the June 6, 2023 Meeting</td>
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<tr>
<td>#+ 4. Comprehensive Update on Advancement</td>
<td>Charlie Phlegar</td>
</tr>
<tr>
<td>5. Report on Gramm-Leach-Bliley Act Compliance and IT Security</td>
<td>Randy Marchany Melinda West</td>
</tr>
<tr>
<td>6. EVPCOO Update and Discussion</td>
<td>Amy Sebring</td>
</tr>
<tr>
<td>+ 7. Update on the 2024-2030 Six-Year Plan</td>
<td>Tim Hodge</td>
</tr>
<tr>
<td>* 8. Approval of Year-to-Date Financial Performance Report (July 1, 2022</td>
<td>Tim Hodge Bob Broyden</td>
</tr>
<tr>
<td>– June 30, 2023)</td>
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<tr>
<td>9. Discussion of Future Agenda Topics and Closing Remarks</td>
<td>Anna James</td>
</tr>
</tbody>
</table>

* 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 June 6, 2023 Meeting: The Committee will review and approve the minutes of the June 6, 2023 meeting.

4. Comprehensive Update on Advancement: The Committee will receive a comprehensive presentation from University Advancement providing an update on the fiscal year 2023 giving results and giving trends since the launch of the Advancement Model. This report also includes an update on the philanthropic participation rate and overviews of the Beyond Boundaries Scholarship Initiative, Boundless Impact Campaign, Top 100 Global Research University initiative, Virginia Tech Advantage, and VT Alumni Association.


6. EVPCOO Update and Discussion: The Committee will receive an update from the Executive Vice President and Chief Operating Officer.

7. Update on the 2024-2030 Six-Year Plan: The Committee will receive an update on the 2024-2030 Six-Year Plan. This update includes an overview of topics related to the university’s strategic priorities, including the Top 100 Global Research University initiative, the Virginia Tech Advantage, and the Virginia Tech-Carilion School of Medicine.
8. **Approval of Year-to-Date Financial Performance Report (July 1, 2022 – June 30, 2023):** The Committee will review for approval the Year-to-Date Financial Performance Report for July 1, 2022 to June 30, 2023. For the fourth 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.

9. **Discussion of Future Agenda Topics and Closing Remarks:** The Committee will discuss possible topics for future meetings and other topics as needed.
Open Joint Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE
AND BUILDINGS AND GROUNDS COMMITTEE

Room 102 A/B, Fralin Biomedical Research Institute

10:45 a.m.

August 29, 2023

<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Reporting Responsibility</th>
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</table>
| **1.** Ratification of the Capital Outlay Plan for 2024-2030 | Ken Miller  
Chris Kiwus  
Bob Broyden |
| **2.** Approval of Resolution to Amend a Long-term Lease for Children’s National Hospital | Ken Miller  
Chris Kiwus  
Bob Broyden |

* Requires full Board approval
# Discusses Enterprise Risk Management topic(s)
+ Discusses Strategic Investment Priorities topic(s)
Joint Open Session

1. **Ratification of the Capital Outlay Plan for 2024-2030:** The Committees will review for ratification the Capital Outlay Plan for 2024-2030. The Board of Visitors approved the initial 2024-2030 Capital Outlay plan at the March 2023 meeting. This revision includes renaming two projects, the addition of one project, and a budget revision for six projects to use the state’s updated prescribed unit cost for construction and escalation rates.

2. **Approval of Resolution to Amend a Long-term Lease for Children’s National Hospital:** The Committees will review for approval a resolution to amend a long-term lease for Children’s National Hospital. This request is for authorization to amend the university’s existing lease with the Children’s National Research Center to include an additional 12,350 rentable square feet for furthering research.
Background:
At the March 2023 meeting, the Board of Visitors reviewed a resolution requesting approval of the university’s 2024-2030 Capital Outlay Plan (Plan). The Plan includes two attachments with lists of projects: i) Attachment A is a prioritized listing of projects requesting General Fund support that require review and approval by the General Assembly and ii) Attachment B is a listing of entirely nongeneral fund projects that may be authorized by the Board of Visitors. The resolution further requests authorization to submit Capital Budget Requests to the state, in accordance with future guidance from the state and based on the projects listed in Attachment A of the Plan. The resolution was approved, and the university has proceeded accordingly.

On May 25, 2023, the state issued instructions for the preparation and submission of Capital Budget Requests for the 2024-2026 Biennial Budget. The deadline for submission of the Capital Budget Requests to the state was June 22, 2023, and the university prepared and submitted its requests by the due date. The state instructions, consultation with the Department of Planning and Budget, and consultation with state budget policy makers resulted in adjustments to the Plan approved in March. The list below covers the main points of guidance provided by the state to the university:

i. the submission to the state is limited to projects requesting some portion of General Fund resources in their budget and projects requesting to participate in the state’s nongeneral fund bond pools,

ii. each agency may submit only a subset of its highest priorities for General Fund support,

iii. supplement funding for projects previously approved for construction will be considered top budget priorities,

iv. agencies should include small, medium, and large size projects in their submission,

v. agencies are encouraged to include maintenance reserve-like projects that are beyond the $2 million capital budget threshold and extend the useful life of an asset, and
vi. for projects being submitted, the state provided prescribed unit construction cost values and escalation rates to estimate the total project costs to the mid-point of construction.

In response to the instructions and guidance, Virginia Tech made the following adjustments to Attachment A of the Plan. Attachment B of the Plan, the list of entirely nongeneral fund projects, has not changed.

Attachment A:

i. retitled two projects to better align with state budget priorities: the Hahn Hall South Renovation and Expansion project (priority #2 in the University Division) and the System-wide Agricultural Research and Extension Centers Improvements, Phase I project (priority #2 in the Cooperative Extension / Agriculture Experiment Station Division),

ii. inserted the Derring Hall Envelope Repair project to align with the state’s funding priorities for Maintenance Reserve-like projects, and

iii. revised the budget amounts for the six projects submitted to use the state’s updated prescribed unit cost for construction and escalation rates, which made the amounts higher than the university’s original estimates.

The instructions limited the number of budget requests for the 2024-2026 biennium to a subset of the institution’s highest priorities in Attachment A. The table below summarizes the subset of six projects submitted for the 2024-2026 biennium.

<table>
<thead>
<tr>
<th></th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Nongeneral Debt</th>
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<tr>
<td><strong>University Division</strong></td>
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</tr>
<tr>
<td>1. Virginia Tech-Carilion School of Medicine and Fralin Biomedical Research Institute Expansion</td>
<td>$153,700</td>
<td>$30,000</td>
<td></td>
<td>$183,700</td>
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<td>2. Chemistry/Physics Facilities Renovation &amp; Expansion (Formerly titled Hahn Hall South)</td>
<td>100,500</td>
<td>40,900</td>
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<td>141,400</td>
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<tr>
<td>3. Life, Health, Safety, Code Compliance Package</td>
<td>8,000</td>
<td>-</td>
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<tr>
<td>4. Derring Hall Envelope Repair (New Item)</td>
<td>16,800</td>
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<td><strong>Total University Division Projects</strong></td>
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<td><strong>Cooperative Extension / Agriculture Experiment Station Division</strong></td>
<td>$14,700</td>
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<td>2. Agricultural Research and Extension Center Improvements (Formerly titled System-wide AREC Improvements, Phase I)</td>
<td>25,200</td>
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<td><strong>Total CE/AES Division Projects</strong></td>
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<td><strong>GRAND TOTAL</strong></td>
<td>$318,900</td>
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State Capital Budget Review and Approval Process:

The next steps for the state’s 2023 budget session include at least five major phases as summarized below:

1) A state appointed Six-Year Capital Outlay Plan Advisory Committee (staffed by several central agencies and offices) will review all 2024-2030 capital plans submitted by agencies and institutions over the summer of 2023. This phase will include ongoing interactions by the university to best position its projects.

2) By November 1, 2023, the Six-Year Capital Outlay Plan Advisory Committee will provide a set of recommendations to the Governor, Chairman of the Senate Finance Committee, and Chairman of House Appropriations Committee to update the state’s capital outlay plan for the 2024-2030 period.

3) On December 20, 2023, the Governor is scheduled to present to the General Assembly a bill proposing the state’s updated capital outlay plan and a budget bill including planning funds or full funding for high priority items in the plan.

4) The legislature may amend the proposed plan and the proposed funding program in the Executive Budget Bill during the 2024 General Assembly. Depending on the overall size of the capital program and the amount of General Fund support for its projects, the university may submit legislative amendments for projects. This phase includes ongoing interactions by the university until a budget bill is passed.

5) July 1, 2024, the state’s updated 2024-2030 plan, capital funding program, and list of projects for the 2024-2026 biennium becomes effective.

In recognition of the adjustments in accordance with the instructions and guidance from state policy makers, the university is requesting ratification of an amended Attachment A of the Capital Outlay Plan for 2024-2030, attached. Attachment B of the Plan, the list of entirely nongeneral fund projects, remains as approved during the March 2023 meeting.

Recommendation:

That the Six-Year Capital Outlay Plan listing of projects shown on Attachment A for the period 2024 through 2030 be ratified for budget consideration with the state.

August 29, 2023
# General Fund Six-Year Capital Outlay Plan for 2024-2030

as of July 20, 2023

## University Division

<table>
<thead>
<tr>
<th>Project Description</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
</tr>
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<tbody>
<tr>
<td>Virginia Tech-Carilion School of Medicine and Fralin Biomedical Research Institute Expansion</td>
<td>$153,700</td>
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<td>-</td>
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<td>117,500</td>
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<td>Newman Library Renovation</td>
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<td>Robeson Hall Renovation</td>
<td>46,800</td>
<td>9,200</td>
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<td>Classroom Renovations</td>
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<tr>
<td>Life, Health, Safety, Code Compliance Package</td>
<td>8,000</td>
<td>-</td>
<td>-</td>
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<tr>
<td>Derring Hall Envelope Repair</td>
<td>16,800</td>
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<td><strong>Total University Division Projects</strong></td>
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<td><strong>$649,900</strong></td>
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## Cooperative Extension / Agriculture Experiment Station Division (CE/AES)

<table>
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<tr>
<th>Project Description</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
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</thead>
<tbody>
<tr>
<td>Center Woods Complex Improvements</td>
<td>$14,700</td>
<td>$</td>
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<td>Agricultural Research and Extension Center Improvements</td>
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<td>25,200</td>
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<tr>
<td>Relocate Animal-Based Facilities from Glade Road</td>
<td>41,000</td>
<td>-</td>
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<tr>
<td>Plant and Environmental Sciences Research Facility (HABB-II)</td>
<td>91,000</td>
<td>-</td>
<td>-</td>
<td>91,000</td>
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<tr>
<td>Renew Animal and Livestock Facilities</td>
<td>34,000</td>
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<td>-</td>
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## Total General Fund Capital Plan for 2024-2030

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<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
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</thead>
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<tr>
<td>$766,200</td>
<td>$18,700</td>
<td>$70,900</td>
<td>$855,800</td>
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### Nongeneral Fund Six-Year Capital Outlay Plan for 2024-2030

**as of February 27, 2023**

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<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
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</thead>
<tbody>
<tr>
<td><strong>Blacksburg &amp; Roanoke Academic</strong></td>
<td></td>
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<tr>
<td>Architecture, Arts, &amp; Design Renovations</td>
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<tr>
<td>Renovate Architecture Annex</td>
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<tr>
<td>Renovate Media Building</td>
<td>-</td>
<td>4,400</td>
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<tr>
<td>Renovate Squires Performance Spaces</td>
<td>-</td>
<td>3,800</td>
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<td>3,800</td>
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<tr>
<td>Expand Vivarium Spaces</td>
<td>-</td>
<td>54,000</td>
<td>-</td>
<td>54,000</td>
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<tr>
<td>FBRI Cancer Research Facility</td>
<td>-</td>
<td>112,000</td>
<td>-</td>
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<tr>
<td>Pamplin College of Business</td>
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<td>28,100</td>
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<td>Renovate G. Burke Johnston Student Center</td>
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<td>Veterinary Teaching Hospital Expansion</td>
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<td>20,000</td>
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<tr>
<td>Food Processing Center and Warehouse</td>
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<td>15,000</td>
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<td>15,000</td>
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<td>Football Locker Room Renovation</td>
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<tr>
<td>Mail Services Facility</td>
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<td>-</td>
<td>3,000</td>
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<td>Parking Garage</td>
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<td>Replace Kmart Lease</td>
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<td>Student Life Village Phase I:</td>
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<td>Dining Component</td>
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<td>Residential Component</td>
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<td>Utilities and Infrastructure</td>
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<td><strong>Total</strong></td>
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<td>43,700</td>
<td>382,300</td>
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<td><strong>Greater Washington D.C., Metro Area</strong></td>
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<tr>
<td>Children’s National Lease Expansion, Phase II</td>
<td>-</td>
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<td>-</td>
<td>6,000</td>
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<tr>
<td>Research Space Reconfiguration at VTRC-A</td>
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<tr>
<td>Upfit Floor 6 of Innovation Campus Academic Building I</td>
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<td>-</td>
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<tr>
<td><strong>Total</strong></td>
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<td>11,000</td>
<td>20,000</td>
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<tr>
<td><strong>Total Nongeneral Fund Capital Plan for 2024-2030</strong></td>
<td>$</td>
<td>240,200</td>
<td>$</td>
<td>525,000</td>
</tr>
</tbody>
</table>

**GRAND TOTAL SIX-YEAR CAPITAL OUTLAY PLAN**

$ 766,200 $ 258,900 $ 595,900 $ 1,621,000
Resolution to Amend the Long-Term Lease with 
the Children’s National Research Center

JOINT FINANCE AND RESOURCE MANAGEMENT COMMITTEE
AND BUILDINGS AND GROUND COMMITTEE

July 28, 2023

Virginia Tech and Children’s National Research Center (Children’s National) enjoy a strong partnership to collaborate to develop novel treatments for pediatric cancer and diseases. As part of the collaboration, Virginia Tech holds a long-term lease of 12,350 rentable square feet of space on the hospital’s 160,000 square foot research and innovation campus. The campus is located on the former Walter Reed Army Medical Center in the northwest section of the city and is the nation’s first innovation campus focused on pediatric cancer and disease research.

Virginia Tech’s existing space at the Children’s National houses a team of the Fralin Biomedical Research Institute (FBRI) with a highly active and diverse research portfolio that encompasses cancer research, neuroscience, neurobiology, and more. The leased space includes a mix of laboratories, offices, meeting rooms, and other spaces for FBRI's cancer research and pediatric portfolio.

The existing lease includes an option for Virginia Tech to expand its space in the facility, and the university is ready to exercise this option as part of a planned strategic research growth between FBRI and Children’s National. Under the option, Virginia Tech may expand the additional square feet of rentable space, effectively doubling its space to approximately 24,700 square feet.

The terms of the option include an initial ten years with extensions through 2051. The total costs of the lease expansion with all extensions through 2051 is $20 million including an $11.3 million net present value of lease payments and $8.7 million of one-time costs for upfits to create the type of research space required by FBRI. The university has developed an entirely nongeneral fund resource plan to support the one-time and ongoing costs of the lease expansion.

Under the 2006 Management Agreement between the Commonwealth of Virginia and the university, the Board of Visitors has the authority to approve the budget, size, scope, and funding of nongeneral fund capital outlay projects, including long-term leases. This request is for authorization to amend the university’s existing lease with Children’s National to include an additional 12,350 rentable square feet for furthering research.
RESOLUTION TO AMEND THE LONG-TERM LEASE WITH
THE CHILDRENS NATIONAL RESEARCH CENTER

WHEREAS, Virginia Tech is in the first phase of a partnership and lease with the
Children's National Research Center (Children's National) to develop novel treatments
for pediatric cancer and diseases; and,

WHEREAS, as part of the collaboration, Virginia Tech currently leases 12,350 rentable
square feet within Children's National 160,000 square foot facility with terms that provide
extensions through the year 2051; and,

WHEREAS, the existing lease includes an option for Virginia Tech to expand its space
by leasing an additional 12,350 rentable square feet; and,

WHEREAS, Virginia Tech desires to expand its research partnership with Children's
National and to exercise its option to lease additional space; and,

WHEREAS, Virginia Tech has developed an entirely nongeneral fund plan sufficient to
cover the estimated $550,000 of incremental annual lease cost and a not-to-exceed one-
time cost of $8.7 million for tenant improvements; and,

WHEREAS, the present value of the lease terms through 2051, including the $8.7 million
one-time tenant improvement costs, is $20 million; and,

WHEREAS, under the 2006 Management Agreement between the Commonwealth of
Virginia and Virginia Tech, the Board of Visitors has authority to approve the budget, size,
scope, debt issuance, and overall funding of nongeneral funded major capital
outlay projects, including long-term leases.

NOW, THEREFORE, BE IT RESOLVED, that the university be authorized to amend the
Long-term Lease with Children's National Research Center to include additional space
up to 12,350 rentable square feet and to upfit the space with incremental leasing costs
not to exceed a net present value of $20 million.

RECOMMENDATION:
That the resolution authorizing Virginia Tech to amend the long-term lease with Children’s
National be approved.

August 29, 2023
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 June 2022-23 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 budgetary 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 in grant funds with revenue and expenditure budgets upon the effective date of each project, which normally occurs on July 1 or regularly scheduled meetings of the Board of Visitors. 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, and these budgets are approved by the Board of Visitors at the June meeting. 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, 2022 through June 30, 2023 and the Capital Outlay report be approved.

August 29, 2023
<table>
<thead>
<tr>
<th></th>
<th>July 1, 2022 to June 30, 2023</th>
<th>Actual</th>
<th>Budget</th>
<th>Change</th>
<th>Original</th>
<th>Adjusted</th>
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</tr>
<tr>
<td><strong>Revenues</strong></td>
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<td>659,167</td>
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<td>$937,445</td>
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<tr>
<td><strong>Total Expenses</strong></td>
<td>$-942,943</td>
<td>$-947,839</td>
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<td>$-937,445</td>
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<td><strong>Revenues</strong></td>
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<td>$102,863</td>
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<td>Academic Programs</td>
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<td>(7)</td>
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<tr>
<td><strong>Total Expenses</strong></td>
<td>$-101,475</td>
<td>$-104,636</td>
<td>$3,161</td>
<td></td>
<td>$-102,863</td>
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<td>$1,773</td>
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<tr>
<td><strong>NET</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td></td>
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<td>$0</td>
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<td>$390,543</td>
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<td>$0</td>
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<td><strong>Sponsored Programs</strong></td>
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<tr>
<td><strong>Revenues</strong></td>
<td>$412,866</td>
<td>$390,052</td>
<td>$22,814</td>
<td>(10)</td>
<td>$389,077</td>
<td>$390,052</td>
<td>$975</td>
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<tr>
<td><strong>Expenses</strong></td>
<td>$387,311</td>
<td>$390,052</td>
<td>2,741</td>
<td>(10)</td>
<td>$389,077</td>
<td>$390,052</td>
<td>$975</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
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<td>$0</td>
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<tr>
<td><strong>Student Financial Assistance</strong></td>
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<tr>
<td><strong>Revenues</strong></td>
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<td>$51,181</td>
<td>$-1,434</td>
<td>(11)</td>
<td>$48,463</td>
<td>$51,181</td>
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<td>(11)</td>
<td>$48,463</td>
<td>$51,181</td>
<td>$2,718</td>
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<td>$0</td>
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<tr>
<td><strong>All Other Programs</strong></td>
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<tr>
<td>Revenue</td>
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<td>(11)</td>
<td>$16,144</td>
<td>$37,910</td>
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<td><strong>Total University</strong></td>
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<tr>
<td>Revenues</td>
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<td>$25,044</td>
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<td>$1,897,546</td>
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<td>$3,196</td>
<td>$3,196</td>
<td>$0</td>
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<tr>
<td>Reserve Drawdown/(Deposit)</td>
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<td>-88,960</td>
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<td>$0</td>
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</tr>
</tbody>
</table>

*All Other Programs include federal work study, surplus property, local funds, and unique military activities.*
OPERATING BUDGET

1. General Fund Revenues are lower than budgeted due to lower than projected interest earnings and credit rebates returned to the institution.

2. Tuition & Fee revenues are higher than projected due to lower tuition waivers than originally estimated and higher than projected specialized program fee revenues.

3. University Division all other income revenues are lower than projected due to timing of revenues.

4. University Division expenditures are lower than historical projections due to timing of expenses.

5. While the Commonwealth requires revenues and expenses be balanced for Educational and General Programs, year end balances are possible for continuing education programs.

6. 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 drawdown.

7. Cooperative Extension and Agriculture Experiment Station Division academic program expenditures are lower than historical projections due to timing of expenses.

8. While the Commonwealth requires that revenue and expenses be balanced for Educational and General Programs, variances in federal funds are possible due to the timing differences between drawdowns and expenses.

9. Quarterly and projected annual variances are explained in the Auxiliary Enterprises section of this report.

10. 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 expenditures are higher than projected. The sponsored research expenditures are 12.8% higher than June 30, 2022.

11. Expenses for All Other Programs were lower than projected due to timing of expenditures and lower than projected Surplus Property activity.

12. The annual budget for the University Division General Fund was decreased $0.2 million for the state share of salary and fringe benefit rate changes. The corresponding expenditure budgets have been adjusted accordingly.

13. The annual budget for Tuition and Fees was decreased $3.2 million for higher than projected codified Virginia Military Survivor Waivers, $1.9 million for scholarships and budget finalization, and $0.4 million for lower than projected professional program enrollments. The budget was increased $0.6 million for higher than projected summer and winter session revenues, $2.1 million for higher than projected undergraduate non-resident enrollment, $5.1 million for higher than projected graduate enrollment, $3.2 million for projected savings in rate discounts and waivers, and $0.9 million for higher than projected specialized program fee revenues. The corresponding expenditure budgets have been adjusted accordingly.

14. The University Division All Other Income revenue budget was increased $4.3 million for self-generated earmarked revenues and higher than projected continuing education activity. The corresponding expenditure budgets have been adjusted accordingly.
15. The Cooperative Extension/Agriculture Experiment State Division General Fund revenue budget was increased $0.1 million for the state share of salary and fringe benefit rate changes. The corresponding expenditure budgets have been adjusted accordingly.

16. The federal revenue budget in the Cooperative Extension/Agricultural Experiment Station Division has been increased $1.4 million for the carryover of unexpended federal funds in FY22. The corresponding expenditure budgets have been adjusted accordingly.

17. The All Other Income budget in the Cooperative Extension/Agricultural Experiment Station Division has been increased $0.3 million for the higher than projected VCE self-generated revenue. The corresponding expenditure budgets have been adjusted accordingly.

18. The Sponsored programs revenue and expenditure budgets were increased $1.0 million for Historical Horse Racing revenue to support the Virginia Maryland Regional College of Veterinary Medicine.

19. The Student Financial Assistance revenue and expenditure budgets were increased $2.0 million for the finalization of the scholarship budget, $0.3 million for the nongeneral fund scholarship program, and $0.4 million for higher than projected Virginia Military Survivor Stipends and 2-Year College Transfer Grant scholarships.

20. The projected annual budgets for All Other Programs were decreased $0.2 million to finalize budgets and increased $0.3 million for Surplus Property business volume. The revenue budget was increased $2.9 million for technical alignment. The projected annual expense budgets were increased $1.0 million for outstanding 2021-22 commitments that were initiated but not completed before June 30, 2022, increased $25.1 million for an approved capital plan, and a $3.2 million transfer was made to support an approved capital plan.
## AUXILIARY ENTERPRISES
Dollars in Thousands

<table>
<thead>
<tr>
<th></th>
<th>July 1, 2022 to June 30, 2023</th>
<th>Annual Budget for 2022-23</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Actual</td>
<td>Budget</td>
</tr>
<tr>
<td>Residence and Dining Halls *</td>
<td></td>
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<tr>
<td>Revenues</td>
<td>$157,630</td>
<td>$154,896</td>
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<tr>
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<td>-162,396</td>
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<td>7,500</td>
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<td>Net</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Parking and Transportation</td>
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<td></td>
</tr>
<tr>
<td>Revenues</td>
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<td>$19,813</td>
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<td>Reserve Drawdown/(Deposit)</td>
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<td>667</td>
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<td>$0</td>
</tr>
<tr>
<td>Telecommunications Services</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revenues</td>
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<td>$25,480</td>
</tr>
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<td>-35,725</td>
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<td>10,245</td>
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<tr>
<td>Revenues</td>
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<td>$0</td>
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<tr>
<td>Intercollegiate Athletics *</td>
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</tr>
<tr>
<td>Revenues</td>
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<td>$94,045</td>
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<tr>
<td>Reserve Drawdown/(Deposit)</td>
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<td>-4,150</td>
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<td>Net</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Electric Service *</td>
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<td></td>
</tr>
<tr>
<td>Revenues</td>
<td>$39,015</td>
<td>$38,700</td>
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<tr>
<td>Expenses</td>
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<tr>
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<td>$0</td>
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<tr>
<td>Inn at VT/Skelton Conf. Center</td>
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<td></td>
</tr>
<tr>
<td>Revenues</td>
<td>$13,366</td>
<td>$11,502</td>
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<td>Expenses</td>
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<td>Reserve Drawdown/(Deposit)</td>
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<td>$0</td>
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<tr>
<td>Other Enterprise Functions ***</td>
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<tr>
<td>Revenues</td>
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<td>$13,663</td>
</tr>
<tr>
<td>Expenses</td>
<td>-3,551</td>
<td>-6,467</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
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<td>-7,196</td>
</tr>
<tr>
<td>Net</td>
<td>$0</td>
<td>$0</td>
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<td>TOTAL AUXILIARIES</td>
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<td>$419,260</td>
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<td>-31,966</td>
<td>24,288</td>
</tr>
<tr>
<td></td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

* 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 from summer conferences. Expenses are lower than projected due to timing of operating expenses, one-time facility improvement projects, and replacement of furniture and equipment normally scheduled during the summer months.

2. Revenues in Parking and Transportation Services are higher than projected due to higher than budgeted self-generated revenues. Expenses are lower than projected due to timing of operating expenses, Fleet Services vehicle replacement purchases, and transit equipment purchases.

3. Expenses in Telecommunications Services are lower than projected due to timing of network telecommunication projects and supply chain disruptions impacting delivery of telecommunication network equipment.

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, health services renovation projects, recreation field turf replacement, private funded table tennis project, and facility projects scheduled for summer months.

5. Expenses for Intercollegiate Athletics are lower than projected due to timing of expenses and one-time facility and equipment projects.

6. Expenses for the Electric Service auxiliary are lower than projected due to timing of items ordered but not yet received thus not paid at fiscal year-end.

7. Revenues for the Inn at Virginia Tech are higher than projected due to higher than budgeted self-generated revenue. Expenses are lower than projected due to timing of operating expenses and facility projects.

8. Revenues for Other Enterprise Functions are higher than projected due to increased business volume in New Student Programs, Licensing and Trademark, and Software Sales. Expenses are lower than projected due to the timing of operating expenses and facility related projects.

9. The annual revenue and expense budgets for Residence and Dining Halls were increased $2.0 million for the Dietrick Spirit Plaza project expenses and associated private gifts, $3.2 million for increased dining business volume, and $5.4 million for residence hall repair expenses.

10. In June 2022, the annual revenue, expense, and reserve budgets for Auxiliary Enterprises were adjusted for technical alignments and finalization of fixed cost estimates.

11. The annual expense budget for Auxiliary Enterprises was increased $24.2 million for outstanding 2021-22 commitments and projects that were initiated but not completed before June 30, 2022.

<table>
<thead>
<tr>
<th>Auxiliary Enterprise</th>
<th>Outstanding Commitments</th>
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<tbody>
<tr>
<td>Residence and Dining Halls</td>
<td>$3,436,244</td>
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<tr>
<td>Parking and Transportation</td>
<td>1,927,844</td>
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<tr>
<td>Telecommunication Services</td>
<td>6,835,353</td>
</tr>
<tr>
<td>University Services System</td>
<td>4,662,413</td>
</tr>
<tr>
<td>Intercollegiate Athletics</td>
<td>2,169,202</td>
</tr>
<tr>
<td>Electric Service</td>
<td>3,528,523</td>
</tr>
<tr>
<td>Inn at Virginia Tech</td>
<td>92,000</td>
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<tr>
<td>Other Enterprise Functions</td>
<td>1,579,837</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>$24,231,416</strong></td>
</tr>
</tbody>
</table>
12. The annual expense and reserve budgets for Parking and Transportation Services were increased $2.2 million for transportation equipment maintenance. The revenue budget was increased $1.6 million and expense budget increased $0.6 million for higher business volume.

13. The annual revenue, expense, and reserve budgets for Telecommunications Services were increased $0.5 million for network infrastructure installation revenue and $2.0 million for associated equipment expenses. The revenue budget was decreased by $2.0 million for timing of the residential network refresh project.

14. The annual revenue, expense, and reserve budgets for University Services System were increased $0.5 million for private gift revenue and expenses increased $1.7 million for a private gift funded table tennis project, $2.0 million for Recreational Sports War Memorial Hall maintenance project expenses, and $2.0 million for recreational field turf replacement project.

15. The annual revenue, expense, and reserve budgets for Intercollegiate Athletics were increased $0.1 million for private gift revenue and $0.5 million expense to accommodate a temporary loan for the women’s basketball locker room renovation project. The annual revenue budget was increased $0.8 million for ACC network revenues, $0.4 million for football revenues, $0.2 million private support for sports operating projects, and $0.4 million increase in self-generated revenues. The annual expense budget was increased $0.6 million for coaching contracts and faculty leave payouts, $1.8 million for team travel inflationary increases and to fully fund sport operating budgets, $1.2 million for Lombardi Student Athlete Development Center renovations, $1.2 million for turf replacement, $0.9 million for scoreboard projects, and $1.0 million sports operating and repair expenses, partially offset by a decrease of $1.0 million for removal of bowl contingency, a decrease of $3.6 million for alignment of scholarship expenses resulting from the timing of the student athlete academic incentive, and a decrease of $1.0 million for alignment of scholarship expenses to private fundraising.

16. The annual revenue budget for the Electric Service auxiliary was decreased $0.7 million for lower electrical consumption. The annual expense and reserve budgets were increased $0.6 million due for higher than budgeted cost of wholesale electricity and electrical material costs, and increased $1.6 million for higher cost of electricity and operating costs.

17. The annual expense budget for The Inn at Virginia Tech and Skelton Conference Center was increased $0.7 million for higher operating costs.

18. The annual expense and reserve budgets for Other Enterprise Functions were increased for technical accounting alignments and scholarship expenses in Licensing and Trademark. The annual revenue and expense budgets were increased $0.2 million for private gift funded Tailor Shop renovation planning.
## CAPITAL OUTLAY PROJECTS
### AUTHORIZED AS OF JUNE 30, 2023
Dollars in Thousands

<table>
<thead>
<tr>
<th>PROJECT INITIATED</th>
<th>FISCAL YEAR ACTIVITY</th>
<th>STATE BUDGET SUPPORT</th>
<th>NONGENERAL REVENUE FUND</th>
<th>BOND BUDGET EXPENDITURES</th>
<th>TOTAL PROJECT BUDGET EXPENDITURES</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>EDUCATIONAL AND GENERAL PROJECTS</strong></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Design Phase</strong></td>
<td></td>
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<tr>
<td>Mitchell Hall (Replace Randolph Hall)</td>
<td>Jul 2020</td>
<td>$ 4,400</td>
<td>$ 5,019</td>
<td>$ 264,453</td>
<td>$ 11,000</td>
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<tr>
<td>Planning: New Business Building</td>
<td>Apr 2022</td>
<td>3,000</td>
<td>900</td>
<td>-</td>
<td>8,000</td>
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<tr>
<td><strong>Construction Phase</strong></td>
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<td></td>
<td></td>
<td></td>
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<tr>
<td>Maintenance Reserve</td>
<td>On-going</td>
<td>18,109</td>
<td>14,571</td>
<td>20,729</td>
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<tr>
<td>Corps Leadership and Military Science Building</td>
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<td>20,000</td>
<td>17,990</td>
<td>-</td>
<td>21,600</td>
</tr>
<tr>
<td>Innovation Campus - Academic Building</td>
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<td>88,000</td>
<td>91,245</td>
<td>177,164</td>
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<tr>
<td>Hitt Hall</td>
<td>Apr 2017</td>
<td>28,000</td>
<td>24,869</td>
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<td>31,657</td>
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<td>Undergraduate Science Laboratory Building</td>
<td>Jul 2017</td>
<td>30,000</td>
<td>24,792</td>
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<tr>
<td>Building Envelope Improvements</td>
<td>Aug 2022</td>
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</tr>
<tr>
<td>Life, Health, Safety, Accessibility, &amp; Code Compliance</td>
<td>Jul 2020</td>
<td>2,910</td>
<td>1,650</td>
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<tr>
<td><strong>Equipment and Special Initiatives</strong></td>
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<tr>
<td>Commonwealth Cyber Initiative</td>
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<td>Fralin Biomedical Research Institute Equipment</td>
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<td>Equipment for Workforce Development</td>
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<tr>
<td><strong>Close-Out</strong></td>
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<tr>
<td>Improve Kentland Facilities</td>
<td>Sep 2013</td>
<td>132</td>
<td>11</td>
<td>12,463</td>
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</tr>
<tr>
<td>Gas-Fired Boiler at the Central Steam Plant</td>
<td>Apr 2017</td>
<td>162</td>
<td>39</td>
<td>8,200</td>
<td>-</td>
</tr>
<tr>
<td>Holden Hall Renovation</td>
<td>Oct 2016</td>
<td>3,081</td>
<td>2,518</td>
<td>32,655</td>
<td>10,312</td>
</tr>
<tr>
<td>Planning: Relocate Hampton Roads AREC</td>
<td>Jul 2022</td>
<td>200</td>
<td>365</td>
<td>500</td>
<td>-</td>
</tr>
<tr>
<td>Data and Decision Science Building</td>
<td>Jul 2019</td>
<td>20,000</td>
<td>22,540</td>
<td>69,000</td>
<td>-</td>
</tr>
<tr>
<td>Commerce Street Property Acquisition</td>
<td>Jun 2023</td>
<td>-</td>
<td>-</td>
<td>540</td>
<td>-</td>
</tr>
<tr>
<td><strong>TOTAL EDUCATIONAL AND GENERAL PROJECTS</strong></td>
<td></td>
<td>$ 238,100</td>
<td>$ 222,904</td>
<td>$ 804,800</td>
<td>$ 113,851</td>
</tr>
</tbody>
</table>

Presentation Date: August 29, 2023
**Education and General Projects**

1. **Mitchell Hall (Replace Randolph Hall):** This state authorized project will replace Randolph Hall with an approximately 285,000 gross square foot building to accommodate engineering instruction and research. The state authorized construction funding effective July 1, 2022. The Division of Engineering and Buildings issued the project’s Schematic Cost Report on May 24, 2023. The report increases the total budget to $280 million from $248 million. Working Drawings are underway. Resources are available and sufficient to cover the accelerated cash flows, and the project remains within the authorized total budget.

2. **Planning: New Business Building:** This planning project will design a 104,000 gross square foot building for the Pamplin College of Business. The project is progressing into preliminary design.

3. **Maintenance Reserve:** The total project budget reflects $3.27 million of carryforward from fiscal year 2022 and $17.462 million of new appropriations from the State for fiscal year 2023. The annual budget amount reflects the pace necessary to meet the state’s 85 percent spending performance requirement.

4. **Livestock & Poultry Research Facilities, Phase I:** The new swine, poultry, beef, and equine facilities are substantially complete. Market pricing for the two outstanding packages, three hay barns and demolition, is expected August 2023. Construction funding for the hay barns and demolitions are in process under the state’s supplement pool established during the 2022 General Assembly session.

5. **Corps Leadership and Military Science Building:** Substantial completion and occupancy expected July 2023.

6. **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. Construction is underway with substantial completion expected June 2024. Resources are available and sufficient to cover the accelerated cash flows, and the project remains within the authorized total budget.

7. **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 March 2024.

8. **Undergraduate Science Laboratory Building:** Construction of the 102,000 gross square foot science instruction laboratory building is underway with substantial completion June 2024.

9. **Building Envelope Improvements:** This project will complete envelope improvements to four buildings.

10. **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 underway. Designs for accessible pathways on the north side of campus are underway.

11. **Commonwealth Cyber Initiative:** The Virginia Innovation Partnership Authority (VIPA) approves spending requests which are then allocated to Virginia Tech for procurement. To-date, $1.5 million has been allocated for renovations, space enhancements, and equipment; and these items are substantially complete. The maximum allocation amount for the program is $3.5 million.

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. Resources are available and sufficient to cover the accelerated cash flows, and the project remains within the authorized total budget.

14. **Improve Kentland Facilities:** The project is closed with a total cost of $12.442 million.

15. **Gas-Fired Boiler at the Central Steam Plant:** This project is closed with a total cost of $8.077 million.

16. **Chiller Plant Phase II:** This project is closed with a total cost of $42.406 million.

17. **Holden Hall Renovation:** This project is closed with a total cost of $71.769 million.

18. **Planning: Relocate Hampton Roads AREC:** The study is closed with a total cost of $365 thousand.

19. **Data and Decision Sciences Building:** The project is substantially complete and the total cost is expected to be $79 million. The project will be closed and financial accounts terminated when final invoices are received and paid. Resources are available and sufficient to cover the accelerated cash flows, and the project remains within the authorized total budget.

20. **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.
### AUXILIARY ENTERPRISE PROJECTS

#### Design Phase
- **Football Locker Room Renovations**
  - Initiated: Jun 2023
  - Annual Budget: $-
  - YTD Expenditures: $-
  - Total: $5,900

- **Planning: Student Life Village, Phase I**
  - Initiated: Jun 2023
  - Annual Budget: $-
  - YTD Expenditures: $-
  - Total: $19,500

#### Construction Phase
- **Maintenance Reserve**
  - On-going
  - Annual Budget: $9,200
  - YTD Expenditures: $12,970

- **New Upper Quad Residence Hall**
  - Initiated: Jun 2019
  - Annual Budget: $18,000
  - YTD Expenditures: $16,071

- **Student Wellness Improvements**
  - Initiated: Jun 2016
  - Annual Budget: $10,000
  - YTD Expenditures: $25,574

- **Slusher Hall Renovation**
  - Initiated: Mar 2023
  - Annual Budget: $2,470
  - YTD Expenditures: $7,500

#### Close-Out
- **Creativity & Innovation District LLC**
  - Initiated: Oct 2016
  - Annual Budget: $2,564
  - YTD Expenditures: $1,325

- **Dietrick Renovation**
  - Initiated: Sept 2017
  - Annual Budget: $5,000
  - YTD Expenditures: $9,129

#### TOTAL AUXILIARY ENTERPRISE PROJECTS
- **Annual Budget**: $44,764
- **YTD Expenditures**: $50,815
- **Total**: $112,523
- **Cumulative Budget**: $159,975
- **Cumulative Expenditures**: $272,499
- **Cumulative**: $178,184

### GRAND TOTAL
- **Annual Budget**: $282,863
- **YTD Expenditures**: $273,719
- **Total**: $804,800
- **Cumulative Budget**: $226,375
- **Cumulative Expenditures**: $437,889
- **Cumulative**: $1,469,063
- **Cumulative**: $713,349
**Auxiliary Enterprise Projects**

1. **Football Locker Room Renovation:** The project will renovate approximately 4,200 square feet within the Jamerson Athletic Facility to provide state-of-the-art hydrotherapy suite along with needed restroom and shower improvements in the player’s locker room. Working drawings are underway.

2. **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. Procurement of AE services is underway.

3. **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 2023. 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. The total budget was increased during the fourth quarter and did not exceed the total resources encumbered for the program.

4. **New Upper Quad Residence Hall:** The project constructs a 300-bed residence hall in the upper quad section of campus. Substantial completion and occupancy are expected August 2023.

5. **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 underway with substantial completion expected July 2024.

6. **Slusher Hall Renovations:** The project renovates 38,000 square feet of Slusher Hall. Construction underway with substantial completion and occupancy expected August 2024.

7. **Creativity & Innovation District Living Learning Community (LLC):** The project is closed with a total cost of $104.2 million.

8. **Dietrick Renovation:** This project is complete and the total cost is expected to be $9.129 million. The project will be closed and financial accounts terminated when final invoices are received and paid. Resources are available and sufficient to cover the accelerated cash flows, and the project remains within the authorized total budget.
RESOLUTION OF APPRECIATION HONORING SHELLEY BUTLER BARLOW

WHEREAS, Shelley Butler Barlow served as president of the board of the Virginia Department of Agriculture and Consumer Services from 2019 to 2023, and in that capacity served concurrently as an ex officio member of the Virginia Tech Board of Visitors. During her four-year tenure, she has served as a member of the Governance and Administration Committee and the Executive Committee. Additionally, she was both a member and the chair of the Buildings and Grounds Committee during the substantial renewal of agricultural facilities supporting the university’s foundational land-grant principles and as tangible commitments were made toward physical accessibility of the campus and; and

WHEREAS, Shelley received her bachelor’s degree in agriculture from the Virginia Tech College of Agriculture and Life Sciences in 1982 and is co-owner of Cotton Plains Farm in Suffolk, Virginia; and

WHEREAS, Shelley is a member of the Suffolk City Council and has served on the Farm Bureau’s AgPAC Board and Cotton Advisory Committee, the USDA Farm Service Agency, and the Virginia Agribusiness Council. She has also held various leadership roles including the Virginia representative on the National Cotton Board, county committee chair for the Suffolk USDA Farm Service Agency, and vice chair of the Virginia Cotton Board from 2011 to 2018: and

WHEREAS, voted the 2010 Farm Woman of the Year by the Virginia Farm Bureau, Shelley was also a member of the 2014-2016 class, and the 2016 fellow, of the Virginia Agriculture Leaders Obtain Results (VALOR) program, as well as a past participant of the Virginia Cooperative Extension Leadership Program; and

WHEREAS, additionally she volunteers her time within her local community at the Wesley Chapel UMC, the Possum Hollow Ruritan Club, and as garden coordinator for Healthy Suffolk, a local non-profit that supports community and school gardens; and

WHEREAS, the members of the board have thoroughly enjoyed getting to know Shelley and her husband, Joe, and have enjoyed their company at Board meetings, football games, and other university events.

NOW, THEREFORE BE IT RESOLVED that the members of the Board of Visitors of Virginia Polytechnic Institute and State University hereby extend their sincere appreciation to Shelley Butler Barlow for her outstanding loyalty and devoted service, and for her faithful dedication to the university and its missions.

RECOMMENDATION:

August 29, 2023
That the resolution recognizing Shelley Butler Barlow for her service as a member of the Board of Visitor’s be approved.
RESOLUTION OF APPRECIATION HONORING CHARLES “C.T.” HILL

WHEREAS, Charles “C.T.” Hill was appointed to the Board of Visitors in 2015 and reappointed in 2019. During his eight-year tenure on the board, C.T. was a member of the former Finance and Audit Committee, the Governance and Administration Committee, and the Executive Committee. From 2018 to 2021, he chaired the Buildings and Grounds Committee, working diligently to ensure that a strategic and intentional infrastructure investment model is central to discussions on institutional priorities and overseeing the board's approval of the 2020 Virginia Tech Climate Action Commitment; and

WHEREAS, he attended Virginia Tech and the University of Richmond before later graduating from the Stonier Graduate School of Banking at Rutgers, the National School of Real Estate at Ohio State, and the Executive Program at the University of Virginia’s Darden School of Business; and

WHEREAS, C. T. retired from a long and accomplished career in banking in 2012, having dedicated 42 years to SunTrust and its predecessors as chairman, president, and CEO of the Mid-Atlantic banking group, as well as head of the company’s retail line of business; and

WHEREAS, his commitment to Ut Prosim is apparent in his service to the boards for the Massey Cancer Center, the Richmond Performing Arts Center, and the Metropolitan Business Foundation. He chaired Venture Richmond and has been a member of the Virginia Bankers Association, the Forum Club, and the Virginia Foundation of Independent Colleges, and represented Virginia’s 7th District on the Board of Game and Inland Fisheries; and

WHEREAS, C.T. and his wife, Moira, are Orange & Maroon Benefactors of the Athletic Fund as well as Senior Benefactors of the Ut Prosim Society. They have provided support for the South End Zone and the West Side expansions of Lane Stadium, the Hahn-Hurst Basketball Practice Center, the Pete Dye River Course Clubhouse, and the Indoor Golf Facility, where there is a Golf Simulator named in their honor; and

WHEREAS, the members of the board have thoroughly enjoyed getting to know C.T. and Moira and have enjoyed their company at board meetings, football games, and other university events;

NOW, THEREFORE BE IT RESOLVED that the members of the Board of Visitors of Virginia Polytechnic Institute and State University hereby extend their sincere appreciation to Charles “C.T.” Hill for his outstanding loyalty and devoted service and for his faithful dedication to the university and its missions.

RECOMMENDATION:
That the resolution recognizing Charles “C.T.” Hill for his service as a member of the Board of Visitors be approved.

August 29, 2023
RESOLUTION OF APPRECIATION HONORING SHARON BRICKHOUSE MARTIN

WHEREAS, Sharon Brickhouse Martin was appointed to Virginia Tech’s Board of Visitors in 2019 and served in many roles during her four-year term. She was a member of the Academic, Research, and Student Affairs Committee, the Buildings and Grounds Committee, the Finance and Resource Management Committee, and the Executive Committee. She also served as member and chair of the Compliance, Audit, and Risk Committee, providing important guidance and oversight to the university’s Information Technology Transformation Initiative; and

WHEREAS, she graduated from Virginia Tech with a bachelor’s degree in industrial engineering and operations research in 1983 and later returned to earn her master’s in engineering administration in 1988; and

WHEREAS, in over 30 years as a senior consultant, Sharon held positions at Ernst & Whinney; Booz, Allen, and Hamilton; and Coopers & Lybrand before founding Brickhouse Martin Health Care Engineering in 1991, where she is acting president and provides management and IT services to the firm’s clients. Recently, she began a new adventure with VHC Health; and

WHEREAS, Sharon has a long history of community service. She is on the board of directors for Virginia Hospital Center in Arlington, on the advisory board of the Ron Brown Scholars Program in Charlottesville, and on the boards of directors for both the Health Services for Children Foundation and the Health Services for Children with Special Needs. Previously, she served as president and a member of the board of directors for the National Capital Chapter of the Institute of Industrial Engineers, and a member of the board of directors of the Comprehensive Health Investment Project of Virginia and the Advisory Council for the Medical Care for Children Partnership of Fairfax County; and

WHEREAS, in addition to her four years of service on the board, Sharon has also served her alma mater as a member of the advisory board of the College of Engineering and the industrial advisory board of the CEED program for the College of Engineering; and

WHEREAS, the members of the board have thoroughly enjoyed getting to know Sharon and her husband, Rick, and have enjoyed their company at board meetings, football games, and other university events;

NOW, THEREFORE BE IT RESOLVED that the members of the Board of Visitors of Virginia Polytechnic Institute and State University hereby extend their sincere appreciation to Sharon Brickhouse Martin for her outstanding loyalty and devoted service, and for her faithful dedication to the university and its missions.

RECOMMENDATION:
That the resolution recognizing Sharon Brickhouse Martin for her service as a member of the Board of Visitors be approved.

August 29, 2023
RESOLUTION OF APPRECIATION HONORING MELISSA BYRNE NELSON

WHEREAS, Melissa Byrne Nelson was appointed to the Virginia Tech Board of Visitors by Governor Northam in 2019 and during her four-year term served as a member of the Finance and Resource Management Committee and the Executive Committee and as a member and chair of the Academic, Research, and Student Affairs Committee, on which her expertise in developmental and behavioral health was invaluable in the midst of the current nationwide mental health crisis on college campuses. In addition, her knowledge of business and medicine was beneficial to Virginia Tech’s many health sciences and technology initiatives, particularly the Virginia Tech Carilion School of Medicine and the university’s partnership with Children’s National Hospital; and

WHEREAS, Dr. Nelson earned a B.S. degree in finance from Virginia Tech in 1992 before going on to earn her M.D. from the Medical College of Virginia at VCU and complete her pediatric residency at the Cornell University Medical Center. She also received training in developmental and behavioral pediatrics at Albert Einstein University; and

WHEREAS, Melissa has a long history of leadership at her educational institutions. She was the president of the VT class of ’92, a former president of the Student Government Association and member of the alumni board both here at Virginia Tech and at VCU, and a former student member of the Board of Visitors at VCU; and

WHEREAS, prior to her new venture with Summit Emotional Health and recent appointment to the Virginia State Board of Health, Melissa was a practicing partner of pediatric medicine with the Pediatric Associates of Richmond since 2004. She was named “Top Doc” by Richmond Magazine on several occasions. She is also a former board member of PACKids, where she advocated for the creation of a free-standing children’s hospital in Richmond, earning her the title of Outstanding Woman for Health and Science in 2015 from the Richmond YWCA, and a 2015 Person of the Year honoree from the Richmond Times Dispatch. She also served on the board for Child Savers, as an advisor to the Faison Center for Autism, and on the Governor’s Department of Health PANDAS/PANS Advisory Council; and

WHEREAS, a true Hokie, Melissa is passionate about Hokie football, basketball, and all other sports, and the members of the board have thoroughly enjoyed getting to know Melissa and her husband, Kinloch, and have enjoyed their company at board meetings, football games, and other university events.

NOW, THEREFORE BE IT RESOLVED that the members of the Board of Visitors of Virginia Polytechnic Institute and State University hereby extend their sincere appreciation to Melissa Byrne Nelson for her outstanding loyalty and devoted service, and for her faithful dedication to the university and its missions.

RECOMMENDATION:
That the resolution recognizing Melissa Byrne Nelson for her service as a member of the Board of Visitors be approved.

August 29, 2023
Rector Baine, members of the Board of Visitors, President Sands, Provost Clarke, administrators, and guests. Thank you for this opportunity to speak with you all about the graduate and professional students today.

Thank you for the incredible opportunity to serve in this role. I am eager to get started and to collaborate closely with you throughout my term. My name is Emily Tirrell, and I am the Graduate and Professional Student Representative for the 2023-2024 year! I am a second year Ph.D. student in the Translational Biology, Medicine, and Health program and conduct research in the Robotics and Sensorimotor Control Lab in the Biomedical Engineering and Mechanics Department. I have been fortunate to be a student at Virginia Tech twice, and completed my undergraduate degrees in Biological Science and in Clinical Neuroscience. During my first few months as the Graduate and Professional Student Representative, I have connected with student leaders throughout the Virginia Tech community and connected with the deans of the graduate school, the medical and veterinary schools, and the different state - wide campus associate deans and representatives.

During my term I will give a voice to the graduate and professional student perspective, and impact how the board and university might improve our experiences here at Virginia Tech. First, I would like to share the complexities behind what a graduate and professional student really is. Our location for this board meeting provides an excellent opportunity for me to stress the importance of our graduate and professional students, the direct impact that we have, and the value we bring to our community and to the Virginia Tech brand. The Virginia Tech Carilion School of Medicine (VTCSOM) and Fralin Biomedical Research Institute (FBRI) combine in one of three thematic institutes associated with Virginia Tech, the others are the Virginia Tech Transportation Institute (VTTI) and the Virginia Tech National Security Institute (VTNSI). The Fralin Biomedical Research Institute (FBRI) and Virginia Tech Carilion School of Medicine (VTCSOM) alone house approximately 2% of graduate and professional students (approximately 145 students) and in FY22, brought in approximately 48% of Virginia Tech's research enterprise grants and contracts (approximately 173 million dollars according to the FY22 Financial Report). These research institutes not only provide space for faculty and students to develop...
formative research questions and answers, but space for Virginia Tech to grow into the surrounding commonwealth environment. I want to emphasize the importance of the institutes for Virginia Tech's strategic plan to achieve excellence as a comprehensive global land - grant university, and to specifically draw attention to the important role that graduate and professional students have in achieving that commitment.

So what is a graduate and professional student? We are first and foremost individuals and students of the university. We are also an extraordinary tool, resource, and contributor that the university has to promote its strategic plans and grow its research enterprise success. Our thematic institutes, departments, and research labs would not function or be productive without the work of graduate and professional students. In terms of rankings, when compared to our peer Land Grant Institutions, Virginia Tech ranked 16/112 overall in Fall of 2022, and recently gained recognition with a CASE 50 membership, acknowledging our value, quality, and fundraising excellence. These are both prodigious achievements, however, in Fall of 2022, Virginia Tech placed in the 251-300 range for the global ranking based on research excellence on a global scale. I segway into this comparison for one main reason: With the commitment to achieving excellence as a comprehensive global land - grant university, it is imperative that we attract and retain highly skilled graduate and professional students to increase our research enterprise success. Graduate and professional students will push Virginia Tech into achieving these goals and continue to raise our ranking. Two main topics impact graduate and professional student attraction and retention and I would like to focus on these throughout my term: student financial wellness and overall student engagement and wellbeing.

I am pleased to report that there have been great strides at the various campuses to improve student financial wellness. The DC Area Campus is installing a new metro pass initiative, partnering with the Washington Metropolitan Area Transit Authority, to introduce the U-Pass to our graduate students. This pass allows full-time students unlimited Metrobus and Metrorail access to travel for about $1 per student per day. This helps alleviate pressures to live close to campus, and encourages students to live in more affordable areas while still having direct access to campus. The Roanoke Area Campus has initiated a new "StarCard" reward program for students to get discounts at local restaurants and local establishments to offset some of the cost of living expenses. The Town of Blacksburg has provided free public transportation with the Blacksburg Transit Bus System. However, students are still struggling financially. To combat this and provide some financial relief, I am working with the Dean of the Graduate School and the Dean of
Students to find additional sources of funding, using the student emergency fund, to help provide additional support to our students. I ask that the board continue to discuss the financial wellbeing of graduate and professional students, and support these initiatives.

There have also been great strides at the various campuses to improve engagement with campus resources and overall student wellbeing. “TimelyCare”, a virtual health and well-being platform available to all Virginia Tech students, has been utilized at all of our campuses. “TimelyCare” offers flexibility for students to be seen at off-hours and reduces barriers to accessing mental health care. With 4.69% of our graduate and professional students (approximately 333 students) utilizing this resource, “TimelyCare” has been an incredible success. However, students still report a great disconnect between campus resource availability and need, and previous campus polling shows that upwards of 21% of graduate and professional students (approximately 1,491 students) need additional access to campus resources. I am working with the Vice President of Student Affairs, Cook Counseling, and Hokie Wellness to promote campus resources to all students and to increase resource availability to combat accessibility difficulties that our students are facing. I ask that the board continue to discuss the engagement and overall wellbeing of graduate and professional students, and support these initiatives.

Overall, I am working with student leaders, the graduate school, the medical and veterinary schools, and campus partners to provide support to our graduate and professional students, to increase retention and to attract talent to the university. I ask that the board consider student financial wellness and student wellbeing and engagement when discussing future university initiatives, and to consider the impact that graduate and professional students have on the Virginia Tech enterprise as a whole.

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. I look forward to sharing my ongoing progress in this role and collaborating with you all to make this an amazing year serving Virginia Tech! Go Hokies!
Rector Baine, members of the Board of Visitors, President Sands, administrators and guests. Thank you for the opportunity to speak to you today about staff at Virginia Tech.

It is one of the best times of the year for Hokies everywhere with the start of the fall semester and the season opener of Virginia Tech football just a week away. It is a time of excitement, hope and new beginnings; for Staff Senate it comes with a renewed commitment to be strong advocates for all staff at Virginia Tech.

The senate met with President Sands this past June in a hybrid format for the first time since 2019. We had a very productive meeting which shed light on many issues we face and brought forth a suggestion from Dr. Sands that he meets more than once a year with the Staff Senate and we, in turn, send a quarterly report to him on our activities. Staff Senate appreciates Dr. Sands continued interest in and support of staff activities.

One goal for this year’s Senate is to increase the participation of staff in governance and professional development opportunities. Many staff have shared they do not have the support of their immediate supervisor to attend governance meetings and participate in professional development opportunities. The Staff Senate Executive Team is planning a road show to visit colleges and departments either in person, virtually or hybrid as a way of increasing communication with all staff and ensuring awareness of the many opportunities offered. The President’s Office and the Department Human Resources are partnering with us in this effort by sharing messaging with Administration. This messaging will also be highlighted on the staff senate website to increase visibility and to reach all staff members.

A second goal is to thoroughly study leave discrepancies and compensation issues that staff face, with increasing the $500 per year supplement and increasing the threshold a priority. This will be done by working closely with our Human Resources colleagues, who have been receptive and collaborative with us as we dig in on this work.

Thirdly, we will focus on education; it is the reason we are all here. The Staff Senate will welcome members from strategic affairs who reached out to us to discuss the Beyond Boundaries Vision and we appreciate that they are including us in this important work. Dr. Sands spoke to staff about the Virginia Tech Advantage Initiative which should have such an important impact on the commonwealth. Staff Senate would also like to see investment and thought given to increasing the faculty/staff dependent scholarship fund so that it might be more impactful to the dependents of Virginia Tech employees.
In closing on behalf of the Staff Senate Executive Committee, Staff Senate and all staff at Virginia Tech, I thank you again for this opportunity to not only speak to you today, but for our inclusion in Governance at Virginia Tech. I look forward to collaborating with you, sharing successes and providing ongoing support to this wonderful university.

Respectfully submitted,

LaTawnya L. Burleson

President, Staff Senate
MOTION TO BEGIN CLOSED MEETING

August 29, 2023

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. 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.
Election of Vice Rector
for
2023-24
# Open Session Agenda

**ACADEMIC, RESEARCH AND STUDENT AFFAIRS COMMITTEE**  
Fralin Biomedical Research Institute, 102 A/B Roanoke VA  
Monday, August 28, 2023  
3:30 – 5:00 p.m.

<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Reporting Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Welcome</td>
<td>C. Chenery</td>
</tr>
<tr>
<td>2. Review and Approve Open Session Agenda</td>
<td>C. Chenery</td>
</tr>
<tr>
<td>3. Consent Agenda</td>
<td>C. Chenery</td>
</tr>
<tr>
<td>A. Approval of June 5, 2023 Meeting Minutes</td>
<td></td>
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<tr>
<td>B. Report of Reappointments to Endowed Chairs, Professorships, and Fellowships</td>
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<tr>
<td>*C. Resolution to Ratify 2023-2024 Faculty Handbook</td>
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<tr>
<td>*D. Resolution for Exclusion of Certain Officers/Directors</td>
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<tr>
<td>4. Provost’s Update</td>
<td>C. Clarke</td>
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<tr>
<td>5. Top-100 Global University: Virginia Tech’s Cancer Research Initiatives</td>
<td>C. Clarke, D. Sui, M. Friedlander</td>
</tr>
<tr>
<td>6. Agenda Items for Future Committee Meetings</td>
<td>C. Chenery</td>
</tr>
<tr>
<td>7. Adjourn</td>
<td>C. Chenery</td>
</tr>
</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 June 5, 2023 Meeting Minutes

B. Report of Reappointments to Endowed Chairs, Professorships, and Fellowships

*C. Ratification of 2023-2024 Faculty Handbook

*D. Resolution for Exclusion of Certain Officers/Directors
Committee Minutes
ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE
June 5, 2023

Committee Members Present: Melissa Nelson (chair), Sandy Davis, and Carrie Chenery. Additional board members present: Ed Baine, Shelley Butler Barlow, Dave Calhoun, Greta Harris, CT Hill, Brad Hobbs, Anna James, Sharon Brickhouse Martin, Jeff Veatch.

Constituent Representatives Present: Anna Buhle (graduate and professional student representative), Holli Drewry (A/P faculty representative), Jamal Ross (undergraduate student representative), Robert Weiss (faculty representative), and Serena Young (staff representative).

Guests: Janice Austin, Mac Babb, Callan Bartel, Lynsay Belshe, Rosemary Blieszner, Bob Broyden, Brock Burroughs, Cyril Clarke, Al Cooper, Corey Earles, Jeff Earley, Alisha Ebert, Matt Ebert, Ron Fricker, Mike Friedlander, Rachel Gabriele, Bryan Garey, Luisa Havens Gerardo, Ellington Graves, Debbie Greer, Suzanne Griffin, Joe Griffits, Kristina Hartman, Kay Heidbreder, Jim Hillman, Tim Hodge, Rachel Holloway, Matt Holm, Elizabeth Hooper, Cailynn Jeffery, Anri Karanovich, Frances Keene, Chris Kiwus, Lee Learman, Justin Lemkul, Rachel Maizel, Rob Mann, O’Brian Martin, Hud McClanahan, Nancy Meacham, Scott Midkiff, Ken Miller, April Myers, Justin Noble, Kim O'Rourke, Stephanie Overton, James Penven, Kevin Pitts, Ellen Plummer, Katie Polidoro, Menah Pratt, Zo Qazi, Julie Ross, Temperance Rowell, Brennan Shepard, Oliver Shuey, Mark Sikes, Rick Sparks, Aimee Surprenant, John Talerico, John Tarter, Dwyn Taylor, G. Don Taylor, Judy Taylor, Jon Clark Teglas, Emily Tirrell, Rob Viers, Tracy Vosburgh, Jack Waldon, Michael Walsh, Nick Whitesell, Paul Winistorfer, Chris Yianilos.

OPEN SESSION

1. Welcome. M. Nelson, chair of the committee, welcomed attendees to the meeting.

2. Review and Approval of Open Session Agenda.

3. Consent Agenda Items. Approval of March 20, 2023 Meeting Minutes; Report of Reappointments to Endowed Chairs, Professorships, and Fellowships; Report of the 2023-24 Faculty Compensation Plan; Approval of Resolution Delegating Authority for Pratt Funds; Approval of Resolution to Revise Language in Faculty Handbook Regarding Emeritus or Emerita Designation; Approval of Resolution to Update Wording in Chapter Seven of the Faculty Handbook on the Administrative/Professional Faculty Grievance Processes; Approval of Resolution to Create Department of Neurosurgery at VTC School of Medicine; Resolution to Establish a Master of Professional Studies in Climate Leadership in the College of Natural Resources and Environment; Resolution to Approve Revisions and Updates to the 2023 – 2024 Virginia Tech Student Code of Conduct; Resolution to Allow Administrative Resolution of First Time Honor Code Cases;
Resolution Mandating that First-Year Students Receive and Complete Human Trafficking Training.

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. The Virginia Tech Carilion School of Medicine (VTCSOM), established over 10 years ago in partnership with Carilion Clinic, has excelled in medical education. Markers of distinction include a student-centered, problem-based learning environment, inter-professional education, and research through the curriculum. The VTCSOM is selective. One out of 100 applicants is offered admission and, upon completion, VTCSOM graduates nearly always secure their first-choice residency. The future of the VTCSOM includes growing the faculty, expanding the school's research program, and, in alignment with Carilion Clinic, developing the Health System Implementation Sciences (HSIS) program. Additionally, the goal is to expand admissions to improve the school's financial portfolio and to help meet the need for physicians in the Commonwealth. To help facilitate these goals, the university is working to secure a planning authorization for the construction of a building, and operational support to provide a discounted in-state tuition rate for Virginia students.

The committee received an update on efforts aimed at addressing financial support for graduate students. Graduate Teaching Assistants (GRAs) and Graduate Research Assistants (GRAs) are the most common types of assistantships at the university. An assistantship and tuition waiver facilitate financial support and may be used with other sources as necessary. Independent of their academic efforts, graduate students work part-time for 20 hours per week. Graduate education is a critical element of Virginia Tech's mission and attracting talented graduate students depends on a variety of factors, including institutional reputation, faculty expertise, and financial support. To this end, the university continues to be engaged in several planning initiatives. In 2019, a task force reviewed graduate education university-wide and, in 2020, submitted a report with 14 recommendations that included several to address financial support. One recommendation was to reduce tuition for graduate students who are nearing completion of their degree, are conducting dissertation research, and have achieved candidacy status. In the fall of 2021, a discounted tuition rate was offered to students with candidacy status and the goal is to expand this initiative. In the spring of 2022, a task force was charged to develop recommendations specifically addressing financial support for graduate students. The report of the task force was submitted in the spring of 2023 with eight recommendations. Four recommendations are highlighted here: raise the minimum assistantship to $2,400 per month; cover or waive the comprehensive fee; provide financial support during the summer months; and increase external funding support. Recommendations are under review. Covering or waiving the comprehensive fee for graduate students is not feasible. Waiving this fee would result in undergraduate students funding services provided to graduate students. Pending the approval of the fiscal year 2024 budget, and the availability of resources, the goal is to raise the minimum amount of graduate assistantships. The university continues to advance its commitments to graduate education evidenced by successive 5% stipend increases over the past few
years, raising the amount of the minimum stipend (pending budget approval), and supporting faculty efforts to expand summer and extra-mural funding.

Provost Clarke announced three appointments to senior leadership positions. Saonee Sarker is the incoming dean of the Pamplin College of Business. Lu Liu is the incoming dean of the College of Architecture and Design, and Frances Keene is Vice President for Student Affairs. Provost Clarke thanked Robin Russell for her service as interim dean of the Pamplin College of Business, and Rosemary Blieszner for her service as interim dean of the College of Architecture, Arts, and Design.

Provost Clarke updated the committee on enrollments. Since 2019, undergraduate enrollment holds close to 30,000 students and additional enrollment depends on expanding on-campus residential housing and student support services. Undergraduate acceptances for fall 2023 are close to target and will be monitored over the summer. Graduate student enrollment is anticipated to increase modestly. Final enrollment (census) will be captured in September.

Provost Clarke highlighted Professor Bob Bodnar and Professor Shuhai Xiao for being inducted into the National Academy of Sciences. Both professors hold appointments in the Department of Geosciences in the College of Science.

Provost Clarke expressed his appreciation for the two years of service Melissa Nelson provided as chair of the Academic, Research, and Student Affairs committee.

5. Living-Learning Communities. F. Keene, vice president for student affairs offered the committee an overview of the university's undergraduate living and learning communities which include three residential honors colleges and 18 living-learning communities. In the fall of 2022, 5,122 students resided in living and learning programs. Regular assessment of the programs and of student experiences guide adjustments and improvements. Living-learning communities support student academic success, health, and well-being. The focus of current efforts is to provide specific support to transfer students. The university aims to design and implement new communities each year as interest and budget allow. Joining the discussion were T. Rowell, director of the Orion living-learning community affiliated with the College of Science, O. Martin, junior undergraduate and resident in the Innovate living-learning community, and C. Jeffery, recent graduate and resident of Studio 72 living-learning community.

6. Agenda Items for Committee Meeting. Committee members are encouraged to contact the chair with any items of interest for future agendas.

8. 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 Engineering (2)

Stefan Duma  
Harry C. Wyatt Professorship

John Little  
Charles E. Via, Jr. Professorship in Civil and Environmental Engineering
RESOLUTION TO RATIFY THE 2023 - 2024 FACULTY HANDBOOK

Documents included:

- Resolution to ratify the 2023 - 2024 Faculty Handbook
- Summary Table of Edits
- Detail of Edits for each chapter
- All handbook chapters including edits (additions and deletions including strikethrough)
RESOLUTION TO RATIFY THE 2023 – 2024 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 2023- 2024 Faculty Handbook that incorporates the revisions summarized in the attached table.

RECOMMENDATION:

That the Resolution to Ratify the 2023 – 2024 Faculty Handbook be approved.

August 29, 2023
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### INSTRUCTION-RELATED POLICIES

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RESEARCH, CREATIVE AND SCHOLARLY ACTIVITIES

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Added OSP procedure 20002, Proposal Submission link for clarifying information.

## 10.4 Laboratory Services and Facilities

## 10.5 Research Involving Human Subjects, Animal Subjects, and Biohazardous Agents

### 10.5.1 Research with Human Subjects

Added clarifying language for approved nonexempt protocol changes.

Office for Innovation and Research

### 10.5.2 Teaching and Research with Animals

Added clarifying language for approved nonexempt protocol changes.

Office for Innovation and Research

#### 10.5.2.1 Animal Resources and Care Division (ARCD)

## 10.6 Classified and Controlled Unclassified Research

## 10.7 Financial Conflicts of Interest Related to Sponsored Research

Added clarifying language to include training requirement.

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This document is subject to change. Please refer to the provost’s website for the most recent Faculty Handbook information.

University policies are available online, as are many important procedures maintained by the Procurement Department, Human Resources, and the Controller’s Office websites are updated as policies and procedures change. Please refer to them for issues not addressed in the Faculty Handbook.

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 veteran 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.

Faculty have the responsibility to be fully acquainted with and to comply with this handbook and the relevant policies of Virginia Tech.
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
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 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

- Graduate and Professional Student Senate
  - Commission on Graduate and Professional Student Affairs

- Staff Senate
  - Commission on Staff Policies and Affairs

- Undergraduate Student Senate
  - Commission on Undergraduate Student Affairs

**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
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 initiates 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 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
- 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.
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 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 outside the classified and university staff personnel system who are appointed to carry out the learning, discovery, and engagement programs of the university; carry out 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.

Tenure-track, tenured, instructional faculty not on the tenure-track, 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 relatively small instructional component, and non-tenure-track instructional faculty may have a relatively small to no research component.

- College Faculty: tenure-track and tenured faculty, and instructional faculty not on the tenure-track
- University Libraries 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>
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</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 polices in chapter seven.

<table>
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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>
</tr>
<tr>
<td></td>
<td>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.</td>
</tr>
<tr>
<td>4-H Center Program Director</td>
<td>associate 4-H center program director, program director, senior program director</td>
</tr>
<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.

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>
<thead>
<tr>
<th>Track</th>
<th>Ranks</th>
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<tbody>
<tr>
<td>Research Professor</td>
<td>research assistant professor, research associate professor, research professor</td>
</tr>
<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>
</tr>
<tr>
<td>Postdoctoral Associate</td>
<td>postdoctoral associate</td>
</tr>
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</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 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
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.

See chapter 12 in this handbook, “Employment Policies for VTCSOM Faculty.”

2.4 Faculty Search Processes

Faculty recruitment and search processes are available on the [Human Resources website](#). 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 have the opportunity to 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.

The terms of faculty offer templates for each type of faculty appointment can be accessed by authorized users of the university’s recruitment and onboarding system. The terms of faculty offer is intended to document the tenure or continued appointment status (tenured, tenure-track, non-tenure-track, continued appointment, or continued appointment-track), appointment status (regular or restricted, effective date and, if restricted, an end date), the appointment period (academic or calendar year) and length of the appointment, assigned faculty rank, 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). All terms of faculty offer shall refer to further 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 website. 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 website.

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 special additional compensation earned through all university programs in the summer sources by any faculty member on academic year appointment 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 also receive special 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 of special additional compensation earned through all university programs in the summer by any faculty member on an academic year appointment shall not exceed 33⅓ 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) appointments may be invited by the department head, chair, school director, or supervisor to teach one or more courses in summer session for special compensation.

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.

Faculty members on academic year appointments may also receive special compensation for engaging in approved sponsored research, Extension activities, or non-credit instructional activity conducted by Continuing and Professional Education. The total of special compensation earned through all university programs in the summer by any faculty member on academic year appointment shall not exceed 33⅓ percent of the annual salary for the preceding academic year.

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, as it is not considered part of the usual expectations for the instructional year. 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 percent 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 percent 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.

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

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.

2.8 Conviction and Driving Record Investigation for Employment

The university conducts a conviction and/or driving record investigation once a contingent offer is made to 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 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, 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 33⅓ percent 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 33⅓ 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 33⅓ 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 on the basis of 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>First year of employment (One-year term appointment)</th>
<th>February 9 of academic year or three months before end of employment year.</th>
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<tbody>
<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

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<tr>
<td>Less than two years</td>
<td>At least three months before the end of the current contract for those who have been in a regular appointment for less than two years.</td>
</tr>
<tr>
<td>Up to five years</td>
<td>At least one semester before the end of the current contract for those on an academic year (AY) appointment; or six months for those on a calendar year (CY) appointment; for those who have been in a regular appointment for two years up to five years.</td>
</tr>
<tr>
<td>Five years or more</td>
<td>At least one year before the end of the current contract for those on regular appointment for five years or more (May 9 for academic year (AY) appointment).</td>
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2.16.3.4 Non-Reappointment for Research Faculty on Regular Appointment

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<tr>
<td>Less than two years</td>
<td>At least three months for those in regular appointments for less than two years.</td>
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<tr>
<td>Two years or more</td>
<td>At least six months for those in regular appointments for two years or more.</td>
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<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

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<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>
</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 purpose of 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 purposes 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 as a whole. 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 the purpose of developing the 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. In particular, notice of termination longer than the minimum specified above may be given to particular 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 manner in which 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. Not all employees
who are eligible will be selected to participate if more apply than are needed to address the reductions or if an individual 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 of 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 makes a contribution 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 a larger and institution-wide commitment to a safe and secure campus, the university established offices specifically charged with security and safety responsibilities, created a committee structure, the University Safety and Security Policy Committee, to provide general oversight and leadership for the university’s security, safety, and violence prevention efforts, 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. Faculty Senate Committee on Ethics

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. Faculty Senate Committee on Reconciliation.

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. Faculty Senate Review Committee

2.22 Consulting Activities
Consult the Conflict of Interest 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 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 are 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 33⅓ 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 33⅓ percent for academic year faculty members. Faculty members on calendar year appointments may earn 33⅓ 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, provided that participation in those activities is in compliance 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 of 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 weighted 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 (https://law.lis.virginia.gov/vacode/title2.2/chapter31/ (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 (https://law.lis.virginia.gov/vacode/title2.2/chapter31/ (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 joint 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 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.
CHAPTER THREE
TENURE-TRACK AND TENURED FACULTY

3.0 Employment Policies for Tenure-Track and Tenured Faculty

3.1 Faculty Ranks

3.1.1 Assistant Professor
An assistant professor 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 that may be renewable.

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 and also as a group, to share their scholarship with university alumni or other interested groups, as well as to render special service or to offer particular 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 particular 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 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. 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 collegiate 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 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.

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.

### 3.2.4 Emeritus or Emerita Designation

The title of emeritus or emerita is conferred on retired Virginia Tech full professors, associate professors, administrative officers, Extension or libraries faculty members with continued appointment, and senior Extension agents, as defined in Faculty Handbook, Chapter Two, sections 2.2 through 2.7 with continued appointment, and senior Extension agents who have made given exemplary service contributions to the university and who the president specifically recommends to the Board of Visitors for approval are recommended to the Board of Visitors for approval by the provost and president. For additional information and nomination procedures see the provost’s website. Their names are listed on the appropriate university website(s). Policy 4405 “Emeritus/Emerita Faculty” provides further guidance to department heads, chairs, and school directors, retiring faculty members concerning emeritus or emerita status and continued involvement in the life of the university.

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.

3.3 Appointments with Tenure

A 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 of time, 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 are able to 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

Promotion in rank and the granting of tenure are based on a faculty member’s contributions 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. It should be understood that departmental expectations, guidelines, and procedures are also the same for schools.

Faculty members being considered for either promotion or the awarding of tenure have their dossiers reviewed at as many as three levels: by a (1) departmental/school committee and the
head, chair, or school director; by a (2) college committee and the dean; and by (3) a university committee and the provost.

Occasionally faculty members are evaluated for a tenured appointment during the probationary period but before the final probationary 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.

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. As such, the content of conversations and the results of any votes may be discussed only with individuals who have a current role in the promotion and tenure process, such as committee members or administrators. However, faculty 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 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 will maintain promotion and/or tenure guidelines in a document that follows 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, and will be made available online. Revisions to these guidelines must also be approved by the faculty, the college, and the provost’s office.

3.4.1 Tenure Eligibility

Tenure is an institution developed for the protection of the academic freedom of the teaching faculty in institutions of higher education. Eligibility for tenure consideration is limited to faculty members holding regular faculty appointments of 50 percent to 100 percent in academic departments. Tenure is not granted to faculty members with temporary appointments or to administrative and professional faculty. Individuals holding tenure in academic departments who are appointed to administrative positions, however, continue to hold tenure in those departments.

Full-time administrators who also hold appointments in academic departments and engage in teaching and research may be recommended for tenure in such departments.
3.4.2. Pre-Tenure Probationary Period and Reviews of Progress Toward Promotion and/or Tenure

Pre-tenure probationary period. The term “probationary period” (“pre-tenure”) is applied to the succession of regular, full, or part-time term appointments during which evaluation for reappointment and an eventual tenured appointment takes place. The probationary period is typically six years unless an approved extension is granted. The beginning of the probationary period for faculty members on term appointments is 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.)

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.

The maximum total period for full-time probationary appointments is normally six years, unless approved tenure clock extensions are granted. Decision about tenure, if not made earlier, is made in the final year of the probationary appointment. If the tenure decision made in the final year is negative, a one-year terminal appointment is offered.

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.”

A faculty member on a probationary appointment who wishes to request a leave of absence should consult with their department head or chair 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.

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 award of tenure.)

In determining the final tenure 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 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.

Pre-tenure probation period reviews: 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 offer (TOFO) identify 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 scholarship or creative activity. It is strongly suggested that promotion and tenure committees and pre-tenure faculty use the 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 or chair meet with the faculty member to discuss the review and recommendations. Faculty members are also encouraged to seek guidance and mentoring from senior colleagues and the department head or chair. Pre-tenure faculty members bear responsibility for understanding and meeting departmental expectations for promotion and/or tenure.

The initial review for a part-time faculty member 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 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.

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. The extent of this review is determined by each department or school.

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 to discuss the review and recommendations. Faculty members are also encouraged to seek guidance and mentoring from senior colleagues and the department head or chair.

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. However, 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. The extent of this review is determined by each department or school.

Under usual circumstances, departmental/school promotion and tenure committees review the professional progress and performance of pre-tenure 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/school 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 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 reappointment reviews and for the mandatory review for tenure should be documented in writing as part of the agreement for the part-time appointment. Any changes to the agreement should be agreed upon and documented by the faculty member and department.

Reviews are substantive and thorough. At a minimum, departmental/school promotion and tenure committees must review the faculty member's relevant annual activity reports, peer evaluations of teaching, and authored materials. It is strongly suggested that promotion and tenure committees and pre-tenure faculty use the promotion and tenure dossier format available on the provost's website in organizing and presenting information for review.

The pre-tenure reviews should analyze the faculty member's progress toward promotion and 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 departmental/school file. In addition, the promotion and tenure committee and the department
head, chair, and school directors 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 and the department head, chair, and school director or chair. Pre-tenure faculty members bear responsibility for understanding departmental/school expectations for promotion and tenure and for meeting those expectations.

The initial appointment for assistant professors, and for associate professors and professors employed without tenure, is ordinarily for a period of not less than two years. Multiple-year reappointment may be subsequently recommended.

The maximum total period for full-time probationary appointments is six years, unless an approved extension is granted. Decision about tenure, if not made earlier, is made in the final year of the probationary appointment. If the tenure decision made in the final year is negative, a one-year terminal appointment is offered.

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 award of tenure.)

In determining the mandatory tenure 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 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 .5 is rounded down, and a fraction greater than .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 denied tenure following a mandatory 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, “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 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 three, “Guidelines for the Calculation of Prior Service.”

A faculty member on probationary appointment who wishes to request a leave of absence consults with the 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 and the provost’s approval of the leave request specifies whether the leave is to be included in the probationary period.
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 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 three, "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 (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.

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 tenure status. Excepting temporary appointments with limited terms, the faculty appointees are given clear notice of the length of the term of their initial appointment, and the 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.

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, the faculty member provides documentation for 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, chair, or school director and the dean.

3.4.4 General Expectations for Promotion and Tenure
Promotion to a higher rank and appointment with tenure may be awarded 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 should maintain a current curriculum vitae, with copies filed in the department and college (or equivalent academic units, as appropriate). The curriculum vitae together with annual faculty activity reports, student evaluations, reprints of publications, reference letters, and other similar documents comprise a dossier that furnishes the principal basis for promotion and tenure decisions.

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.

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 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 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.

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.

Faculty members being considered for either promotion or the awarding of tenure have their dossiers reviewed at as many as three levels: by a departmental/school committee and the head or chair; by a college committee and the dean; and by a university committee and the provost.

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 committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Each candidate for tenure and/or promotion to associate professor is evaluated in the light of the triple mission of the university: learning, discovery, and engagement. Although not all candidates are 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 require evidence of excellence in at least one area.

The award of tenure is based on the achievement of distinction in an area of learning and the prediction of eminence throughout the individual’s professional career. The documentation and evaluation should recognize some significant impact of the candidate’s contributions beyond the borders of the university. If the primary strength is in instruction, there should be recognition that the candidate’s pedagogical contributions have influence beyond the immediate classroom; if in research, that there is significant impression on colleagues nationally; if in outreach that the influence of the contributions reaches beyond the immediate clientele.
Each candidate for the rank of professor must demonstrate a high level of competence in an appropriate combination of instruction, outreach, and professional activities relevant to the 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.

The university recognizes and encourages appropriate international involvement of its faculty as a mission of the university that cuts across the three traditional missions of learning, discovery, and engagement. Occasionally faculty members are placed on international assignments at full salary away from the university’s domestic locations. Under such circumstances, faculty members should be given the usual consideration for tenure, promotion, and salary advancement.

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.

In cases of tenure recommendation—in addition to evaluation of the candidate’s professional abilities—consideration should be given, at all stages of evaluation and review, to future departmental/school program directions and concern for maintaining currency and flexibility by preserving opportunities to appoint new faculty members in the various sub-fields of the department.

Levels of expectation vary, of course, with the level of the decision. Where probationary reappointments recognize, in part, perceived potential instead of accomplishment, recommendations for tenure should suggest that the potential is being achieved and should imply few, if any, lingering doubts about the value of the candidate to the department’s program for a “lifetime.” And promotion to professor, which leaves limited opportunity for further university recognition of professional development, should be reserved for those whose achievements are broad and noteworthy.

Besides consideration of specific professional criteria, evaluation for promotion or tenure 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.

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. The committee makes a recommendation on each candidate to the department head, chair, or school director, 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 college-level committee and administrator, but must otherwise remain confidential outside the committee. In the absence of a unanimous recommendation, a minority report may be included.
Whenever the department head, chair, or school director does not concur with the committee's recommendation, the committee is so notified.

**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 in order to achieve adequate representation and effectiveness of committee operations.

**Department Committee Evaluation of Candidate:** The committee chair or department head 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 mandatory tenure decision in the final year of probationary service, the head, chair, or school director passes on the dossier of every candidate to the dean, even when both the head, chair, school director and the committee have made negative recommendations, which includes the committee’s evaluation and recommendation and the head, chair, or school director’s own recommendation, whether concurring or not. If not concurring, the head, chair, or school director includes a letter specifying the reasons. If concurring, the head, chair, or school director may submit a letter that combines the committee’s and the head, chair, or school director’s evaluation and recommendation. Should the committee and the head, chair, or school director agree on a negative recommendation, the dean may declare that to be the final decision or may choose to have the recommendation reviewed by the college committee.

In all other cases, (promotion or tenure before the final year of probationary service), 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 head, chair, or school director informs the faculty member of a negative decision if no further review is scheduled. In that case, the faculty member is notified, in writing, of appeal options.

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 tenure, 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.

In sending dossiers to the college level, the head, chair, or school director may hold back supplementary materials not deemed central to the review but indicates their nature and their availability. Accompanying the set of dossiers is a statement from the head, chair, or school director describing the formation and procedures of the departmental/school committee and summarizing the number of candidates considered in each category (mandatory tenure, pre-final-year tenure, promotion at each rank).

On recommendation of the Commission on Faculty Affairs, University Council approved guidelines for the careful consideration by colleges and departments in the composition and method of selection of departmental/school promotion and tenure committees. They are presented as guidelines in the recognition that some flexibility is necessary to accommodate the diversity in size, structure, and composition of departments and in the desire to preserve some degree of department and college autonomy in such matters.

Composition and size: Individual departments must develop and publish written policies to guide their promotion and tenure review processes, including the rules governing eligibility and selection of committee members. Individual departments determine who is eligible to serve on committees
from among tenured faculty members. A balance between adequate representation and effectiveness of operation as a committee suggests that a size between four to seven members is most appropriate.

Method of selection: Some significant elements of faculty choice must be a part of the selection procedure. Some possibilities are: a combination of elected and appointed representatives; an elected slate significantly larger than the committee size, allowing the department head, chair, or school director to appoint the committee from the slate; or a committee elected by the faculty.

Role of the department head, chair, or school director: Given their responsibility to make a separate and independent recommendation on each case, department heads, chairs, and school directors may not vote as members of committees. Department heads, chairs, and school directors may convene committees and may discuss each candidate with committees as appropriate. However, it is recommended that committees discuss the merits of the candidates and frame their recommendations without department heads, chairs, or school directors in attendance.

3.4.4.2 College Evaluation for Promotion and Tenure

College Committee Composition: Each college shall 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.

The committee reviews the cases of any candidates recommended by the departmental/school committee and/or the head, chair, or school director and, if requested by the dean, reviews cases of mandatory tenure receiving negative recommendations by both the departmental/school committee and the head, chair, or school director.

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.

The committee makes a recommendation on each candidate to the dean. The division of the vote at both the departmental/school and college level is conveyed to the university-level committee and provost, but must otherwise remain confidential. If the recommendation is at variance with that received from the department head, chair, or school director, reasons for that variance should be specified in the recommendation.

Whenever the dean does not concur with the committee’s recommendation, the committee is so notified. The dean sends to the provost the full dossier of every candidate for whom the dean makes positive recommendation and also the dossiers of those cases where the dean does not concur with the college committee’s positive recommendation. The dean includes a letter specifying the reasons for any reversal of the committee’s recommendation and, in cases of concurrence, may include a letter to bring out additional points not raised in earlier evaluations.

In the case of any candidate for promotion or tenure whose dossier is not being sent to the provost, the dean informs the department head, chair, or school director of the rejection and the department head, chair, or school director so notifies the departmental/school committee and the faculty member. In that case, the faculty member is notified, in writing, of appeal options.

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, subsequent to 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.

Committee composition: Rules governing eligibility and selection of college committee members and the committee chair, and operating guidelines for the committee’s deliberations must be documented in written college policies, formally approved by the faculty.

Individual colleges determine who is eligible to serve on committees from among tenured faculty members.

A significant element of faculty choice must be part of the committee selection procedure. Some possibilities are: 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.

The dean may appoint up to three tenured faculty members to serve on the college committee in order to assure appropriate representation of disciplines or very large departments and schools, 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.

If department heads, chairs, and/or school directors serve on college committees, their total number must be less than that of other faculty members.

Committee appointments 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.

Selection of the committee chair is determined in accordance with college policies, approved by the faculty.

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 college committee’s, 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 carried out.

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.

The dean may be present at college committee deliberations and serve in an advisory capacity to the committee to assure compliance with college and university procedures and fairness and equity of treatment of candidates. The dean does not vote on committee recommendations, but provides a separate recommendation to the provost.

Faculty members appointed to serve on the university-level promotion and tenure committee are encouraged to observe college-level deliberations to better prepare for their roles but should not participate or attempt to influence college-level recommendations.

Committee procedures and recommendations. The college committee may ask the department head, chair, or school director, the candidate, and/or a representative(s) of the department committee to appear before the college committee to present additional information or clarification of recommendations.

The committee makes a recommendation on each candidate to the dean and prepares a letter summarizing its evaluation to forward with the dossier. A record of the committee’s vote is documented and forwarded to the dean.

Review and recommendations by the dean: The dean sends forward to the provost the full dossier of every candidate for whom there is a positive recommendation from either the college committee or the dean, or both. The dean prepares a separate letter of recommendation to be forwarded with the dossier.

The dossiers that the dean sends to the provost are 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. The division of the vote at both the departmental/school and college levels is conveyed to the university-level committee and provost, but must otherwise remain confidential.

If both the college committee and the dean of the college reject a positive department recommendation, the usual process of review is concluded and the dossier is not sent forward to
the provost. The dean informs the department head, chair, or school director of the rejection and the department head, chair, or school director notifies the departmental/school committee and the faculty member. In that case, the dean informs the faculty member, in writing, of the specific reasons for the decision and provides notification of appeal options outlined in chapter three, “Appeals of Decisions on Reappointment, Tenure, or Promotion.”

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. It reviews the qualifications of the candidates recommended for promotion or tenure by each college dean. It also reviews those cases in which the dean does not concur with the college committee’s positive recommendation. The purpose of the reviews is to verify that the recommendations are consistent with the evidence, reflect university standards, and that they are consistent with university objectives, programmatic plans, and budgetary constraints.

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. The committee makes a 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.

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. Subsequent to 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 in order 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 particular 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 upon 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.

If the recommendation for promotion and/or tenure varies from that received from the department or college, reasons for that variance must be specified, including references to the relevant departmental “Expectations Guidelines” for promotion and/or tenure.

The president makes recommendation 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.

On recommendation of the Commission on Faculty Affairs, the University Council approved the following further guidelines on formation and procedures of the university committee:

The university committee consists of the college deans and tenured faculty members of the rank of associate professor or higher, one from each college and one faculty member-at-large. The selection of the faculty members should be based on demonstrated professional excellence. All members of the 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 tenure review process vote only once on an individual case, deans do not vote on cases from their own college. Similarly, faculty members serving on the university committee do not vote on any case they previously voted on, should this circumstance occur.

Some significant element of faculty choice should be part of the selection procedure; therefore, each college faculty, by 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 faculty members of the committee hold rotating terms of three years. The provost chairs the committee, but does not hold voting privileges.

All voting within the committee should be by written secret ballot; the division of any ballot must remain confidential.
3.4.5 Appeals of Decisions on Non-Reappointment, Tenure, or Promotion (for grievance policy and procedures see section 3.7)

Appeal. A faculty member who is notified of a negative decision following 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 make reference to explain the appeal procedures.

An appeal can 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 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 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 fairness or thoroughness of review. Whenever possible, the goal appeal should be to achieve final resolution resolved in time to accommodate the first meeting of the Board of Visitors in the fall semester.

At any time, a faculty member who believes that with questions or concerns about the appeal procedures 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, and/or file a grievance in accordance with the grievance procedure.

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 both 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, “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 and with the advice of the departmental/school personnel committee or the faculty development committee, evaluates faculty to determine non-reappointment. Notice of non-reappointment is furnished according to the schedule in chapter two, “Retirement, Resignation, and Non-Reappointment.”

If the decision is based on evaluation of the faculty member's performance, including perceived lack of potential for further professional development, then 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 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.

The department/school committee makes a recommendation on each candidate to the head, chair, or school director. If the head, chair, or school director does not concur with the committee’s recommendation, or if both the head, chair, or school director and the department/school committee recommend non-reappointment, the specific reasons for the negative recommendation(s) are provided to the faculty member in writing by the department head, chair, or school director, and there is an automatic review of the candidate’s dossier by the college committee and the dean.

The dean notifies the faculty member in writing of the review, including their right to present oral arguments to the college committee. If the college committee and the dean recommend non-reappointment, the dean notifies the faculty member in writing of the specific reasons for the negative recommendations and no further appeal is provided. If the college committee’s recommendation varies from the dean’s, the case is automatically sent to the provost for review.

The specific reasons for the decision are provided to the faculty members in writing. Evaluate faculty for reappointment.

If the decision is based primarily on evaluation of the faculty member’s performance, including perceived lack of potential for further professional development, then 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.

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, 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. With all non-mandatory cases, 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 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 president’s recommendation to the Board of Visitors, and the Board of Visitors’ final decision, 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.

<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 (all but mandatory tenure cases)</td>
<td>May appeal to college committee (through the dean)</td>
</tr>
<tr>
<td><strong>Appeal granted by the college committee and/or dean</strong></td>
<td>Moves to college committee and dean for normal consideration of the case</td>
</tr>
<tr>
<td>Negative recommendation by department committee and by department head or chair (final year/mandatory tenure cases only)</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>
</tbody>
</table>
3.4.3.1 Tenure Decision

Occasionally faculty members are evaluated for a tenured appointment during the probationary period but before the final probationary 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.

Evaluation for a tenured appointment is mandatory in the final year of probationary service unless the faculty member has given written notice of resignation from the faculty. If both the departmental/school committee and the department head, chair, or school director agree that the faculty member’s record does not warrant a tenured appointment, there is an automatic review of the candidate’s dossier by the dean. If the dean concurs, the faculty member is notified by the dean, in writing, of the decision and the specific reasons for it.

The faculty member may then request, through the dean, that the college committee on promotion and tenure independently review the decision. The faculty member presents the appeal in writing as specified in chapter three “Appeals of Decisions on Reappointment, Tenure, or Promotion.” The faculty member may elect to present oral arguments to the committee as well. If the committee concurs with the decision, the decision is final. The dean notifies the faculty member, in writing, and no further appeal is provided.

During the automatic review of the candidate’s dossier, the dean may wish to reserve judgment. In such a case, the dean notifies the faculty member of the departmental/school decision and tells the faculty member that the dean is requesting the college committee on promotion and tenure to undertake an independent review, as specified in the previous paragraph, and to make a recommendation. Should the college committee and the dean concur with the departmental/school decision, the decision is declared final. The faculty member is so notified, and no further appeal is provided. The specific reason for the decision is provided to the faculty member in writing.
In any case of college-level review of a negative departmental/school decision, a positive recommendation by either the college committee or the dean is sent with the dossier to the University Promotion and Tenure Committee in the same way as in the usual review process.

If the college committee and the dean undertake the review based on a positive recommendation of either or both the departmental/school committee and the department head, chair, or school director and if the college committee recommends that tenure not be awarded and the dean concurs, the faculty member is notified of the negative decision with reference to appeal procedures. The specific reasons for the decision are furnished to the faculty member in writing. The faculty member may then appeal to the provost for review of the decision by the university committee, which makes a recommendation to the provost for a final decision. The faculty member presents the appeal in writing as specified in chapter three, “Appeals of Decisions on Reappointment, Tenure, or Promotion.” No further appeal is provided. The university committee may choose to hear oral arguments.

Should the provost not concur with a positive recommendation from the University Promotion and Tenure Committee, 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.

During review following an appeal, the college committee may find reason to believe that the departmental/school evaluation was biased or was significantly influenced by improper considerations. In that case, the reviewing committee may request that the college dean form an ad hoc committee to re-initiate the evaluation. The ad hoc committee is composed, as feasible, of faculty members in the candidate’s department or in closely allied fields and does not contain any members of the original committee.

Should the university committee make such a finding in the review of an appeal relative to the college evaluation, it requests the dean to form a new ad hoc committee at the college level. The ad hoc committee makes a recommendation to the committee that requested its formation.

Review of Progress Toward Promotion to Professor

At least one review of progress toward promotion to professor is required three to five years after promotion and tenure is awarded (or after tenure is awarded at the current rank of associate professor). The review is required for faculty promoted and tenured during 2012-13 and thereafter. The review is to be substantive and thorough. At a minimum, an appropriate departmental/school committee (e.g., promotion and tenure committee, personnel committee, annual review committee) must review the faculty member’s relevant annual activities, 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 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 focus 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
departmental/school file. In addition, the faculty member may request a meeting with the department committee chair and the department head, chair, or school director to discuss the review and recommendations. Individual faculty members are also encouraged to seek guidance and mentoring from senior colleagues and the department head, chair, or school director.

3.4.5.4 Promotion to Professor Consideration and Decision
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, chair, or school director by a faculty member at any time if the department head, chair, or school director or 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. In such a case, for a member of the college faculty, or a member of the administrative and professional faculty seeking promotion in rank through an academic department, an appeal follows the same procedures as in chapter three, “Appeals of Decisions on Reappointment, Tenure, or Promotion.”

3.5 Annual Evaluation, Post-Tenure Review, and Periodic Review of College and Departmental 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.

The 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 minimal 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 Departmental Minimal Standards

Each academic department shall develop, maintain, and publish a statement of minimal standards for satisfactory faculty performance using the following process. Standards should be written with the participation of faculty in the department and approved by a vote of the tenured and tenure-track faculty in the department. Standards developed and approved by departments and the head, chair, or school director are then reviewed by the college-level promotion and tenure committee, the dean, and are reviewed and approved by the office of the provost. Once approved, the department's standards are published and made available to all faculty in the department. Revisions of departmental/school standards also follow these procedures. The following guidance is provided for the development of departmental/school minimal standards.

Departments should carefully assess and state the overall standards of professional performance and contribution they consider minimally acceptable for tenured faculty. Each department'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."
Departmental/school standards should embrace the entire scope of faculty contributions. Expectations should recognize differences in faculty assignments within the same department. Departmental/school 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 academic discipline; the individual's contributions to the collective life of the department, college, and university; and the individual's activity in and contributions to the university's outreach mission.

Departmental/school 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/school statements should include the expectation that tenured faculty will adhere to the standards of conduct and ethical behavior as stated in the Faculty Handbook and/or promulgated through other official channels.

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 was involved in the original unsatisfactory annual evaluations. In this case, the department elects a committee to carry out the review function.

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 minimal 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 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 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-level 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.

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.

3.5.5 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.

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 of American citizens.

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 particular 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 should be nominated on the basis of their objectivity, competence, and regard. They must have no bias or untoward interest in the case and be 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 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 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 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 for response.

**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
A separate and distinct resource for conflict resolution within the Virginia Tech community, the Ombuds Office, is a confidential and neutral mechanism that can provide assistance when a faculty member wishes to discuss a particular problem. The Ombuds Office 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 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. 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 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 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. 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. 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 president within 20 calendar days. The president's decision is final.

### 3.7.3 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 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 most recently proposed resolution in force. 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 above 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 appeal as outlined in section 3.5.1) 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 particular step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s website.)

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 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 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 particular step. (An agreement form to extend the grievance response time is available on the provost’s website.)

Overview of the Formal Grievance Process for Tenured and Tenure-Track Faculty

<table>
<thead>
<tr>
<th>Step one</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Within 30 days of</strong></td>
<td></td>
</tr>
<tr>
<td>1a.</td>
<td>Grievant meets with immediate department head, chair, school director, or supervisor.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td></td>
</tr>
<tr>
<td>1b.</td>
<td>Department head, chair, or school director provides verbal response.</td>
</tr>
<tr>
<td>1c.</td>
<td>If department head, chair, or school director’s response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<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>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step two</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td></td>
</tr>
<tr>
<td>2a.</td>
<td>Grievant submits written grievance to department head, chair, or school director.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td></td>
</tr>
<tr>
<td>2b.</td>
<td>Department head, chair, or school director responds in writing on grievance form.</td>
</tr>
<tr>
<td>2c.</td>
<td>If department head, chair, or school director’s response is satisfactory to grievant, that ends the matter.</td>
</tr>
</tbody>
</table>
If department head, chair, or school director’s response is not satisfactory to grievant, move to step three within 5 weekdays.

### Step three

**Within 5 weekdays**

| 3a. | Grievant advances grievance form to the second-level administrator (usually dean). |
| 3b. | Dean meets with grievant; dean may request department head, chair, or school director to be present. |
| 3c. | Dean responds in writing on grievance form. |
| 3d. | If dean’s written response is satisfactory to grievant, that ends the matter. |
| 3e. | If dean’s written response is not satisfactory to grievant, move to step four within 5 weekdays. |

### Step four

**Within 5 weekdays**

| 4a. | Grievant advances grievance form to the provost. |
| 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. |
| 4c. | Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost. |
| 4d. | Faculty Senate Review Committee chair appoints hearing panel from among Faculty Senate Review Committee members; panel holds its initial meeting with both principals. |
| 4e. | The hearing panel concludes its work and makes recommendations to the provost and grievant. |
| 4f. | The provost meets with grievant. |
| 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
Within 20 calendar days
Sa. Grievant appeals in writing to the president.
Sb. 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 carry out 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 website.

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 leave for up to 1 year;
- Change from a full year leave to a half-year leave (or vice-versa);
- Change in the location of the research leave;
- Cancellation of 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 of the pro rata portion of 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 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 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 website. 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 website.

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 leave for up to 1 year;
- Change from a full year leave to a half-year leave (or vice versa);
- Change in the location of your research leave;
- Cancellation of 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. 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. 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.

3.10 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 website. 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 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, schools, and colleges is strongly encouraged, and should be noted in the request.

Approval of the department head, chair, school director, dean, and provost are necessary. If the department head or 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.
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: 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 website.

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 website.)

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). Policy 4405, “Emeritus/Emerita Faculty,” 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 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 are able to 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 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, 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 percent 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

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, 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.
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.

Requests for a probationary period extension are submitted in writing to the appropriate supervisor. (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 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 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.

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: 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.

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 Appointments 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 make reference 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 & 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 & 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 & 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 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. (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 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.

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. 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 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 provost 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 particular step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s website.)
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 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 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 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 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 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 website.)

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<td><strong>Within 30 days of event</strong></td>
<td>1a. Grievant meets with immediate supervisor.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>1b. Supervisor provides verbal response.</td>
</tr>
<tr>
<td></td>
<td>1c. If the supervisor's response is satisfactory to the grievant, that ends the matter.</td>
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<tr>
<td></td>
<td>1d. 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>
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<tbody>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>2a. Grievant submits written grievance to immediate supervisor.</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td>2b. Supervisor responds in writing on grievance form.</td>
</tr>
<tr>
<td></td>
<td>2c. If the supervisor's response is satisfactory to the grievant, that ends the matter.</td>
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<tr>
<td></td>
<td>2d. If the supervisor’s response is not satisfactory to the grievant, move to step three within 5 weekdays.</td>
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<tr>
<td>Time Frame</td>
<td>Step</td>
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<tr>
<td>Within 5 weekdays</td>
<td>3a.</td>
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<tr>
<td>Within 5 weekdays</td>
<td>3b.</td>
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<tr>
<td>Within 5 weekdays</td>
<td>3c.</td>
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<td>Within 5 weekdays</td>
<td>3d.</td>
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<tr>
<td>Within 5 weekdays</td>
<td>3e.</td>
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<tr>
<td><strong>Step four</strong></td>
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<tr>
<td>Within 5 weekdays</td>
<td>4a.</td>
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<tr>
<td>Within 5 weekdays</td>
<td>4b.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>4c.</td>
</tr>
<tr>
<td>Within 15 weekdays</td>
<td>4d.</td>
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<tr>
<td>Within 45 weekdays</td>
<td>4e.</td>
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<tr>
<td>Within 10 weekdays</td>
<td>4f.</td>
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<tr>
<td>Within 10 weekdays</td>
<td>4g.</td>
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<tr>
<td>Within 10 weekdays</td>
<td>4h.</td>
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<tr>
<td>Within 10 weekdays</td>
<td>4i.</td>
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### Step five

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<tbody>
<tr>
<td>Within 20 calendar days</td>
<td>5a. Grievant appeals in writing to university president.</td>
</tr>
<tr>
<td></td>
<td>5b. The university president’s decision is final.</td>
</tr>
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</table>

#### 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 carry out 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 website.

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 website. 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 website.

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 website. 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 website.) 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 carry out 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 website.

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 website.).

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 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 website.

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 website.

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. 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 website.

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 Promotion and Tenure page of the provost’s website.

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 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 by the provost. The decision of the provost is final and cannot be appealed.

Faculty members should be provided 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 in 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 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 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. 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.

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 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. 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 particular step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s website.)

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
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 website.)

<table>
<thead>
<tr>
<th>Step one</th>
<th></th>
<th></th>
</tr>
</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></td>
<td>1b.</td>
<td>Department head provides verbal response.</td>
</tr>
<tr>
<td>Within 5 weekdays</td>
<td>1c.</td>
<td>If department head’s response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>1d.</td>
<td>If department head’s response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Step two</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>2a.</td>
<td>Grievant submits written grievance to department head.</td>
</tr>
<tr>
<td></td>
<td>2b.</td>
<td>Department head responds in writing on grievance form.</td>
</tr>
</tbody>
</table>
If department head’s response is satisfactory to grievant, that ends the matter.

If department heads response is not satisfactory to grievant, move to step three within 5 weekdays.

**Step three**

<table>
<thead>
<tr>
<th>Within 5 weekdays</th>
<th>3a.</th>
<th>Grievant advances grievance form to the second-level administrator (usually dean).</th>
</tr>
</thead>
<tbody>
<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></td>
<td>3d.</td>
<td>If dean’s written response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>3e.</td>
<td>If dean’s written response is not satisfactory to grievant, move to step four within 5 weekdays.</td>
</tr>
</tbody>
</table>

**Step four**

<table>
<thead>
<tr>
<th>Within 5 weekdays</th>
<th>4a.</th>
<th>Grievant advances grievance form to the provost.</th>
</tr>
</thead>
<tbody>
<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>
</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>Hearing panel concludes its work and make recommendations to provost and grievant.</td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>4f.</td>
<td>Provost meets with grievant.</td>
</tr>
<tr>
<td>--------------------</td>
<td>-----</td>
<td>-----------------------------</td>
</tr>
<tr>
<td></td>
<td>4g.</td>
<td>Provost notifies grievant in writing of the decision.</td>
</tr>
<tr>
<td>Within 10 weekdays</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>
</tr>
</tbody>
</table>

**Step five**

<table>
<thead>
<tr>
<th>Within 20 calendar days</th>
<th>5a.</th>
<th>Grievant appeals in writing to president.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>5b.</td>
<td>President’s decision is final.</td>
</tr>
</tbody>
</table>
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 website of the Office of Sponsored Programs.

<table>
<thead>
<tr>
<th>Track</th>
<th>Ranks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Postdoctoral</td>
<td>postdoctoral associate</td>
</tr>
<tr>
<td>Associate</td>
<td></td>
</tr>
<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>
</tr>
<tr>
<td>Research Professor</td>
<td>research assistant professor, research associate professor, research professor</td>
</tr>
</tbody>
</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 website.

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 carry out 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 do not also have involvement 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 [website of the Office for Sponsored Programs](#).

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 website.) 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 carry out 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 in order 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 is in excess of 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 website.
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. Promotions from one rank to another in order to recognize a faculty member’s increased responsibilities, credentials, and/or contributions to the program over time may be recommended by the supervisor.

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 make reference 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 also 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 in order 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 in order 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 relatively 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 perform effectively 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 time 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 also serves as a notice of termination. The terms of faculty offer also 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 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. 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.

**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 website.

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 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 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 website.)

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 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 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 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 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 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 website.)

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<th>Step one</th>
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<tr>
<td><strong>Within 30 days of event</strong></td>
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<td>1a. Grievant submits written grievance to supervisor.</td>
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<td><strong>Within 5 weekdays</strong></td>
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<td>1b. Supervisor meets with grievant and provides written response.</td>
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<td>1c. If supervisor’s response is satisfactory to grievant, that ends the</td>
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<td>matter.</td>
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<td>1d. If supervisor’s response is not satisfactory to grievant, move to</td>
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<td>step two within 5 weekdays.</td>
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<th>Step two</th>
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<td><strong>Within 5 weekdays</strong></td>
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<td>2a. Grievant advances grievance form to the next-level administrator</td>
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<td>referred to as the second-level administrator.</td>
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<td><strong>Within 5 weekdays</strong></td>
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<td>2b. Second-level administrator provides written response.</td>
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<td>2c. If second-level administrator’s written response is satisfactory to</td>
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<td>grievant, that ends the matter.</td>
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<td>2d. If second-level administrator’s written response is not satisfactory</td>
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<td>to grievant, move to step four within 5 weekdays.</td>
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<th>Step three</th>
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<td><strong>Within 5 weekdays</strong></td>
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<td>3a. Grievant advances grievance form to the dean or equivalent</td>
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<td>senior-level manager.</td>
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<td><strong>Within 5 weekdays</strong></td>
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<td>3b. Dean or equivalent senior-level manager meets with grievant;</td>
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<td>dean or senior-level manager may request immediate supervisor to be</td>
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<td>present.</td>
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<td>3c. Dean or senior-level manager provides written response.</td>
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<td>Step four</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.
| Within 5 weekdays | 4a. Grievant advances grievance form to the provost.
| Within 5 weekdays | 4b. 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 percent 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, 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 carrying out 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 similar to 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
handled 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
website. 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.

As a means 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 website.

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 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 time 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 work 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 carrying out 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 website.)

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 a number of 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 chair of the **Commission on Administrative and Professional Faculty Affairs (CAPFA)** 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 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**: 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 website](http://www.provostwebsite.com).

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 in order 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. 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.

**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 Website "Forms“ page of the Human Resources website.

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 Extension, the district director or appropriate step one administrator) and to the Administrative and Professional Faculty Senate Vice President, chair of the Commission on Administrative and Professional Faculty Affairs (CAPFA) 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, chair of CAPFA, within fifteen weekdays of receiving a copy of the grievance form, will convene a grievability panel. The panel consists of the chair of CAPFA and two A/P faculty senators/members from CAPFA. 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.
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 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 hearing panel. If the step three administrator does not accept the petition, a hearing panel is formed to review the grievance as outlined in these procedures. A 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 the Committee on Administrative and Professional Faculty Grievances.

Hearing Panel: A grievance hearing for A/P faculty is conducted by an ad hoc panel selected by the chair of the Committee on Administrative and Professional Faculty Grievances. 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 chair of the Committee on Administrative and Professional Faculty Grievances serves as the non-voting chair of each hearing panel. In the event that the chair of the Committee on Administrative and Professional Faculty Grievances has a conflict of interest concerning a case, the chair appoints a replacement from among the Administrative and Professional Faculty senators who serve on the Committee on Administrative and Professional Faculty Grievances 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 chair appoints a replacement from among the Administrative and Professional Faculty senators who serve on the Committee on Administrative and Professional Faculty Grievances at large.

Hearings: After the members of the hearing panel are appointed, the chair of the Committee on Administrative and Professional Faculty Grievances 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 chair of the Committee on Administrative and Professional Faculty Grievances. 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 time frame 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 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 chair of CAPFA 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 chair of CAPFA Administrative and Professional Faculty Senate Vice President.
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 chair of CAPFA 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 chair of CAPFA 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 chair of CAPFA Administrative and Professional Faculty Senate Vice President has the following options: The chair of CAPFA 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 subject of a grievance is normally not considered by the Commission on Administrative and Professional Faculty Affairs 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 handle 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 extension by written agreement of both parties. The grievant and the administrator involved at that particular step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s website.)

The principals and the chair of CAPEA Administrative and Professional Faculty Senate Vice President, if necessary, negotiate extensions of time limits at step three. In case of disagreement, the chair of CAPEA 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 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 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

Commented [HD8]: Changes to this section approved by BOV on June 6, 2023.
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 chair of CAPFA 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 particular step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s website.)

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>
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<tbody>
<tr>
<td><strong>Within 30 days of event</strong></td>
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<tr>
<td><strong>1a.</strong> Grievant submits written grievance to step one administrator (for Extension A/P faculty this is usually the district director) and chair of CAPFA Administrative and Professional Faculty Senate Vice President.</td>
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<td><strong>Within 510 weekdays</strong></td>
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<tr>
<td><strong>1b.</strong> CAPFA chair Administrative and Professional Faculty Senate Vice President acknowledges in writing to grievant that copy of grievance has been received.</td>
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<tr>
<td><strong>1c.</strong> CAPFA chair 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 documented and a written report on the deliberation sent to all parties concerned.</td>
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<tr>
<td><strong>1d.</strong> If the issue is not grievable, the grievance process concludes.</td>
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</table>
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**

<table>
<thead>
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<th>Within 5 weekdays</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>
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<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**

<table>
<thead>
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<th>Within 5 weekdays</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 reporting structure, shares a copy of the grievance with the provost.</td>
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<tr>
<td>Within 5 weekdays</td>
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<tr>
<td>3b.</td>
<td>Step three administrator acknowledges receipt of grievance and forwards copy to <strong>Chair of CAPFA Administrative and Professional Faculty Senate Vice President</strong>.</td>
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<tr>
<td>Within 5 weekdays</td>
<td></td>
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<tr>
<td>3c.</td>
<td><strong>CAPFA chair Administrative and Professional Faculty Senate Vice President</strong> acknowledges in writing to grievant that copy of grievance has been received from the step three administrator.</td>
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<tr>
<td>Within 15 weekdays</td>
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<tr>
<td>3e.</td>
<td><strong>CAPFA chair Administrative and Professional Faculty Senate Vice President</strong> convenes a hearing panel that holds its initial meeting with both principals.</td>
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<tr>
<td>Within 45 weekdays</td>
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<tr>
<td>3f.</td>
<td>Hearing panel concludes its work and makes recommendation to step three administrator and grievant.</td>
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<tr>
<td>Within 10 weekdays</td>
<td></td>
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<tr>
<td>3g.</td>
<td>Step three administrator meets with grievant.</td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td></td>
</tr>
<tr>
<td>3h.</td>
<td>Step three administrator notifies grievant in writing of the decision.</td>
</tr>
<tr>
<td>3i.</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>
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</table>
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.

**Step four**

| 4a. | Grievant appeals in writing to president. |
| 4b. | President’s decision is final. |

**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 Conflict of Interest 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 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 website 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 of additional employment plan. The Graduate School should be consulted to assist with the resolution of any conflicts 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 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

See Office of the University Registrar website

9.0 Instruction-Related Policies

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](https://www.universityregistrar.vt.edu).

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](https://www.gradschool.vt.edu). 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 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 in order for students to make alternate plans.

Students register via Hokie SPA during the published pre-registration period. After departments make adjustments based on course requests, completed schedules are 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.

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 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 website.

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 Resources webpage.

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 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.

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" 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.

A grade appeal must be made by the student 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 SSD website. 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 undergraduate honor system 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 undergraduate honor system 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 undergraduate honor system 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 the undergraduate honor system 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 an 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
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 website.

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. Official certification of these items can only be provided by the Office of the University Registrar. 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.

9.12 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 very 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.
CHAPTER TEN
RESEARCH, CREATIVE AND SCHOLARLY ACTIVITIES

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) website.

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 at the Virginia Tech Limited Submissions website.

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 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 without amendment submission to, and review and approval by the IRB. 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 can be made in an approved protocol prior to amendment submission to, and review and approval 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 website 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, and as required by state law. 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

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.”

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 research projects. Consult Policy 13000, “Policy on Intellectual Property” for information on the university’s nonexclusive license for scholarly articles.

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 undergraduate honor system 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 website.

**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 percent 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 as long as 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 or designee. Membership of the IPC is set forth in the bylaws of the University Council.
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 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.

11.1.2 Long-Term Disability Insurance

Long-term disability insurance provides coverage for 60 percent of 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 the contractually negotiated amounts with the applicable vendor and are available in the “Benefits” section of the Human Resources website. The maximum monthly benefit is $15,000, and the minimum monthly benefit is $100. In addition to paying a monthly benefit, a 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 the monthly premium, which is approximately .25 percent of the employee’s salary.

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 whichever VRS plan 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).

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 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 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 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 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. 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. 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

ORP contributions are subject to applicable compensation and contribution limits per 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. 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.

For faculty members hired on or after July 1, 2010, the university contributes 8.5 percent of base salary, and the employee contributes five percent of their base salary to the ORP.

Benefits at retirement are based on contributions, and net earnings. The faculty member can choose from a number of investment options. The ORP is qualified under IRS code section 401(a). ORP contributions are subject to applicable compensation and contribution limits per IRC and vesting is immediate. Investment risks are borne by the employee with risks varying based on the types of funds selected. Fidelity and TIAA are the providers for 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 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.

Restricted faculty members who accrue sick leave each pay period will automatically be enrolled
in the Standard Insurance Company short-term disability plan. 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 allows employees who are on
approved short-term disability leave to collect up to 60 percent 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 Virgini a
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 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 are defaulted 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 website.

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 15 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 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, 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
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 handled 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 work days. Ability to document 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 is not given for service of less than one-half month; leave cannot be granted before it is earned. 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 for 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 Leave
The university recognizes that faculty members have family responsibilities that may make extraordinary claims on their time, making it difficult to fully carry out 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 in order 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, 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) of paid parental leave to employees who have been employed by the commonwealth for a minimum of twelve (12) consecutive months. 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 in order 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 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.

Faculty 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 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 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 Retirement Benefits.

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 have the ability to 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 provides assistance 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 premium is paid entirely by the employee. Coverage is
This coverage has full 24-hour, 365-days-a-year protection against accidents occurring in the course of 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,
ilnesses, 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>
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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>
</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.

<table>
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<tr>
<th>Instructional Appointment</th>
<th>Appointment Description</th>
<th>Rank</th>
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<tbody>
<tr>
<td>Adjunct</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>Clinical Preceptor</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>Instructors and Visiting Faculty</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, either regular or instructional, but for whom the opportunity to teach medical students is anticipated before the faculty appointment process is completed. Appointment as Senior Instructor or Instructor</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".
13.0 Virginia Tech Emergency Management
540-231-4873

oem@vt.edu
emergency.vt.edu

13.1 During Any Emergency
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 www.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.

13.2 Reporting an Emergency
Dial 911 for police, fire, or emergency medical services. Remain calm – your actions will influence others.

- Tell the dispatcher you are at Virginia Tech, give the street address, building name, and room number.
- 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.
- Do not hang up the telephone, additional information may be needed. If possible, have someone 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 Medical Emergency
- Create space for the affected individual(s) and emergency personnel
- Do not move an injured person before responders arrive
• Call 911
• Have someone meet and direct emergency personnel to the site
• Only those trained properly should provide first aid or CPR

13.5 SECURE-in-Place
• Remain calm
• Inside: lock the door and/or place a barricade between you and the violence or danger.
• 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, silence phones, draw blinds, and move away from windows.
• Await further instruction from VT Alerts and/or emergency personnel.
• DO NOT leave until an “All Clear” is instructed by first responders.

13.6 Entry to a Secure Location
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:

• Determine if the individual is under duress, or might they be lying in wait?
• 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.
• Have the person leave a backpack, laptop case, package, etc. outside of the secure area.
• Have the person lift up their shirt, coat or jacket and rotate to see if they might be concealing a weapon.

13.7 SHELTER-in-Place
Shelter-in-place events are usually weather-related emergencies. During a tornado, seek shelter on the lowest level possible.

• Remain calm
• Respond immediately, DO NOT wait to see a tornado or severe weather event to react. Do not go outside to check the weather conditions.
• Seek shelter in the closest building in an interior room or corridor, away from windows, glass, and unsecured objects that may fall. DO NOT lock doors in case others need to shelter-in-place.
• Avoid sheltering in large free-standing spaces such as auditoriums and gymnasiums.
• DO NOT use elevators.
• Await instruction from VT Alerts and first responders.
• DO NOT leave until an “All Clear” is received.

13.8 Weather Definitions
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. Keep your class together. Stay 50 feet from the building to allow access for emergency personnel.

13.10 Persons with Disabilities
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: communicate with the hearing impaired with a note or hand gestures
- Visual: describe the situation and act as a “sighted guide” to escort them to a safe location. Identify a “buddy” before an emergency.
- Mobility: if a person cannot safely leave the building, a “buddy” can accompany the individual to an area of refuge without blocking the evacuation path. Do not attempt a rescue evacuation of an individual with a disability unless you have had the appropriate rescue training and the individual gives permission.

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 - vbx.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:

1) Extension Faculty with Continued Appointment
   Ranks: assistant professor, associate professor, professor

2) 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 website.)

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 offer of faculty 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 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 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 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 are able to 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 percent 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 percent to 100 percent 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 offer 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 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.

Requests for a probationary period extension are submitted in writing to the department head or chair. (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 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 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 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 provide 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 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 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 so 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 Appointments 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 make reference to appeal procedures. The appeal can only be based on 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 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 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 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 particular 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 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 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 study of 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 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. 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 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 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 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. 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 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 particular step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the provost’s website.)

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 at the time he or she discovers 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 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 website.)

<table>
<thead>
<tr>
<th>Step one</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Within 30 days of event</strong></td>
<td><strong>1a.</strong> Grievant meets with immediate supervisor (usually division head).</td>
</tr>
<tr>
<td><strong>Within 5 weekdays</strong></td>
<td><strong>1b.</strong> Supervisor provides verbal response.</td>
</tr>
<tr>
<td></td>
<td><strong>1c.</strong> If supervisor’s response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td><strong>1d.</strong> If supervisor’s response is not satisfactory to grievant, move to step two within 5 weekdays.</td>
</tr>
</tbody>
</table>

<p>| Step two |  |</p>
<table>
<thead>
<tr>
<th>Within 5 weekdays</th>
<th>2a.</th>
<th>Grievant submits written grievance to immediate supervisor.</th>
</tr>
</thead>
<tbody>
<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 supervisor’s response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>2d.</td>
<td>If supervisor’s response is not satisfactory to grievant, move to step three within 5 weekdays.</td>
</tr>
</tbody>
</table>

**Step three**

<table>
<thead>
<tr>
<th>Within 5 weekdays</th>
<th>3a.</th>
<th>Grievant advances grievance form to the second-level administrator (usually dean of Agriculture and Life Sciences).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within 5 weekdays</td>
<td>3b.</td>
<td>Dean meets with grievant; dean may request division 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></td>
<td>3d.</td>
<td>If dean’s written response is satisfactory to grievant, that ends the matter.</td>
</tr>
<tr>
<td></td>
<td>3e.</td>
<td>If dean’s written response is not satisfactory to grievant, move to step four within 5 weekdays.</td>
</tr>
</tbody>
</table>

**Step four**

<table>
<thead>
<tr>
<th>Within 5 weekdays</th>
<th>4a.</th>
<th>Grievant advances grievance form to the provost.</th>
</tr>
</thead>
<tbody>
<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>
</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>Hearing panel concludes its work and make recommendations to provost and grievant.</td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>4f.</td>
<td>Provost meets with grievant.</td>
</tr>
<tr>
<td>Within 10 weekdays</td>
<td>4g.</td>
<td>Provost notifies grievant in writing of his or her decision.</td>
</tr>
</tbody>
</table>

| 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. |
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 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. 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 website.

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 website. 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 website.

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.

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 website. 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 the 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 FOR EXCLUSION OF CERTAIN OFFICERS/DIRECTORS

WHEREAS, Virginia Polytechnic Institute and State University (Virginia Tech) was determined by the U.S. Department of Defense (DoD) to be a facility authorized to be eligible for access to classified information or award of classified contracts in 1960, and years following, with the most recent authorization in May 2022; and

WHEREAS, in accordance with the National Industry Security Program Operating Manual (NISPOM), Cognizant Security Agencies (CSAs) require that certain principal officers, directors, partners, regents, or trustees, and those occupying similar positions at institutions of higher education meet the personnel security clearance requirements established for the level of the institution’s facility security clearance or be formally excluded; and

WHEREAS, the NISPOM permits the exclusion from the personnel clearance requirements of said principal officers et al. on the basis that these cited individuals shall not require, shall not have, and can be effectively excluded from access to all classified information disclosed to Virginia Tech, and do not occupy positions that would enable them to affect adversely corporate policies or practices in the performance of classified contracts, as determined by a CSA;

NOW, THEREFORE, BE IT DECLARED that the Virginia Tech Board of Visitors hereby formally appoints a managerial group with the authority and responsibility for the negotiation, execution, and administration of classified contracts (Key Management Personnel), consisting of the following principal officers within Virginia Tech: President, University Legal Counsel, Chief Contracting Officer, Senior Vice President and Chief Research and Innovation Officer, Senior Associate Vice President for Research and Innovation, Senior Contracts Officer, Facility Security Officer, and Insider Threat Program Senior Official (specified by name in Attachment A); and

BE IT RESOLVED that the President, and the said managerial group, at the present time do possess the required security clearance; and

BE IT RESOLVED FURTHER that in the future, when a CSA determines that additional Virginia Tech officials must be added to said managerial group and be granted personnel clearances or excluded from classified access pursuant to the NISPOM, such requirements shall be made and approved by the Key Management Personnel, and not the Board of Visitors, unless approval by the Board of Visitors is formally required by a CSA; and

LASTLY, BE IT RESOLVED that the appended list of all members of the Board of Visitors and certain University Principal Officers (specified by name in Attachment B) shall not require, shall not have, and can be effectively excluded from access to all classified information in the possession of Virginia Tech, and do not occupy a position that would enable them to affect adversely Virginia Tech policies or practices in the performance of classified contracts. A copy of this resolution shall be provided to CSAs as required by the NISPOM.

RECOMMENDATION:
That the above resolution be approved.

August 29, 2023
ATTACHMENT A:

Key Management Personnel who must be granted personnel clearances or excluded from classified access pursuant to the NISPOM per Board of Visitors Resolution, August 29, 2023

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>President</td>
<td>Timothy D. Sands, Ph.D.</td>
</tr>
<tr>
<td>University Legal Counsel</td>
<td>Kay K. Heidbreder, Esq.</td>
</tr>
<tr>
<td>Chief Contracting Officer</td>
<td>Timothy D. Sands, Ph.D.</td>
</tr>
<tr>
<td>Sr. VP and Chief Research &amp; Innovation Officer</td>
<td>Daniel Sui, Ph.D.</td>
</tr>
<tr>
<td>Sr. AVP, Research &amp; Innovation</td>
<td>James R. Heflin, Ph.D.</td>
</tr>
<tr>
<td>AVP, Sponsored Programs</td>
<td>Trudy Riley</td>
</tr>
<tr>
<td>Facility Security Officer and Insider Threat Program Senior Official</td>
<td>John J. Talerico, III</td>
</tr>
</tbody>
</table>
ATTACHMENT B:

Members of the Virginia Tech Board of Visitors to be excluded per Board of Visitors Resolution, August 29, 2023.

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

List of Virginia Tech Principal Officers to be excluded per Board of Visitors Resolution, August 29, 2023

Executive Vice President and Provost Dr. Cyril R. Clarke
Executive Vice President and Chief Operating Officer Ms. Amy S. Sebring
Cyril Clarke, executive vice president and provost, will provide an update.
Cancer Research and Top 100 Global

Academic, Research, and Student Affairs Committee

Dan Sui
Senior Vice President,
Office of Research and Innovation

August 2023
Cancer Moonshot Reignited

FACT SHEET: President Biden’s Budget Accelerates Progress Toward the Goal of Ending Cancer as We Know It

- $2.8 billion for Cancer Moonshot activities at Department of Health and Human Services, Environmental Protection Agency, Department of Veteran Affairs, Department of Agriculture, Department of Defense, and NASA

- More than $10 billion at the Department of Health and Human Services for research and translational innovation
The second component of the National Cancer Plan is a set of strategies associated with each goal, describing essential research directions and implementation activities necessary to maximize benefits for everyone.

The National Cancer Institute and the National Institutes of Health lead this component by supporting a comprehensive research portfolio to achieve each goal.
Publications by field of science

AAU UNIVERSITIES PUBLICATIONS

- Arts and Humanities: 3.6%
- Social Sciences and Management: 19.9%
- Natural Sciences: 19.5%
- Engineering and Tech: 12.3%
- Life Sciences and Medicine: 44.6%

VIRGINIA TECH PUBLICATIONS

- Arts and Humanities: 2.0%
- Social Sciences and Management: 13.9%
- Natural Sciences: 24.4%
- Engineering and Tech: 23.6%
- Life Sciences and Medicine: 36.1%

Research talent is nationally dominated by those in health and biomedical areas.

- 50% of postdocs nationally are in health and biosciences, compared to 25% at Virginia Tech.

- National Academy of Medicine members comprise 1/3 of the National Academies membership nationally. Virginia Tech has 0 members in the National Academy of Medicine.
The Animal Cancer Care and Research Center will soon celebrate three years since its opening in Roanoke beside Virginia Tech’s Fralin Biomedical Research Institute in the Riverside Center for Research and Technology.
“A whole health approach changes the paradigm from 'what is the matter with you' to 'what matters to you.”

-- Karen Roberto, University Distinguished Professor and executive director of the Institute for Society, Culture, and Environment.
AI for Pediatric Health and Rare Diseases, an inter-institutional meeting of scientists and innovators co-led by Children’s National Hospital and the Virginia Tech Sanghani Center for Artificial Intelligence and Data Analytics to discuss the potential of artificial intelligence to understand pediatric health.

Pressing Issue: Tackling diseases, particularly cancer, in children, an area that suffers from limited treatment options and inadequate research compared with diseases affecting adults.
Inaccurate prediction may produce life-threatening consequences. These prediction errors could result in miscalculating the likelihood of a patient dying in an emergency room visit or of surviving cancer.”

-- Daphne Yao, the Elizabeth and James E. Turner Jr. ’56 Faculty and CACI Faculty fellow in the College of Engineering.
Research Frontiers

- Cancer moonshot identifies critical intersections with national security, environmental quality, and community resilience.
Cancer research at Virginia Tech

Where we are
where we’re going and
how we’ll get there

Michael J. Friedlander, Ph.D.
VT Vice President for Health Sciences and Technology
Executive Director, Fralin Biomedical Research Institute at VTC
Senior Dean for Research, VTC School of Medicine

Professor, Biological Sciences, COS
Biomedical Engineering (core faculty), COE
Psychiatry and Behavioral Medicine, SOM
Value proposition

• Cancer as major disease/economic health burden
• Many cancers are result of lifestyle/behavior challenges endemic to our region
• Opportunity for VT to serve the public good
• Interface of human and companion animal cancers
• Environment/climate impact on cancer
• Opportunities for multiple VT units/colleges to engage
• Large unrealized extramural funding opportunities
• Advance global reputation
• VT strengths as differentiators
• Multiple experiential learning opportunities
• Strong partners
2,000,000 new cancer cases
600,000 cancer deaths
American Cancer Society, 2023

Cancer will cost the world
$25 trillion over the next 30 years
Nature
March, 2023

Annual economic impact of cancer in US
$450 billion
1.8% of US GDP
The Cancer Atlas, 2022
VT Cancer Research Alliance Faculty Research Areas

- Nanotechnology, point of care diagnostics
- Immunotherapy
- Targeted cancer drug delivery
- Cellular therapy
- Chromosome segregation in cancer, aneuploidy
- Microfluidics, cancer therapy
- Cancer genomics
- Clinical trial design
- Tumor microenvironment
- Circadian rhythms and cancer
- Obesity and cancer
- Exercise and cancer
- Nutrition, processed foods and cancer
- Cancer stem cells
- Behavioral interventions for cancer prevention and relapse
- Radiation damage protection in radiotherapy
- Mathematical modeling and metastasis
- Computational analysis of cancer cell signaling
- Tumor targeting bacteria
- Epigenetics of cancer
- AI and cancer diagnostics
- Cancer imaging
- Non-invasive tumor ablation
Virginia Tech’s differentiators in cancer research

Milk derived exosomes to deliver therapeutics to limit radiation damage in cancer patients

Hi field MRI/PET/FUS

THE LANCET
2022

The Lancet: Almost half of global cancer deaths are due to risk factors, with smoking, alcohol use, and high BMI the greatest contributors

Human behavioral science

SICK AS A DOG: HOW UNDERSTANDING CANINE DISEASES WILL SAVE HUMAN LIVES

Dogs develop diseases similar to those of humans, and their inbred genetics makes them a useful model for disease biology, allowing the development of new therapies for veterinary and human use. By Carrie Arnold

Nature Medicine, October, 2022

Veterinary medicine

Exercise and diet
VT’s Center for Health Behaviors Research has a cancer focus

Humans and our companion animals develop many of the same cancers
Major Funding Opportunities

Open Cancer Grand Challenges

• Determine the mechanisms through which obesity and physical activity influence cancer risk

• Develop therapeutics to target oncogenic drivers of solid tumors in children

Pediatric brain cancer research at CNRIC in Washington, DC
VT basic, translational and clinical cancer research network

VT Blacksburg campus
CALS, CLAHS, CNRE, COE, COS, CVM, FLSI

VT Innovation campus
Sanghani Center for AI and data analytics

FBRI/VTC SOM/ACCRC
VT Health Sciences Campus Roanoke

Children’s National Research and Innovation Campus
Washington DC

Carilion Clinic Roanoke
Experiential Learning Opportunities in Cancer Research

Undergraduate students, Hezekiah Emmanuel and Baylee Reasor working on breast cancer research with manager Tatiana Boluarte, in FBRI lab of Carla Finkielstein

Translational Biology, Medicine, and Health graduate student Hanaa Abdelazim working with mentor, Research Assistant Professor Laura Beth Payne at the FBRI.

Associate Professor Jenny Munson and research fellow, Caleb Stine spin out new company from the Fralin Biomedical Research Institute to translate science into personalized brain cancer treatments.

VTCSOM medical student, Alexis Dowiak working with Dr. Roger Packer, Director of the Brain Tumor Institute at the Children’s National Hospital on first in human focused ultrasound therapies to open blood brain barrier in children to treat brain cancer.
Funding support for cancer research program growth

- VT Destination Areas Program
- Extramural grants and contracts
- State appropriations
- Capital equipment fund
- Philanthropy
The Chair of the Academic, Research, and Student Affairs Committee will discuss possible agenda items for future meetings.
Adjourn

ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE

August 28, 2023

The Chair of the Academic, Research, and Student Affairs Committee will adjourn the committee meeting.
## Open Session Agenda

**BUILDINGS AND GROUNDS COMMITTEE**

**Tuesday, August 29, 2023**

*Open session meeting begins at 8:45 a.m.*  
in Room 101 A/B, Fralin Biomedical Research Institute

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Chris Kiwus |
| 2. Consent Agenda | Committee Chair  
Chris Kiwus |
| a. Minutes from the June 2023 Committee Meeting | |
| b. Resolution for Disposition of University Buildings at Southern Piedmont AREC | |
| c. Resolution on Appointments to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority | |
| # + 3. Overview of the University’s Physical Assets and Investment Approach | Chris Kiwus |
| # + 4. Overview of the Campus Master Plan | Liza Morris |
| # + 5. Overview of the Capital Construction Program | Bob Broyden  
Dwyn Taylor |
| # + 6. Acceptance of the Capital Project Status Report | Dwyn Taylor |
| + 7. Update on Agricultural Facilities | Alan Grant |
| # + 8. Design Preview and Review for the Life, Health, Safety, Accessibility, and Code Compliance - Priority 2 | Liza Morris |
| 10. Future Agenda Items and Closing Remarks | Committee Chair |

* Requires Full Board Approval  
# Discusses Enterprise Risk Management Topic(s)  
+ Discusses Strategic Investment Priorities Topic(s)
Open Session Briefing Report

BUILDINGS AND GROUNDS COMMITTEE

Tuesday, August 29, 2023
Open session meeting begins at 8:45 a.m.
in Room 101 A/B, Fralin Biomedical Research Institute

Open Session Meeting

1. Welcome and Introductions: The Committee Chair will convene the meeting and provide welcoming remarks.

2. Consent Agenda: The Committee will consider for approval the items listed on the Consent Agenda.

   a. Minutes from the June 2023 Committee Meeting: The Committee will review for approval the minutes from its June 2023 meeting.

   b. Resolution for Disposition of University Buildings at Southern Piedmont AREC: The Committee will review for approval a resolution for disposition of university buildings at the Southern Piedmont Agricultural Research and Extension Center (AREC) in Blackstone, Virginia. Specifically, the university requests approval for the disposition of Buildings No. 0903A and 0903B. The Southern Piedmont AREC engages in research of tobacco, fruit, and other crop research and educational programs requiring multiple types of facilities. Buildings No. 0903A and 0903B have fallen into disrepair and are beyond their useful life for the teaching and research programs. The university desires to surplus the vacant structures before they fall into further disrepair. Buildings 0903A and 0903B are vacant greenhouses, and each is 432 square feet. They were erected on site in 2005 and 2007 respectively. The structures will be disassembled, removed and sent to surplus. The existing concrete slab will remain. The university will obtain required approvals prior to the disposition of these structures.

   c. Resolution on Appointments to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority: The Committee will review for approval a resolution on appointments to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority. The Blacksburg-Virginia Polytechnic Institute Sanitation Authority was created January 30, 1962, pursuant to the Virginia Water and Sewer Authorities Act, Code of Virginia (1950, as amended) for the purpose of constructing and maintaining a sewer disposal system for the participating entities, which include the Town of Blacksburg and Virginia Tech. The Authority’s Board consists of five members. The Town of
Blacksburg and the Board of Visitors of Virginia Tech each appoint one member to the Board; the remaining three members are jointly appointed by the two entities. From time to time, it is necessary to appoint and reappoint members of its Board of Directors in connection therewith. Current terms for the university’s representative and two of the three at-large members expire January 1, 2024. In anticipation of these term expirations and to ensure appropriate continuity of operations, Virginia Tech desires to reappoint Chris Kiwus, Vice President for Campus Planning, Infrastructure, and Facilities, as the university’s representative and member of the Authority’s Board of Directors for a new four-year term expiring January 1, 2028. Additionally, Virginia Tech and the Blacksburg Town Council desire to reappoint Ray Smoot and Ron Rordam as jointly appointed representatives and at-large members of the Authority’s Board of Directors for new four-year terms expiring January 1, 2028. The term of the third jointly appointed representative and at-large member, third, Lu Merritt, is a four-year term effective January 1, 2022 and expiring January 1, 2026. No action is requested for Mr. Merritt’s appointment, as that would be considered at the recommendation of the university and pleasure of the Board in a future meeting as the term expiration nears.

3. Overview of the University’s Physical Assets and Investment Approach: The Committee will receive an overview of the university’s physical assets and investment approach from Chris Kiwus, 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. The university’s strategic physical asset investment programs include operations and maintenance, customer requested renovations, facilities renewal, maintenance reserve, and capital project.

4. Overview of the Campus Master Plan: The Committee will receive an overview of Beyond Boundaries 2047: The Campus Plan from Liza Morris, Assistant Vice President for Planning and University Architect. The current plan — approved by the Board of Visitors in November 2018 — guides current and future campus leaders as they imagine and develop the Blacksburg campus and the university’s agricultural research and extension centers through 2047. The plan, a key initiative connecting across all core values of the university’s strategic plan prepares the university for the next generation of higher education. The plan builds upon the Beyond Boundaries vision to ensure appropriate capacity in facilities and infrastructure, as seen in the plan’s vision for living-learning communities anchored by flexible learning spaces. Since its completion, the plan has received two national achievement awards. In 2019 the Society for College and University Planning awarded the university the Excellence in Planning for an Existing
Campus Merit Award for its innovative, collaborative, multidisciplinary, and integrated approaches to planning and design. In 2021, the university received the Excellence in Landscape for Open Space Planning Award (also awarded by the Society for College and University Planning) for universal design features within the plan set to boost campus accessibility and mobility.

5. **Overview of the Capital Construction Program:** The Committee will receive an overview of the university’s capital construction program from Bob Broyden, Associate Vice President for Campus Planning and Capital Financing, and Dwyn Taylor, Assistant Vice President for Capital Construction. The Capital Construction team provides leadership in the administration and management of all major capital outlay projects, which are defined as projects with a total project cost of $3 million or more inclusive of all expenditures necessary to complete the project, and/or projects involving the construction of 5,000 square feet or more. Project managers work closely with sponsoring colleges and departments, future building users, and other project stakeholders to achieve project goals. Following project authorization by the Board of Visitors, project managers coordinate all phases of a project from initiation through completion and close-out.

6. **Acceptance of the Capital Project Status Report:** The Committee will review for acceptance the quarterly capital project status report from Dwyn Taylor, Assistant Vice President for Capital Construction. 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 1.6 million gross square feet (GSF) of new construction, and renovates nearly 300,000 gross square feet of existing space.

The university recommends acceptance of the Capital Project Status Report and that reports in November 2023, April 2024, and June 2024 be included on the Committee’s consent agenda.

7. **Update on Agricultural Facilities:** The Committee will receive an update from Alan Grant, Dean of the College of Agriculture and Life Sciences, on agricultural facilities planning and construction. The update will include project status information and an introduction of Mary Burrows, the new Associate Dean and Director of the Virginia Agricultural Experiment Station.

8. **Design Preview and Review for the Life, Health, Safety, Accessibility, and Code Compliance - Priority 2:** The Committee will review for approval the joint design preview and review for the Life, Health, Safety, Accessibility, and Code Compliance - Priority 2 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 second priority of three high priority accessibility initiatives identified by the university in the Life, Health, Safety, Accessibility & 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 in the working drawings phase with construction anticipated to begin late fall of 2023 and to attain substantial completion late fall of 2024. The university received total project funding of $10.4 million in Life, Health, Safety, Accessibility & Compliance funds from the state for three priority projects, $3.9 million of which will be applied to the second priority project.

The university recommends that the design preview and review graphics be approved, and authorization be provided to continue with the project design consistent with the drawings shown.

9. Design Review for Mitchell Hall: The Committee will review for approval the design review for Mitchell Hall. Virginia Tech’s top ranked College of Engineering has grown 68 percent since the fall of 2006. As of 2022-2023 the number of Bachelors, Masters and Doctorate represents 39 percent degree production at the institution. To address this growth and aging facilities, as well as accommodate changing pedagogies, a new Mitchell Hall facility will replace undersized and outdated Randolph Hall with a state-of-the-art engineering hub. The facility will primarily house Aerospace and Ocean Engineering, Mechanical Engineering, and Engineering Education departments; it will provide project space for student teams, supporting national team-based research and development competitions. The project also provides student collaboration and general assignment classroom spaces serving the entire campus community. The project received $11 million of authorization for design funding in the 2020 Acts of Assembly, full project funding in the 2022 Acts of Assembly with a total budget of $292 million, and is in the working drawing phase. Construction activities are anticipated to begin in the winter of 2023 with substantial completion planned for the summer of 2027.

The university recommends that the design review graphics be approved, and authorization be provided to continue with the project design consistent with the drawings shown.

10. Future Agenda Items and Closing Remarks: The Committee will discuss potential topics for inclusion on future meeting agendas.
Welcome and Introductions

BUILDINGS AND GROUNDS COMMITTEE

Tuesday, August 29, 2023

The Buildings and Grounds Committee Chair will open with welcoming remarks and introductions.
The Committee will consider for approval and acceptance the items listed on the Consent Agenda.

Consent Agenda

a. Minutes from the June 2023 Committee Meeting

* b. Resolution for Disposition of University Buildings at Southern Piedmont AREC

* c. Resolution on Appointments to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority

* Requires full Board approval.
Open Session Minutes

BUILDINGS AND GROUNDS COMMITTEE

Monday, June 5, 2023 and Tuesday, June 6, 2023

Open Session Tours
The Buildings and Grounds Committee of the Board of Visitors of Virginia Polytechnic Institute and State University convened on Monday, June 5, 2023 at 11:15 a.m. in open session in the Classroom Building (1455 Perry Street, Blacksburg, VA 24061) to depart for tours of the new Data and Decision Sciences Building (727 Prices Fork Road, Blacksburg, VA 24061) and the Quillen Spirit Plaza and Dietrick Hall (285 Ag Quad Lane, Blacksburg, VA 24061). A quorum of the Committee was present.

Board members present: Ed Baine, Anna Buhle – Graduate and Professional Student Representative, Shelley Butler Barlow, Dave Calhoun, Carrie Chenery, Sandra Davis, Holli Drewry – Administrative and Professional Faculty Representative, Greta Harris, C.T. Hill, Brad Hobbs, Anna James, Tish Long, Sharon Martin, Melissa Nelson, Jamal Ross – Undergraduate Student Representative, Jeff Veatch, Robert Weiss – Faculty Representative, Serena Young – Staff Representative

University personnel and guests: John Barrett, Lynsay Belshe, Randall Billingsley, Bob Broyden, Brock Burroughs, Cyril Clarke, Al Cooper, Alisha Ebert, Mark Embree, Ted Faulkner, Mark Gess, Frances Keene, Chris Kiwus, Sharon Kurek, Meghan Marsh, Ken Miller, Elizabeth Mitchell, George Morgan, Kim O’Rourke, Rob Ogle, Charlie Phlegar, Menah Pratt, Julie Ross, Tim Sands, Amy Sebring, Cara Spicer, John Tarter, Dwyn Taylor, Jon Clark Teglas, Tracy Vosburgh, and guests

Agenda Item
1. Tour of the Data and Decision Sciences Building: The Committee toured the recently completed Data and Decision Sciences Building. The approximately 115,000-gross-square-feet Data and Decision Sciences Building houses faculty and classes from multiple colleges, including the College of Engineering, the College of Science, and the Pamplin College of Business. Its function is to bring together under one roof computer science, engineering, and data-related disciplines to provide opportunities for students, faculty, alumni, and even industry leaders to work side-by-side to address some of the world’s significant data challenges. The Data and Decision Sciences Building includes a multilevel commons area, team rooms in which students across disciplines can work together, specialized labs, data visualization classrooms, and more. The building's exterior is clad in Hokie Stone and reflects the Collegiate Gothic architectural style found across campus. The facility directly supports the commonwealth’s Technology Talent Investment Program for growth in computer science and computer engineering sectors as well as other technology-based and cyber security industries. The tour included perspectives from the construction project team as well as representatives of the College of Engineering, the College of Science, and the Pamplin College of Business.

2. Tour of the Renovated Quillen Spirit Plaza and Dietrick Hall: The Committee toured the recently completed Quillen Spirit Plaza and Dietrick Hall. The Quillen Spirit Plaza is located in the area outside Dietrick Hall that faces Washington Street. It transforms and modernizes a central campus gathering place that connects residential spaces to Athletics via Dietrick Lawn. The plaza is a location for special events, including potential pep rallies.

* Requires Full Board Approval
# Discusses Enterprise Risk Management Topic(s)
+ Discusses Strategic Investment Priorities Topic(s)
and continues to be an integral part of everyday living, learning, and socializing on campus. The renovations expand the available usable space, infuse more elements that build on the school spirit atmosphere, and help foster social interaction and collaboration. The project incorporated brand elements throughout the plaza; stadium seat walls; new accessible pathways, seating, a sloped lawn, landscape beds, outdoor seating, and tables; and a HokieBird statue for photo opportunities. The Quillen Spirit Plaza is part of a larger renovation project to Dietrick Hall that included a variety of interior improvements – a new Urban Market dining venue, upgrades to Deet’s and DXpress, and enclosing the first-floor overhang to capture nearly 200 additional seats. The Quillen Spirit Plaza was made possible by a $2 million gift from three siblings of the Quillen family: Chris Quillen ’98 and his wife Jennifer, Hunter Quillen Gresham, and Matt Quillen ’06 and his wife Kelsey. The gift is one of the largest gifts in the history of Student Affairs. The tour included perspectives from the construction project team as well as representatives of the Division of Student Affairs.

There being no further business, the meeting adjourned at 12:45 p.m.

******************************************************************************

Open Session Meeting
The Buildings and Grounds Committee of the Board of Visitors of Virginia Polytechnic Institute and State University convened on Tuesday, June 6, 2023 at 10:30 a.m. in open session in Room 270 of the Classroom Building (1455 Perry Street, Blacksburg, VA 24061). A quorum of the Committee was present.

Board members present:  Shelley Butler Barlow, Carrie Chenery, Holli Drewry – Administrative and Professional Faculty Representative, Greta Harris, C.T. Hill

University personnel and guests:  Mac Babb, Alisha Ebert, Mark Gess, Alan Grant, Suzanne Griffin, Wendy Halsey, Heidi Myers, Mary-Ann Ibeziako, Chris Kiwus, Jack Leff, Meghan Marsh, Bernadette Mondy, Mike Mulhare, Nam Nguyen, Justin Noble, Stephanie Overton, Dwyn Taylor, Jon Clark Teglas, Pam Vickers, Paul Winistorfer, Chris Wise, and guests

Agenda Item
3. Consent Agenda: The Committee approved and accepted the items listed on the Consent Agenda.

a. Approval of the Minutes from the March 2023 Meeting: The Committee approved the minutes from the March 20, 2023 meeting.

b. Acceptance of the Quarterly Capital Project Status Report: The Committee accepted the quarterly capital project status report.

* 4. Resolution to Authorize the Demolition of University Buildings 0133 (Randolph Hall), 0270C (Randolph Annex), and Partial Demolition 0133C (Hancock Hall): The Committee reviewed for approval a resolution to authorize the demolition of Building No. 0133 (Randolph Hall), Building No. 0270C (Randolph Annex), and the partial demolition of Building No. 0133C (Hancock Hall). These facilities are located in the North Academic District of the main campus in Blacksburg, Virginia. Constructed in 1959, Building No. 0133

* Requires Full Board Approval
# Discusses Enterprise Risk Management Topic(s)
+ Discusses Strategic Investment Priorities Topic(s)
(Randolph Hall) is a 165,918 gross square foot (GSF) academic facility supporting the College of Engineering and provides a significant number of general assignment classrooms in the core of campus. The facility was constructed in phases, and is a concrete structure with red brick cladding. This demolition request includes all phases and appurtenant structures with the exception of the six-foot stability wind tunnel, acquired in 1958, which will remain operational. The appurtenant modular 3,360 gross square foot structure, Building No. 0270C (Randolph Annex) was constructed in 1989. Constructed in 1990, Building No. 0133C (Hancock Hall) is a 63,075 gross square foot academic building. Currently, Building No. 0133 (Randolph Hall) and Building No. 0133C (Hancock Hall) are interconnected. Demolition of Building No. 0133 (Randolph Hall) removes a shared wall which comprises the envelope enclosure of the east side of Building No. 0133C (Hancock Hall). The 16,550 gross square foot partial demolition of Building No. 0133C (Hancock Hall) includes a two-story north wing which wraps the northwest corner of Building No. 0133 (Randolph Hall). A partial basement of the wing houses an electrical vault which will remain operational. The demolition of Building No. 0133 (Randolph Hall) will allow Building No. 0133C (Hancock Hall) to become a stand-alone facility, with an envelope to be completed via a concurrent capital project. The current facilities are aged, undersized and do not support current pedagogies. These demolitions are enabling the opportunity to provide a site for a state-of-the-art engineering hub and general assignment classroom facility in the core of campus. 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.

The Committee recommended the resolution authorizing the demolition of Buildings No. 0133, No. 0270C, and partial demolition of Building No. 0133C to the full Board for approval.

5. **Annual Report of the University Building Official:** The Committee received 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.

6. **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.

7. **Future Agenda Items and Closing Remarks:** The Committee discussed potential topics for inclusion on future meeting agendas. Ms. Butler Barlow offered remarks of appreciation to the Committee members for their service and success.

There being no further business, the meeting adjourned at 11:30 a.m.

* Requires Full Board Approval
# Discusses Enterprise Risk Management Topic(s)
+ Discusses Strategic Investment Priorities Topic(s)
Joint Open Session with the Finance and Resource Management Committee

The Buildings and Grounds Committee and the Finance and Resource Management Committee of the Board of Visitors of Virginia Polytechnic Institute and State University convened on Monday, June 5, 2023 at 5:00 p.m. in joint open session in Room 260 of the Classroom Building (1455 Perry Street, Blacksburg, VA 24061). A quorum of the joint Committee was present.

Board members present: Ed Baine, Shelley Barlow, Anna Buhle – Graduate and Professional Student Representative, Dave Calhoun, Carrie Chenery, Sandra Davis, Holli Drewry – Administrative and Professional Faculty Representative, Greta Harris, C.T. Hill, Brad Hobbs, Anna James, Tish Long, Sharon Martin, Melissa Nelson, Jeff Veatch, Robert Weiss – Faculty Representative, Serena Young – Staff Representative

University personnel and guests: Janice Austin, Mac Babb, Callan Bartel, Lynsay Belshe, Eric Brooks, Bob Broyden, Brock Burroughs, Cyril Clarke, Al Cooper, Corey Earles, Jeff Earley, Alisha Ebert, Ted Faulkner, Mark Gess, Kay Heidbreder, Tim Hodge, Elizabeth Hooper, Frances Keene, Chris Kiwus, Sharon Kurek, Rob Mann, Elizabeth McClanahan, Nancy Meacham, Ken Miller, Jeff Mitchell, Heidi Myers, Justin Noble, Kim O’Rourke, Charlie Phlegar, Menah Pratt, Paul Richter, Tim Sands, Amy Sebring, Brennan Shepard, John Tarter, Dwyn Taylor, Jon Clark Teglas, Rob Viers, Tracy Vosburgh, Mike Walsh, Danny White, Chris Wise, Nick Woods, Chris Yianilos, and guests

Agenda Item

1. Motion for Joint Open Session

2. Approval of Items Discussed in Joint Closed Session: The Committees reviewed for approval the items discussed in joint closed session.

* 3. Approval of Resolution for the Football Locker Room Renovation Project: The Committees reviewed for approval a Resolution for the Football Locker Room Renovation Project. This 4,200 square-foot renovation project provides a state-of-the art hydrotherapy suite and renovations to the players’ restrooms and shower facilities within the Jamerson Athletic Facility. The $5.9 million total project cost will be funded with private gifts.

The Committees recommended the Resolution for the Football Locker Room Renovation Project to the full Board for approval.

* 4. Approval of Resolution for Student Life Village, Phase I Planning Authorization: The Committees reviewed for approval a Resolution for Student Life Village, Phase I Planning Authorization. This $19.4 million planning authorization, funded with auxiliary revenues designated for facility improvements, includes preliminary designs for: sitework; landscaping; utilities; residential, dining, and recreation structures; roads; and pathways.

The Committees recommended the Resolution for Student Life Village, Phase I Planning Authorization to the full Board for approval.

There being no further business, the meeting adjourned at 5:49 p.m.
Open Session Agenda  

BUILDINGS AND GROUNDS COMMITTEE  

Monday, June 5, 2023  

* Bus departs for tour at 11:00 a.m.  
from the Classroom Building.*

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Kevin Pitts  
Julie Ross  
Robin Russell |
| 2. Tour of the Renovated Quillen Spirit Plaza and Dietrick Hall | Dwyn Taylor  
Frances Keene  
Ted Faulkner |

Tuesday, June 6, 2023  

* Open session meeting begins at 10:30 a.m.  
in Room 270 of the Classroom Building.*

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* Requires Full Board Approval  
# Discusses Enterprise Risk Management Topic(s)  
+ Discusses Strategic Investment Priorities Topic(s)
Joint Closed/Open Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE
AND
BUILDINGS AND GROUNDS COMMITTEE

June 5, 2023
5:00 p.m.

Room 260, New Classroom Building

Joint Closed

**Agenda Item**
1. Motion to Begin Joint Closed Session

* 2. Approval of Resolution for the Acquisition of Real Property

Reporting
Responsibility
Greta Harris

Ken Miller
Chris Kiwus
Bob Broyden

Joint Open

**Agenda Item**
1. Motion to Reconvene in Joint Open Session

2. Approval of Items Discussed in Joint Closed Session

* 3. Approval of Resolution for the Football Locker Room Renovation Project

* 4. Approval of Resolution for Student Life Village, Phase I Planning Authorization

Reporting
Responsibility
Greta Harris

Ed Baine
Shelley Butler Barlow

Ken Miller
Chris Kiwus
Bob Broyden

Ken Miller
Chris Kiwus
Bob Broyden

* Requires Full Board Approval
# Discusses Enterprise Risk Management Topic(s)
+ Discusses Strategic Investment Priorities Topic(s)
DISPOSITION of UNIVERSITY BUILDINGS at SOUTHERN PIEDMONT AGRICULTURAL RESEARCH AND EXTENSION CENTER

LIZA MORRIS
ASSISTANT VICE PRESIDENT FOR PLANNING AND UNIVERSITY ARCHITECT

August 29, 2023
EXISTING CONDITIONS

VIEW SOUTHEAST

VIEW NORTHWEST

/ DISPOSITION of UNIVERSITY BUILDINGS at SOUTHERN PIEDMONT AREC
RECOMMENDATION

That the resolution authorizing the disposition of University Buildings No. 0903A and 0903B be approved.
RESOLUTION FOR DISPOSITION OF UNIVERSITY BUILDINGS AT SOUTHERN PIEDMONT AGRICULTURAL RESEARCH AND EXTENSION CENTER

The university requests approval for the disposition of Buildings No. 0903A and 0903B located at the Southern Piedmont Agricultural Research and Extension Center in Blackstone, Virginia.

The Southern Piedmont Agricultural Research and Extension Center engages in research of tobacco, fruit, and other crop research and educational programs requiring multiple types of facilities at the Blackstone, Virginia location. Buildings No. 0903A and 0903B have fallen into disrepair and are beyond their useful life for the teaching and research programs. The university desires to surplus the vacant structures before they fall into further disrepair.

Buildings 0903A and 0903B are vacant greenhouses, each is 432 square feet. They were erected on site in 2005 and 2007 respectively. The structures will be disassembled, removed and sent to surplus. The existing concrete slab will remain. The university will obtain required approvals prior to the disposition of these structures.
RESOLUTION FOR DISPOSITION OF UNIVERSITY BUILDINGS AT SOUTHERN PIEDMONT AGRICULTURAL RESEARCH AND EXTENSION CENTER

WHEREAS, under the 2006 Management Agreement between the Commonwealth of Virginia and the university, the Board of Visitors has the authority to approve the disposition of any building or land; and,

WHEREAS, the buildings are located at the Southern Piedmont Agricultural Research and Extension Center in Blackstone, Virginia, are beyond their useful life as experimental and teaching structures; and,

WHEREAS, the university will obtain required approvals prior to the disposal of these structures;

NOW, THEREFORE, BE IT RESOLVED that the Board of Visitors approve the disposal of Buildings No. 0903A and 0903B, located at the Southern Piedmont Agricultural Research and Extension Center in Blackstone, Virginia, in accordance with the applicable statues of the Code of Virginia (1950), as amended.

RECOMMENDATION:

That the resolution authorizing the disposition of University Buildings No. 0903A and 0903B be approved.

August 29, 2023
Resolution on Appointments to the
Blacksburg-Virginia Polytechnic Institute Sanitation Authority

BUILDINGS AND GROUNDS COMMITTEE

Tuesday, August 29, 2023

The Blacksburg-Virginia Polytechnic Institute Sanitation Authority was created January 30, 1962, pursuant to the Virginia Water and Sewer Authorities Act, Code of Virginia (1950, as amended) for the purpose of constructing and maintaining a sewer disposal system for the participating entities, which include the Town of Blacksburg and Virginia Tech.

The Authority’s Board consists of five members. The Town of Blacksburg and the Board of Visitors of Virginia Tech each appoint one member to the Board; the remaining three members are jointly appointed by the two entities. From time to time, it is necessary to appoint and reappoint members of its Board of Directors in connection therewith.

Current terms for the university’s representative and two of the three at-large members expire January 1, 2024. In anticipation of these term expirations and to ensure appropriate continuity of operations, Virginia Tech desires to reappoint Christopher H. Kiwus as the university’s representative and member of the Authority’s Board of Directors for a new four-year term expiring January 1, 2028. Additionally, Virginia Tech and the Blacksburg Town Council desire to reappoint Raymond D. Smoot, Jr. and Ron F. Rordam as jointly appointed representatives and at-large members of the Authority’s Board of Directors for new four-year terms expiring January 1, 2028. The term of the third jointly appointed representative and at-large member, third, Lucius Merritt, is a four-year term effective January 1, 2022 and expiring January 1, 2026. No action is requested for Mr. Merritt’s appointment, as that would be considered at the recommendation of the university and pleasure of the Board in a future meeting as the term expiration nears.
RESOLUTION ON APPOINTMENTS TO THE BLACKSBURG-VIRGINIA
POLYTECHNIC INSTITUTE SANITATION AUTHORITY

WHEREAS, the Blacksburg-Virginia Polytechnic Institute Sanitation Authority was created January 30, 1962, pursuant to the Virginia Water and Sewer Authorities Act, Code of Virginia (1950, as amended) for the purpose of constructing and maintaining a sewer disposal system for the participating entities, which include the Town of Blacksburg and Virginia Tech.

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. 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, it is necessary to appoint and reappoint members of its Board of Directors in connection therewith; and

WHEREAS, Christopher H. Kiwus, Vice President for Campus Planning, Infrastructure, and Facilities, currently serves as the university’s representative and member of the Authority’s Board of Directors for a term expiring on January 1, 2024; and

WHEREAS, Virginia Tech desires to reappoint Christopher H. Kiwus as the university’s representative and member of the Authority’s Board of Directors for a new four-year term expiring January 1, 2028; and

WHEREAS, Raymond D. Smoot, Jr. currently serves as a jointly appointed representative and at-large member of the Authority’s Board of Directors for a term expiring on January 1, 2024; and

WHEREAS, Virginia Tech and the Blacksburg Town Council desire to reappoint Raymond D. Smoot, Jr. as a jointly appointed representative and at-large member of the Authority’s Board of Directors for a new four-year term expiring January 1, 2028; and

WHEREAS, Ron F. Rordam currently serves as a jointly appointed representative and at-large member of the Authority’s Board of Directors for a term expiring on January 1, 2024; and

WHEREAS, Virginia Tech and the Blacksburg Town Council desire to reappoint Ron F. Rordam as a jointly appointed representative and at-large member of the Authority’s Board of Directors for a new four-year term expiring January 1, 2028; and

WHEREAS, Lucius Merritt serves as the third jointly appointed representative and at-large member in a four-year term effective January 1, 2022 and expiring January 1, 2026; and
WHEREAS, no action is requested for Mr. Merritt’s appointment, as that would be considered at the recommendation of the university in a future meeting as the term expiration nears; and

NOW, THEREFORE, BE IT RESOLVED, that Christopher H. Kiwus, Vice President for Campus Planning, Infrastructure, and Facilities, be appointed as the university’s representative to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors effective January 1, 2024 for the term expiring January 1, 2028; and

BE IT FURTHER RESOLVED, that Raymond D. Smoot, Jr. be named as a joint representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors effective January 1, 2024 for the term expiring January 1, 2028; and

BE IT FURTHER RESOLVED, that Ron F. Rordam be named as a joint representative and member on the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors effective January 1, 2024 for the term expiring January 1, 2028.

RECOMMENDATION:
That the above resolution recommending appointment of the following individuals to the Blacksburg-Virginia Polytechnic Institute Sanitation Authority Board of Directors for terms effective January 1, 2024, and expiring January 1, 2028, be approved: Christopher H. Kiwus, Vice President for Campus Planning, Infrastructure, and Facilities, representing the university; and Raymond D. Smoot, Jr. and Ron F. Rordam each as an at-large member jointly representing Virginia Tech and the Blacksburg Town Council.

August 29, 2023
OVERVIEW OF THE UNIVERSITY’S PHYSICAL ASSETS AND INVESTMENT APPROACH

CHRISTOPHER H. KIWUS, PE, PHD
VICE PRESIDENT FOR CAMPUS PLANNING, INFRASTRUCTURE, AND FACILITIES

August 29, 2023
Overview

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.

Virginia Tech has a 2,800-acre campus in Blacksburg, Virginia; 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 a 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.
Blacksburg

Virginia Tech’s Blacksburg campus consists of approximately 7,000 acres, 13.3 million gross square feet (GSF), and 455 buildings located in Montgomery County.

The campus proper is located in the Town of Blacksburg and consists of 2,800 acres.

The Blacksburg campus, including the Corporate Research Center (a Virginia Tech Foundation, Inc. property), consists of approximately 4.1 square miles. These buildings include 359 Educational and General buildings containing approximately 5.8 million GSF, and 114 Auxiliary buildings containing approximately 5.5 million GSF.

Associated with the Blacksburg campus are 376 buildings containing over 11.3 million GSF (not including two Virginia Tech Foundation, Inc. owned buildings). There are 219 major buildings (≥5,000 GSF and/or normally occupied) and nearly 24 miles of maintained roadways.
ARECs & Virginia Cooperative Extension

Virginia Agricultural Research and Extension Centers (ARECs) serve the commonwealth’s agricultural needs. The 11 ARECs total over 4,600 acres (including roughly 1,400 acres of adjacent leased land) and 227 buildings with approximately 600,000 gross square feet of space. These centers comprise a portion of Virginia’s Agricultural Experiment Station research system.

The Virginia Cooperative Extension provides research-based information to the commonwealth through 108 county and city extension offices and six 4-H education centers.
Roanoke

The New River and Roanoke valleys are linked more tightly than ever thanks to collaborations among Virginia Tech, Carilion Clinic, and other partners. Roanoke is the home to the university’s ninth college, the Virginia Tech Carilion School of Medicine and the adjoining Fralin Biomedical Research Institute at VTC.

Both are part of the VTC Health Sciences and Technology Campus in the Roanoke Innovation Corridor. The city is also home to Virginia Tech Roanoke Center, the Virginia Tech Center for Organizational and Technological Advancement, and the Hotel Roanoke & Conference Center, which is owned by the Virginia Tech Foundation.
Greater Washington, D.C., Metro Area

With facilities, faculty, graduate degrees, and research in the region since 1969, Virginia Tech has a long history in the Washington, D.C., area.

The university offers 45 graduate degree and certificate programs and has facilities in seven Northern Virginia locations. These include the Northern Virginia Center in Falls Church, the Marion duPont Scott Equine Medical Center in Leesburg, the Virginia Tech Research Center – Arlington and Advanced Research Institute in Arlington, Washington-Alexandria Architecture Center in Alexandria, the Occoquan Watershed Monitoring Laboratory in Manassas, and the Middleburg Agricultural Research and Extension Center in Middleburg.

In June 2019, Virginia Tech officials announced plans to build the university’s Innovation Campus, National Gateway, in Alexandria.

The campus’s strategic location, on 15 acres just south of the Four Mile Run stream that separates Alexandria and Arlington, positions Virginia Tech and its future partners near the nation’s capital, diverse industries, and leading tech companies, including Amazon and its HQ2 project.
Leased Land & Facilities

Generally, the leasing of off-campus space by the university is an **interim solution** to space challenges. Off-campus leases are intended to continue only if appropriate university-owned space does not become available, except for those buildings owned by the VTF for long-term use by the university.

Overall, the university leases **approximately 2.3 million square feet** of space (offices, labs, classrooms, residential units, and warehouses) throughout various areas in Virginia, other states, and internationally in Switzerland.

There are **70 leased buildings** containing approximately **1.8 million GSF** that support the main Blacksburg campus.
FACILITIES MANAGEMENT APPROACH

In accordance with university policy, the Vice President for Campus Planning, Infrastructure, and Facilities is charged with the responsibility for the design, construction, and maintenance of the university's buildings and grounds.

To achieve this, the following objectives must be met:

- University facilities must be designed, constructed, renovated, and maintained in accordance with the Virginia Uniform Statewide Building Code, and acceptable accessibility, currently the ADA Accessibility Guideline.
- The university must comply with building permitting procedures developed and enforced by the Office of the University Building Official.
- The design, construction, renovation, maintenance, and repair of university facilities must be accomplished in a manner consistent with the university's master plan, historic preservation concerns, university standards of quality and aesthetics, and environmental health and safety standards.
- The public and private investment in the university's facilities must be protected by providing appropriate control over the manner in which they are maintained and renovated.
- The university's records of its facilities must be kept current.
- The work performed on university facilities must be done by qualified personnel in accordance with legal requirements.

The Division of Campus Planning, Infrastructure, and Facilities provides safe, inclusive, accessible, sustainable, mission-centric, partner-focused, and cost-effective spaces that preserve, foster, complement, and advance Virginia Tech's distinct senses of place and service.
Facilities Investment Approach

Operations and Maintenance Program
• Housekeeping, grounds care, preventative maintenance, service agreements, and routine repairs

Customer Requested Renovation Program
• Program enhancements and improvements requested and funded by campus departments less than $3 million

Facilities Renewal Program
• Program enhancements and improvements funded centrally less than $3 million

Maintenance Reserve Program
• Repairs greater than $25,000 and less than $2 million (roof replacements up to $4 million)

Capital Project Program
• Renovations/replacements greater than $3 million

Facility Condition Monitoring and Assessment Program
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.
OVERVIEW of the
CAMPUS MASTER PLAN

LIZA MORRIS
ASSISTANT VICE PRESIDENT FOR PLANNING AND UNIVERSITY ARCHITECT

August 29, 2023
VT-Shaped Discovery

- VT SHAPED STUDENTS
- INTERDISCIPLINARY TEAMS
- PURPOSE-DRIVEN AND PERSON-CENTERED CURRICULUM

The VT student of 2047 learns by doing, creating, and engaging, service to humanity, and does so not in isolation or as an academic exercise but rather with the support of a community.
PLAN COMPONENTS
PLAN DRIVERS

01 The VT Experience
02 Sense of Place
03 Connections
04 Growth
05 Access for All
06 Sustainability
CAMPUS VISION

01 The Central Spine
02 The Agricultural Belt
03 The Campus Districts
04 Tech + Town
05 The Infinite Loop
06 The Green Links
FRAMEWORKS

01 Academic & Research Framework
ENHANCING LEARNING AND RESEARCH ENVIRONMENTS

02 Strategic Partnerships Framework
EXPANDING STRATEGIC PARTNERSHIPS

03 Campus Life Framework
FOSTERING AN INCLUSIVE CAMPUS LIFE EXPERIENCE

04 Landscape Framework
PROTECTING THE LAND GRANT LEGACY

05 Mobility Framework
PROMOTING ACCESS AND MOBILITY
DISTRICTS

01 NORTH ACADEMIC DISTRICT
02 NORTHEAST & UPPER QUAD DISTRICT
03 CREATIVITY & INNOVATION DISTRICT
04 STUDENT LIFE DISTRICT
05 LIFE SCIENCES & TECHNOLOGY DISTRICT
06 21ST CENTURY LIVING-LEARNING DISTRICT
07 INTELLIGENT INFRASTRUCTURE CORRIDOR

08 PERIPHERAL DISTRICTS
   08 ATHLETICS AND RECREATION

09 GLADE ROAD
10 OAK LANE
MAJOR OUTCOMES

Infinite Loop

Green Links

North Academic Commons
ILLUSTRATIVE PLAN
DISCUSSION
Readahead: Virginia Tech Campus Master Plan earns national recognition for excellence in university planning

BUILDINGS AND GROUNDS COMMITTEE

Tuesday, August 29, 2023

https://vtx.vt.edu/articles/2019/08/ops-masterplanaward.html
Readahead: Virginia Tech’s Blacksburg campus master plan awarded merit for accessible design efforts

BUILDINGS AND GROUNDS COMMITTEE

Tuesday, August 29, 2023

https://news.vt.edu/articles/2021/09/master-plan-award.html
Beyond Boundaries 2047
The Campus Plan

Blackshurg Campus Plan

Beyond Boundaries 2047: The Campus Plan sets out a vision for each of Virginia Tech’s campuses, building off of the goals, objectives and aspirations of the 2016 Beyond Boundaries visioning document.

This volume, the Blacksburg Campus Plan, providing recommendations for physical campus interventions for academics and research, strategic partnerships, campus life, landscape, and mobility. Additional and related volumes cover more detailed studies and recommendations and can be obtained from the Office of University Planning.

Additional volumes include:
- The Accessibility Assessment
- The Agricultural Research and Extension Centers (ARECs) Online Atlas Documentation
- The Blacksburg Plan Technical Appendix
- The Campus Life Report
- The Intelligent Infrastructure for Human-Centered Communities (IIHCC) Partnerships Study
- The Space Utilization Study
- The National Capital Region (NCR) Plan
- The Virginia Tech Carilion (VTC) Academic Health Center Plan

Related volumes include:
- The Campus Wayfinding Master Plan
- The Drillfield Master Plan
- The Energy and Utilities Master Plan
- The Parking and Transportation Master Plan
- The “Stunning Entries” Gateway Study
Consultant Team

Sasaki  |  Lead Consultant

Accessibility Consultants, Inc.  |  Accessibility

AEI  |  Utilities

BRR  |  Building Assessment

Draper Aden  |  Stormwater Management

VHB  |  Transportation
In May 2016, Virginia Tech launched a planning process to develop a comprehensive master plan for its campuses in Blacksburg, Roanoke, and the National Capital Region (NCR). “Beyond Boundaries 2047: The Campus Plan” looks ahead 30 years to the year 2047, the 175th anniversary of Virginia Tech.
In May 2016, Virginia Tech launched a planning process to develop a comprehensive master plan for its campuses in Blacksburg, Roanoke, and the National Capital Region (NCR). "Beyond Boundaries 2047: The Campus Plan" looks ahead 30 years to the year 2047, the 175th anniversary of Virginia Tech.
The Master Plan provides a framework for strengthening Virginia Tech’s place among its national and international peers.
Guided by the **Beyond Boundaries** vision for the future of Virginia Tech, a larger, more globally engaged institution is imagined. Beyond Boundaries 2047: The Campus Plan (The Master Plan) sets out a corresponding vision for each of Virginia Tech’s (VT’s) campuses, building off of the goals, objectives and aspirations of the greater Beyond Boundaries process, and responding to ambitious growth targets and a renewed vision for the institution.

The Master Plan is more than merely an update of the previous master plan; it provides a rethink of how the University can best use the Blacksburg and Roanoke campuses, NCR sites, and Agriculture Experiment and Research Centers (ARECs) to support the evolving mission of the University. The Master Plan provides the first major update of physical planning at Virginia Tech in over thirty years.

The Master Plan is documented in several volumes. This volume provides an overview and details for the Blacksburg campus.
Released in 2016, Beyond Boundaries: A 2047 Vision (Beyond Boundaries) serves as the far-reaching and imaginative visioning framework for Virginia Tech. Drawing from VT’s legacy as a land-grant institution, Beyond Boundaries positions Virginia Tech as a premier global institution of higher education, research, and innovation.

Recognizing the competing duality of an increasing demand for flexible and well-rounded students in today’s knowledge economy and the limitations imposed on public universities by reductions in state funding, Beyond Boundaries calls for creative resource investment aimed at promoting the tripartite land-grant mission of academic excellence, world-class research, and community engagement driven by the university motto, Ut Prosim (That I May Serve).

Beyond Boundaries focuses on three discovery-based themes: VT-Shaped Discovery, Communities of Discovery, and Nexus of Discovery. These topics draw from the human-centered inquiry that is so fundamental to education to ensure that students develop deep disciplinary understanding and broad interpersonal skills, pursue experiential learning and applied research through strategic partnership initiatives, and strive to address complex societal problems. These themes and their implications for the Master Plan are further discussed on the following pages.
VT-Shaped Discovery

Virginia Tech is seeking to transform student learning outcomes and the student experience by educating “VT-shaped” students. The VT-shaped student of 2047 is one that learns by doing, creating, and engaging; one that engages in service to humanity with the support of the broader VT community; and one that works on interdisciplinary teams with a purpose-driven and person-centered curriculum.

The concept of the VT-shaped student builds off of the idea of the “T-shaped” student, a widely-used metaphor in education representing the need for breadth of transdisciplinary knowledge (the horizontal line) and disciplinary depth (the vertical line). The “V” is incorporated to represent Virginia Tech’s commitment to outreach and the application of knowledge through Ut Prosim and the land grant mission. The “V” signifies the importance of experiential, purpose-driven learning and is achieved through a variety of intentional activities that support the curriculum, including undergraduate research opportunities, internships, study abroad programs, and First Year Experiences.
Communities of Discovery

Beyond Boundaries envisions that experiential learning wrapped around an issue, problem, or topic of the community will become the core of the educational experience. To achieve this goal, Communities of Discovery are conceived as opportunities to convene students, faculty, and industry professionals from a variety of backgrounds and specializations to tackle compelling social, technological, and scientific questions.

The Master Plan proposes several physical campus design and programmatic elements to support these communities. Innovation hubs, mirroring urban innovation districts in their mix of uses and compact dynamic form, are intended to facilitate the kinds of serendipitous encounters that spur creative thought and invention. Human-centered smart environments pair immersive augmented or virtual reality spaces with big data analysis, medical imaging, or artistic creation. Enhanced mobility networks such as the Infinite Loop and Green Links (see Campus Vision) allow Communities of Discovery to engage members across the campus by providing improved access, while cross-Commonwealth transit concepts and innovative digital communication technologies are envisioned to further increase the geographic reach of these communities.
Nexus of Discovery

Beyond Boundaries envisions Virginia Tech as a model for cross-cutting learning opportunities, integrating a multitude of academic and institutional lenses through the Nexus of Discovery concept. This distributed approach to problem-solving will serve to strengthen the breadth of student experiences while also positioning Virginia Tech as a premier global research institution.

The Nexus of Discovery concept is embodied in two distinct organizational structures—Destination Areas and Strategic Growth Areas—both of which serve to direct learning and collaboration across Virginia Tech. The Master Plan seeks to translate these programmatic concepts to the physical realm through the creation of spatial arrangements that are designed to encourage innovation and new working relationships that go beyond established disciplines.

Innovation districts, collaboration hubs, and a more deliberate integration of living and learning environments are envisioned. Environments that enable students to explore the full range of what Virginia Tech has to offer with the guidance and direction that lead to academic success are imagined. This reimagining of the student experience and the physical environments that contribute to the quality of that experience are integral to the plan.

DESTINATION AREAS

Destination Areas focus on complex problems through research, education, and engagement. They connect the breadth of relevant knowledge necessary for comprehensive planning while transcending traditional academic boundaries, such as those that separate science, technology, engineering, mathematics and the liberal arts.

The Destination Areas provide faculty and students with new tools for identifying and solving complex problems in areas focused on Virginia Tech’s strengths and in areas where the University can take a global leadership role. The intent is to position Virginia Tech as an international destination for talent, partnerships, transformative knowledge, and discoveries. To that end, partnerships with industry, government, and communities open up new opportunities for collaboration and funding.

The Master Plan proposes specific programmatic recommendations for the various Destination Areas while recognizing that the names, focuses, and compositions of each Destination Area are likely to be refined as they continue to develop.

STRATEGIC GROWTH AREAS

Strategic Growth Areas are similar to Destination Areas in structure but are of smaller scale and aim for regional or national leadership opportunities.
Work on the Master Plan began in the spring of 2016 as part of an in-depth Commonwealth-wide process. In addition to physical planning for Virginia Tech’s flagship Blacksburg campus—the focus of this document—the Master Plan’s other volumes generate recommendations for student life and space programming elements in Blacksburg and set forth plans for VT’s additional campuses in Roanoke and the National Capital Region.

This volume focuses on the comprehensive series of strategies recommended to translate the goals of Beyond Boundaries into the physical form and layout of the Blacksburg campus. References to other volumes of the Master Plan are provided within this text where further detail is required.

These additional volumes focus on specific elements of the Blacksburg campus and provide plans for VT’s other properties throughout Virginia. Related plans completed outside the scope of the Master Plan, are also referenced throughout this document where appropriate.

**Master Plan Volumes**

**BLACKSBURG**

› The Blacksburg Campus Plan (this document) lays out a vision for the next 30 years of development on VT’s flagship campus, covering broad recommendations for academic, partnership, campus life, landscape, and mobility strategies.

› The Blacksburg Plan Technical Appendix provides detailed recommendations on utilities and infrastructure, stormwater management, and mobility.

› The Space Utilization Study volume analyzes the utilization of academic, student life, and administrative space on campus and discusses methods for increasing efficiency and improving experience.

› The Campus Life Report takes an in-depth look at the programming and layout of Blacksburg’s student housing, social and study spaces, and dining and recreation facilities.

› The Accessibility Assessment highlights opportunities for improving site-level ADA-compliance across the exterior of the Blacksburg campus.

**COMMONWEALTH**

› The Virginia Tech Carilion (VTC) Academic Health Center Plan lays out the physical needs of a burgeoning partnership between VT and Carilion Clinic in Roanoke.

› The National Capital Region (NCR) Master Plan makes recommendations for VT’s holdings in Northern Virginia.

› The Intelligent Infrastructure for Human-Centered Communities (IIHCC) Partnerships Study recommends strategies for realizing the IIHCC vision through strategic partnerships.

› The Agricultural Research and Extension Centers (ARECs) Online Atlas Documentation catalogs the extents and uses of VT’s agricultural research stations throughout the Commonwealth via a dynamic web-mapping tool.

**Related Documents**

› Energy and Utilities Master Plan
  Strategies laid out in the Master Plan have been shaped by, and further refine, the findings of the Energy and Utilities Master Plan based on updated development needs.

› Parking and Transportation Master Plan (PTMP)
  Strategies laid out in the Master Plan have been shaped by, and further refine, the findings of the PTMP

› Drillfield Master Plan

› “Stunning Entries” Gateway Study

**Recommended Future Studies**

› Campus Lighting

› Expanded ADA Assessments

› Universal Design Guidelines

› Campus District Design Guidelines
The Master Plan
Beyond Boundaries: The Campus Plan

Blacksburg Campus Plan

Accessibility Assessment
Space Utilization Study
Campus Life Report

National Capital Region (NCR) Plan

Related Planning Efforts
Drillfield Master Plan
Parking & Transportation Master Plan

ARECs Online Atlas
Community Documentation

Energy & Utilities Master Plan
Campus Wayfinding Master Plan
Gateway Study Plan

VTC Roanoke Academic Health Center Plan

IIHCC Partnerships Study

Technical Appendix

FINAL DRAFT | NOVEMBER 2018
The master planning process for the Blacksburg campus consisted of three phases, beginning with a series of stakeholder interviews, site visits, and research undertakings aimed at uncovering existing conditions and future needs.

Future development alternatives designed to respond to these needs were explored and discussed with members of the VT community through meetings, workshops, and presentations in the second phase. A detailed record of community outreach and engagement is available in the separate Technical Appendix. This complex and collaborative process resulted in the final plan, laying out a vision for the next 30 years of Virginia Tech’s Blacksburg campus that is at once aspirational and attainable, full of possibilities and pragmatism, and tailored to position Virginia Tech as a premier global institution of higher education.

Developed through an iterative and collaborative process, the Master Plan remains a living document, designed to adapt to future conditions and demands. Continued engagement from the entire VT community will be needed as elements of the plan are implemented and the plan continues to evolve.

**Phase 1: Discovery and Analysis**

The discovery and analysis phase of the Master Plan involved the collection and synthesis of a variety of quantitative and qualitative data gleaned from a multitude of sources. These studies focused on the people of Virginia Tech, the distribution and uses of campus spaces, and the environmental conditions that shape the physical form of the campus and the behavior of its users.
Critical to gaining a deep understanding of the University’s needs was the series of work sessions and public meetings with campus stakeholders undertaken during this process. Feedback provided at these events yielded insight into the daily personal experiences of a diverse group of campus users, allowing for a richer and more comprehensive view of campus conditions and community desires.

**PHASE 2: CONCEPT ALTERNATIVES**

Drawing from the information gathered during the discovery and analysis phase, the designs and ideas generated during the concept alternatives phase informed the development of the Master Plan. Options for campus form, building use, circulation, and overall land use were presented to members of the VT community in order to advance a preferred plan concept. The resulting plan is a hybrid of the initial alternatives, combining the most appropriate elements into a cohesive path for the future of the Blacksburg campus.
Phase 3 of the process focused on the refinement and documentation of the preferred concept alternative which was further modified to meet the dynamic needs of the VT community through additional work sessions and meetings, including digital representation of the plan on a physical campus model with 3D terrain and a 360-degree immersive presentation in The Cube theater at VT’s Moss Arts Center. This report and its supporting graphics and appendices will serve to guide the incremental implementation of the Master Plan over the next 30 years.

By projecting 360-degree images of select plan recommendations onto the cylindrical screens of the Cyclorama at the Moss Arts Center, members of the VT community were able to understand the future of the campus in an innovative and experiential way.
READING THE PLAN

The chapters of this report align with the organizational structure of the Master Plan and present the plan’s recommendations at a variety of scales.

The Plan Drivers chapter discusses the present conditions and context of Virginia Tech’s campus and the master planning process. Drivers give direction to the plan and serve as benchmarks for all recommendations.

The Campus Vision chapter covers the overall design structure of the campus and lays out the key interventions of the Master Plan.

The Frameworks chapter deals with the thematic groupings of related campus-wide strategies, from academics to campus life to mobility. The frameworks are driven by aspirational principles aimed at translating VT’s strategic goals into physical interventions.

Recommendations are also explored in place-based detail in the Districts chapter. Districts group programmatically compatible facilities into geographically proximate layouts, each with their own distinct character.

Specific recommendations for accessibility and sustainability are covered in the Accessibility Outcomes and Sustainability Outcomes chapters, respectively.

To better describe how the components of the Master Plan can be carried out, the Phasing chapter provides details on the potential phasing of future development and utilities considerations. This chapter is currently under development pending coordination between the appropriate University offices.

The Appendices section provides additional details on VT’s historic properties.

The Technical Appendices companion document, not included in this report, contains several technical memos which better explain the Master Plan’s strategies for utilities and infrastructure planning, mobility planning, and stormwater management and documents the extensive community engagement process undertaken during the creation of the plan.

As members of the VT community read this report, it is important to keep in mind that the Master Plan is not a construction document. The detailed design of elements set forth in this report will require specific design processes with their own discovery, analysis, and engagement phases. Indeed, future planning-level studies are recommended for elements like campus lighting strategies, detailed accessibility improvements, and design principles for each of the Districts.

The Master Plan is a living document, designed to provide development recommendations that are both driven by an understanding of current needs and flexible enough to adapt to future conditions.
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Plan Drivers

02
The Plan Drivers support the goals of Beyond Boundaries, the 2016 visioning document, and respond to the overarching elements important to the planning and design of the Blacksburg campus.

They represent a synthesis of the existing conditions and formative considerations of the Blacksburg campus. The Plan Drivers serve as the impetus for the creation of the Master Plan and help to give it direction and purpose.

Each Driver is expressed in the form of an aspirational goal for the Blacksburg campus and VT’s locations across the Commonwealth. These goals direct the recommendations of the Master Plan towards the achievement of meaningful results.

**The VT Experience**
Enhance the sense of community for an increasingly diverse population by providing environments that encourage social, cultural, and academic engagement for resident students, commuter students, faculty, staff, and partners.

**Growth**
Create academic, research, and campus life facilities to accommodate a larger campus population and support the collaboration, innovation, and partnership objectives of the University in a sustainable and efficient manner in order to promote VT as an internationally recognized global land-grant institution.
Sense of Place
Acknowledge the established and highly-valued identity established by the architecture and landscape of the campus by means of appropriate renovation, infill development, and landscape improvements while addressing the need for flexible environments that support collaboration, engagement, and innovation.

Connections
Provide an integrated mobility strategy emphasizing inclusive access, bicycles, and transit connectivity within the campus and to the surrounding neighborhoods in Blacksburg while improving physical and virtual connections to facilitate a more distributed VT community across the Commonwealth and at the University’s global engagement hubs.

Access for All
Establish a comprehensive and coordinated network of campus-wide circulation routes to be used by all members of the VT community, and recommend future studies to address issues of access and Universal Design that go beyond the scope and level of detail of the Master Plan.

Sustainability
Pursue enhanced environmental quality, economic stability, and social equity across the Commonwealth while serving as a model community for a sustainable society through spaces and programs that demonstrate commitment to ecological stewardship, efficient facility design and operation, and inclusivity and diversity.
Developing a campus environment to support the Virginia Tech Experience is a key driver of the Master Plan.

As noted in Beyond Boundaries - A 2047 Vision, the VT Experience highlights the University’s commitment to providing opportunities for deeper learning, allowing students to grow as individuals and encouraging leadership and community engagement through the university motto, *Ut Prosim* (That I May Serve).

The Master Plan provides spaces on campus to enhance the VT Experience and better support student learning wherever it happens—spaces referred to as VT-Shaped Spaces. VT-Shaped Spaces serve as the physical embodiment of the VT-Shaped Student, encouraging educational breadth and depth and building a sense of community.

These spaces include mixed-use environments with academic, research, and campus life elements; flexible and shared learning spaces; opportunities for interaction with local industry partners; spaces for outdoor recreation; collaboration hubs, fusion labs, and maker spaces; comprehensive mobility corridors, and public spaces that extend experiential learning opportunities.

**MIXED-USE ENVIRONMENTS**

While organized into distinct districts with specific programmatic concentrations, the campus is envisioned as a collection of mixed-use environments. These comprehensive communities incorporate multiple aspects of the VT Experience, including academics, research, student life, and outreach activities. The Master Plan integrates these uses across buildings, open spaces, and circulation routes, creating a holistic approach to the future of higher education.
FLEXIBLE LEARNING SPACES

As new models of delivering education are developed, learning spaces must continue to adapt. Virginia Tech’s academic spaces will respond to changes in pedagogy—both anticipated and unforeseen—through the use of flexible arrangements. These innovations, including interactive media and digital technologies, hands-on group study spaces, and creativity-driven collaborative studios, will position the University to provide high-quality, experiential learning well into the future.

TECH-TOWN

The VT Experience extends beyond the boundaries of the campus to include the amenities of nearby Downtown Blacksburg and the opportunities for partnership that proximity brings. As the University continues to grow, especially in the outward-facing Creativity & Innovation District, a strong relationship with the Town will be crucial to maximizing investments and promoting collaboration. Opportunities for Tech & Town interaction are also possible in other districts with a strong connection to their surroundings, such as the Northeast District and North End Center, the Glade Road District, and the Intelligent Infrastructure Corridor.
HEALTH & WELLBEING

The VT Experience leverages the unique, natural setting of the campus to promote healthy lifestyles. The Master Plan proposes improved circulation networks to connect to existing trail systems and expands active and passive recreational opportunities. Further, the major environmental amenities of the campus such as the Duck Pond, Stroubles Creek, and existing forested areas are celebrated and enhanced, strengthening VT’s rural character and contributing to users’ spiritual wellbeing.

COLLABORATION HUBS

Aimed at strengthening the connections between students, faculty, and staff, the VT Experience necessitates spaces for cross-pollination of ideas in order to spur innovation. Collaboration hubs proposed throughout the campus provide opportunities for discussion, invention, and demonstration and support new models for interaction and exploration.
COMPLETE STREETS

Opportunities for interaction occur not only within campus facilities, but also along major circulation routes. To that end, the Master Plan proposes the use of complete streets, integrating multiple modes of travel and prioritizing non-auto transportation. In this way, enhancing users movement across campus serves to extend the VT Experience beyond the walls of University buildings.

PUBLIC REALM

In addition to paths of travel, the broader public realm of the campus is envisioned as a primary setting for strengthening the Virginia Tech Experience. In particular, the inclusion of diverse amenities such as outdoor gathering spaces, recreation considerations, and dining providers within campus open spaces is supported by investments in improved accessibility and a dedication to the creation of vibrant, multi-use landscapes.
The Blacksburg campus is defined by its location in Virginia’s Blue Ridge and Allegheny Mountains and the ridges and valleys that shape the open space and development patterns of the campus—patterns that follow the region’s dramatic topography and natural systems including the three forks of Stroubles Creek that traverse the campus.

These underlying patterns inform the open space and landscape structure of the campus with the Drillfield occupying a key location along the main axis. The formality of this axis continues eastward to Main Street along the ceremonial entrance of Alumni Mall.

The physical character of the Blacksburg campus reflects its chronological and stylistic development as an institution, signifying periods of history, pedagogical trends, programmatic directives, and aesthetic selectivity. Such factors shape the “sense of place” present today—a sense of place for which the University is well known and remembered.

The predominant themes of “place” that define the campus came into favor during 1920s and ’30s: Collegiate Gothic architecture and a consistent use of Hokie Stone as a building material. Today, buildings around the Drillfield reflect this Collegiate Gothic style, complete with the characteristic rough Hokie stone, lancet-arched doors and windows, and corner towers. This style dominates the campus architecture, except for a few buildings constructed in the late 1960s and early 1970s.

Across the campus, there are several primary aspects of form that define the “sense of place” and account for VT’s basic spatial structure. These include the bowl shaped topography of the Drillfield, the arrangement of buildings in upland areas around quadrangles, and the central axis comprised of Alumni Mall, the Drillfield, and the Duck Pond. Collectively, these aspects of form create a campus that generally is unified and coherent—a balance and dialogue between buildings and landscape. A pattern of quadrangles and plazas create a repetitive theme that is subordinate to the larger monumental spaces of the campus such as the Drillfield and the Duck Pond.
Connections between people, ideas, and places are central to the recommendations of the Master Plan.

The Master Plan focuses on enhancing connections within the Blacksburg Campus as well as across Virginia Tech’s campuses and establishes a vision for operating Virginia Tech as one entity. To highlight these strong cross-Commonwealth connections, VT often refers to its campuses as a “binary star,” with activities in Blacksburg and Roanoke representing one center of gravity and those in the National Capital Region (NCR) representing the other.

Blacksburg continues to be viewed as the flagship campus for the undergraduate student experience and for core academic and research programs. Roanoke is envisioned as the center for health-related professions, medical research, and related business and industry partnerships. The NCR sites, forming the second “star,” are planned for programs, research, and other activities that benefit from proximity to Washington, D.C.

The Master Plan establishes a strong identity in which all VT locations contribute to a new definition of the Virginia Tech Experience informed by innovative ideas for connecting the campuses through transportation and telecommunication, including telepresence, augmented reality, virtual environments, and complex systems simulations.
Growth

Drawing from the University’s strong land grant legacy, The Master Plan envisions a Blacksburg Campus that celebrates its history while improving access to higher education for a diverse and growing population.

Campus History and Change

Established as Virginia Agricultural and Mechanical College in 1872, Virginia Tech was founded as a land grant institution under the auspices of the 1862 Morrill Act. In addition to teaching the agricultural and mechanical arts, the school served as a military institute, resulting in the prominent location of the Drillfield, now the central campus open space and a major organizing element of the campus layout.

As Virginia Tech’s academic mission has evolved, so too has its campus. Through the late 19th and early 20th centuries, the campus consisted of only a handful of buildings and occupied fewer than 100 acres between downtown Blacksburg’s Main Street and the Duck Pond of the former Solitude Farm.

By the end of World War II, the campus had more than doubled in size and the school changed its name to Virginia Polytechnic Institute. Additional buildings organized around The Drillfield served the expanding mission and began to create the now-familiar Campus Districts with academic uses to the north and student life uses to the south.

In 1970, the school name changed again to the current Virginia Polytechnic Institute and State University (Virginia Tech, for short), and the campus again doubled in size to nearly 500 acres with additional buildings and landholdings south of Washington Street.

Today, the campus spans over 2,600 acres and boasts 125 buildings containing nearly 12 million gross square feet, 4.6 million of which (38%) has been constructed since 1997, largely through infill in the campus core.

The Master Plan seeks to build off of this pattern of growth in a way that meets the needs of a growing 21st century global land grant institution while preserving the rural character of the campus setting through sustainable infill development.

Enrollment Growth and Diversity

The Master Plan responds to significant anticipated growth in enrollment. Proposed growth targets, if achieved, mean a faster rate of growth than Virginia Tech has experienced in decades.

Growth to 30,000 undergraduates in Blacksburg by 2023 and the potential to grow beyond that level will generate a need for additional teaching and student life space. It is important to remember that growth in STEM-H areas impacts all colleges through both major enrollments and service courses.

Each college is expected to experience growth, but as pedagogies evolve towards more interdisciplinary work, an understanding of relationships and collaborations between colleges and faculty members, including the Destination Areas and Strategic Growth Areas, will be even more important and will require shared spaces to support interdisciplinary experiences.

In addition to overall anticipated enrollment growth, Virginia Tech expects to attract increasing student diversity. Since 2007, Virginia Tech’s student body has become more racially diverse with the proportion of students self-identifying as non-white increasing from 30% to 37%.

The Master Plan addresses increasing diversity through the design and programming of inclusive, collaborative spaces throughout the campus.
Access for All

Virginia Tech is committed to providing an accessible and inclusive campus for the VT community. This requires examining multiple aspects of campus design and operations as well as recommending future planning and design studies that go beyond the level of detail addressed in this Master Plan, which is focused on exterior or site level recommendations.

Recommended future planning and design studies include the development of Universal Design principles to address a broader range of considerations that go beyond just physical access.

Master Plan Scope

The Master Plan provides high-level integrated planning strategies for the campus natural systems, landscape, building placement and renovation, infrastructure, and circulation networks, including exterior accessibility issues. The scope of the Master Plan focuses on “access for all” in the exterior environment of the Blacksburg Campus. The goal over time is to establish a network of barrier-free circulation routes for use by all members of the campus community. This requires strategies for addressing the significant topographic conditions of the campus and the barriers identified in the separately documented Accessibility Assessment.

The establishment of a barrier-free circulation network is supported by two design strategies that respond to the topography of the campus: the Green Links and the Infinite Loop. The Links and the Loop are designed to eliminate stairways, vertical impediments, and pathways with more than a five percent slope, thereby minimizing the need for handrails and ramps.

Additional information about the Infinite Loop and the Green Links is available in the Campus Vision, Landscape Framework, and Mobility Framework sections of this report. For more detail on the Master Plan’s accessibility recommendations, refer to the Accessibility Outcomes chapter.
The Master Plan responds to the charge set out by VT at the beginning of the planning process to evaluate the exterior circulation conditions of the campus relative to the requirements of the Americans with Disabilities Acts (ADA) Standards for Accessible Design.

To that end, an evaluation, or Accessibility Assessment, of existing exterior campus circulation routes and conditions in the campus core is one of several detailed assessments completed as part of the planning process. The findings of the Accessibility Assessment are documented in a report completed in March of 2017 by Accessibility Consultants, Inc. of Arlington, Virginia. This report is on file with the Office for Equity and Accessibility and is being used by VT to inform a range of ongoing and future exterior projects.

**SCOPE OF ACCESSIBILITY ASSESSMENT**

- Pedestrian routes from public streets and sidewalks
- Pedestrian routes from accessible parking spaces to accessible entrances
- Pedestrian routes between buildings
- Bus and shuttle stops
- Sidewalks
- Entry area loading and unloading zones
- Curb Ramps
- Ramps
- Barriers
- Protruding objects and head clearance obstructions
- Accessible entry door signage
- Wayfinding and signage
Sustainability

In 2009, the Virginia Tech Board of Visitors approved the Virginia Tech Climate Action Commitment (VTCAC) and an accompanying Sustainability Plan. These efforts led to the creation of the Office of Energy and Sustainability to oversee the implementation of the VTCAC and to track VT's commitment to sustainability.

The VTCAC establishes targets for the reduction of greenhouse gas emissions, emphasizes energy efficiency, promotes recycling and alternative transportation, commits the University to LEED Silver certification or better for all new construction and major renovation projects, and calls for continued student engagement in campus sustainability. Information on the current status of VT's sustainability metrics and initiatives is available on the Office of Energy and Sustainability website.

What is Sustainability?

Sustainability is the simultaneous pursuit of environmental quality, economic prosperity, and social justice and equity through action, education, and engagement to address current needs without compromising the capacity and needs of future generations.

Virginia Tech’s Sustainability Mission

Virginia Tech serves as a model community for a sustainable society. Sustainability is an integral part of the fabric of the University as it pursues enhanced economic stability and affordability, diversity and inclusion, environmental stewardship, expansion of knowledge, and education of future leaders.

Sustainability & The Master Plan

Sustainability strategies laid out in the Master Plan consist of both broad recommendations and specific themes aimed at advancing VT’s Sustainability Mission through the physical form of the Blacksburg Campus. Details on these approaches are discussed in the Sustainability Outcomes chapter.
Since moving forward with the VTCAC and Sustainability Plan, Virginia Tech has transitioned to the Sustainability Tracking Assessment & Rating System (STARS). Designed to assist institutions with sustainability planning utilizing defined standards, goal-setting, and implementation, STARS provides a framework for adopting the best sustainability strategies and for sharing information among a network of institutions.

STARS resulted from an Association for the Advancement of Sustainability in Higher Education (AASHE) led collaborative effort to develop a standardized system by which higher education institutions could measure their progress toward sustainability. Using this self-assessment and rating system, institutions like Virginia Tech can benchmark their sustainability progress over time and compare results with other institutions.

VT has been recognized for its achievements in sustainability through the STARS rating on several occasions, including its most recent gold rating in 2018.

### STARS Rating Categories

#### 1. Education and Research
- Co-curricular education
- Curriculum
- Research

#### 2. Planning, Administration & Engagement
- Coordination and planning
- Diversity and affordability
- Human resources
- Investment
- Public engagement

#### 3. Innovation
- Creative solutions and initiatives unique to an institution

#### 4. Supplemental
- Student orientation
- Food education
- Bike sharing

#### 5. Operations
- Buildings - operations and maintenance, building design and construction, and indoor air quality
- Climate - greenhouse gas emissions inventory, GHG reduction, air travel emissions, and local offsets
- Dining services - food and beverage purchasing, tray-less dining, vegan foods, pre- and post-consumer waste composting, etc.
- Energy - building energy consumption, clean and renewable energy, energy management systems, energy metering, etc.
- Grounds - integrated pest management, native plants, wildlife habitat, Tree Campus USA
- Purchasing - computers, cleaning products, office paper, etc.
- Transportation - campus fleet, modal split, bike sharing, transit, etc.
- Waste - waste reduction and diversion
- Water - water consumption, stormwater management, metering, etc.
Virginia Tech’s Sustainability Goals

The VTCAC lays out the following University-wide sustainability goals:

1. VT will be a leader in Campus Sustainability
2. VT will ensure that the VTCAC is reflected in the Strategic Plan for the University
3. VT will reduce greenhouse gas (GHG) emissions to the 2000 emissions level of 255,000 by 2025 and to 38,000 tons—80% of the 1990 level—by 2050
4. VT will improve energy efficiency, reduce energy waste, and replace high-carbon fuels
5. VT will maintain the Office of Sustainability
6. VT will pursue LEED Silver certification or better for all eligible and applicable new buildings and major renovations and will evaluate the feasibility of LEED for existing buildings certification for its existing buildings
7. VT will strive for improved electricity and heat efficiency by exceeding the most current version of the ASHRAE 90.1 standard performance metric by 10% for all new buildings and major renovations; capital budgets will account for future energy price, life-cycle cost of building operation, and environmental benefits of achieving this level of performance.
8. VT will work towards a 50% recycle rate by 2020
9. VT will make smart purchases by purchasing or leasing Energy Star rated equipment and by considering the life-cycle costs and impacts of potential purchases
10. VT will engage students, faculty, and staff to develop and implement innovative strategies for the efficient and sustainable use of energy, water, and materials in all University-owned facilities
11. VT will aim for transportation efficiency through parking, fleet, and alternative transportation policies and practices
12. VT will develop and implement innovative sustainability-related academic programs in instruction, research, and outreach
13. VT will monitor energy use and GHG emissions and change internal and external conditions and will prepare an annual "report card" showing progress towards targets
14. VT will provide funding to support sustainability programs
Emissions Goal: reduce emissions to 80 percent of 1990 levels by 2050

Fuel Source Goal: 80 percent natural gas + 20 percent coal

Renewable Energy Goal: provide 10 percent renewable energy

Recycling goal: increase recycling rate to 50% by 2025
The Master Plan establishes a vision for a vibrant campus rooted in the history and traditions of the university, the unique sense of place, and the academic, research, and partnership initiatives of Beyond Boundaries.

The Master Plan’s vision is based on the broad goals established for Virginia Tech in the Beyond Boundaries visioning document and responds to the Plan Drivers. It is organized around six Key Elements focused on specific design interventions aimed at addressing the present and future needs of the VT community.

These Key Elements build on the existing physical assets of the campus and seek to combine VT’s land grant legacy with its goals of becoming a 21st century global institution.
02: The Agricultural Belt

03: The Campus Districts

05: The Infinite Loop

06: The Green Links
The Central Spine

Comprised of Alumni Mall, the Drillfield, the Duck Pond, the riparian corridor of Stroubles Creek, and the Meadow landscape west of the Inn, the Central Spine visually defines the VT campus, helping to organize the siting and character of development and highlighting the historic natural spaces of the campus.

The Master Plan enhances the Central Spine through comprehensive planting, stormwater, and circulation strategies. Strategies include respecting and enhancing the legacy of these iconic spaces, reimagining how the campus community interacts with these landscapes, utilizing the spaces for strategic research initiatives, and introducing ecological design and sustainable maintenance principles. See the Landscape Framework for more details.
The Agricultural Belt

In order to preserve the agricultural legacy and rural character of the VT campus, the Agricultural Belt maintains land west of the Western Perimeter Road as pasture and agricultural land.

This land is intended for use by the College of Agriculture and Life Sciences, the College of Veterinary Medicine, the College of Natural Resources and Environment, and other land-intensive needs. The retention of agricultural land recognizes the practical need for a contiguous and diverse land resource to support the land grant mission.

This strategy utilizes the Western Perimeter Road (WPR)—a planned arterial designed in coordination with VDOT to relieve traffic pressure from West Campus Drive by connecting Prices Fork Road to Southgate Drive—as a growth boundary for the University’s expansion.

The goals of the Agricultural Belt policy are:

› Ensure that land in close proximity to the academic core is available to support educational and research activities
› Meet the land requirements associated with stormwater management
› Establish a landscape buffer along the periphery of the campus with the intent of preserving the rural character of the campus when viewed from U.S. 460, an increasingly important consideration as the Blacksburg area is developed.

Preserving the natural setting of the campus benefits not only the VT community, but the University’s neighbors as well. This is especially true of the Smithfield Plantation, which is located within the Agricultural Belt.

The Master Plan also recommends that the University identify an opportunity to showcase its agricultural roots in an aesthetically sensitive way within the Agricultural Belt to celebrate and bring greater visibility to its agricultural heritage. See the Landscape Framework for more details.
The proposed Western Perimeter Road (WPR) serves as a campus growth boundary and is characterized by linear reforestation efforts.

SMITHFIELD PLANTATION
The Smithfield Plantation remains buffered from campus development and benefits from the preservation of its rural surroundings.

CAMPUS VISUAL IDENTITY
Views of the Agricultural Belt from U.S. 460 highlight VT’s rural heritage.
The Master Plan organizes the campus into a series of distinct Districts. Each District has a unique character based on the existing and proposed programming it contains.

From the classroom and research facilities in the North Academic District, to the design and collaboration spaces of the Creativity & Innovation District, to the residence and dining halls of the Student Life District, the uses of each District are structured around common themes. Yet while each District is unique, they all contain the kinds of dynamic social spaces and active landscape elements that spur community building and innovation. See the Districts chapter for more details.
Just as the Agricultural Belt serves to link the VT campus to its rural surroundings, the proposed development in the eastern Districts of the campus seeks to engage downtown Blacksburg as a crucial element of the Virginia Tech community.

Through the design of spaces and facilities that support collaboration and broad community engagement, the Master Plan pursues a strong Town-and-Gown—or “Tech & Town”—vision to better connect VT and Blacksburg. Programming in these Districts should seek to complement existing uses in Downtown Blacksburg and should leverage the retail and dining amenities provided by local merchants adjacent to this area. In addition, the Tech & Town concept indicates the importance of coordination with the Town of Blacksburg during the planning and design of campus development, infrastructure, and programming in situations where the Town is impacted.

Refer to the Strategic Partnerships Framework, Creativity & Innovation District, and Glade Road District sections of this report for more information.
This new landscape is envisioned as both a social gathering space and an opportunity for active stormwater management.

HENDERSON LAWN
Henderson Lawn continues to be a space where Virginia Tech and the Town of Blacksburg come together and serves as a “town square” for both of these communities.

FARMER’S MARKET
This critical existing amenity will continue to play an important role in serving fresh food, supporting local agriculture, and creating a space for social gathering.

MAIN STREET
Development of the CID by Virginia Tech will spur additional investment along Blacksburg’s Main Street.

CID GREEN
This new landscape is envisioned as both a social gathering space and an opportunity for active stormwater management.
The Infinite Loop

The Infinite Loop is imagined as an “outer ring” to the iconic Drillfield linking existing and future academic, research and residential Districts. Conceptually, it is intended to assist the University in providing access for all members of the campus community and addressing sustainability objectives.

The Infinite Loop (the Loop) is designed to facilitate access for all by eliminating slopes exceeding five percent as well as other vertical impediments to movement. It is woven into the system of north-south Green Links. Collectively the Loop and the Links establish an armature for creating a circulation network that serves the needs of all campus users.

The Loop contributes to the fitness goals of the University by encouraging active transportation. It is designed as a promenade connecting existing and proposed Campus Districts as well as the Campus Commons in those Districts. The Loop is configured to facilitate bicycle access to the various Districts of the campus and is an important component of the proposed regional bike share program.

The Loop provides a rich environment for testing and demonstrating unique infrastructural technologies, including autonomous vehicles and other advanced mobility solutions.

Social spaces are partnered with recreation amenities along the Duck Pond.
The GSS Commons is located to serve the graduate population engaged in research activities in the LS&T District.

Owens Hall is replaced with a larger, upgraded facility equipped with dining, ballroom, and lounge spaces.

This popular dining facility is enhanced to include an outdoor dining terrace and additional gathering spaces.

A satellite commons in the existing Bookstore building serves the CID.

The transformation of Cowgill and Burchard Halls into the North Academic Commons takes advantage of the district’s large daytime population.

Burchard Plaza is reimagined as an enhanced “town square” for the entire North Academic District.

The GSS Commons is located to serve the graduate population engaged in research activities in the LS&T District.
The Green Links are proposed as part of a comprehensive strategy to make the campus more accessible for all campus users and to provide a framework for addressing the challenges identified in the 2017 Accessibility Assessment.

The Green Links extend through the Drillfield to provide access for all members of the campus community where challenging topographic conditions exist. They are envisioned as landscape corridors with slopes of five percent or less featuring meandering paths with shade trees, other landscape elements, and stormwater management strategies where appropriate. The Green Links extend through the Drillfield to provide access for all members of the campus community where challenging topographic conditions exist.
The Central Link intersects with the Infinite Loop near the MMTF and a reimagined Cowgill Lawn.

Over the long-term, when Randolph is redeveloped, the East Link is designed to continue northward on axis with the Norris-Holden portal.

The West Link follows the western edge of Dietrick and connects with the southern extents of the Central Link at Dietrick Lawn.
Frameworks
A Framework is not a final design, but indicates design direction and strategies to help create a physical environment where the campus community can thrive.
The Master Plan’s recommendations are organized around six thematic Frameworks for the future of the campus which collectively contribute to a comprehensive and coordinated guide for incremental change.

These Frameworks combine to provide an integrated and comprehensive structure for development and change across the campus. They draw from the Master Plan Drivers, the Key Elements of the Master Plan Vision, and three complementary development themes:

1. The continued concentration of development in the established Districts surrounding the Drillfield
2. The creation of new Districts adjacent to and connected to the Drillfield
3. The protection of the open rural land outside of the established core

The Frameworks are predicated on balancing development in the Districts with Virginia Tech’s rural character, reflecting its heritage as a land grant institution. Maintaining this balance supports the missions of the College of Agriculture and Life Sciences and the College of Veterinary Medicine, utilizes campus land efficiently, and promotes a more sustainable pattern of development.

Concentrating development in established and new Districts surrounding the Drillfield will:

- Strengthen an active, lively campus environment
- Reinforce the pattern of human-scaled quadrangles
- Maintain reasonable walking distances within and between Districts
- Minimize the need for extending utilities
- Avoid sprawl and utilize land efficiently
- Establish a sustainable pattern of development.

The Frameworks are designed specifically to be flexible enough to adapt to evolving University strategic priorities and emerging funding opportunities.
The Frameworks cover a comprehensive array of campus topics, from strategies for organizing human activities to methods for addressing landscape and mobility systems. Each Framework is driven by an aspirational principle highlighting the intent of its recommendations.

1. Academic & Research Framework
   **ENHANCING LEARNING AND RESEARCH ENVIRONMENTS**
   The Master Plan provides recommendations for facility renovation, replacement, and construction to address both the practical needs and aspirational goals of the colleges and schools. Transdisciplinary collaboration is promoted through new facilities to support the Destination Areas and Strategic Growth Areas identified in *Beyond Boundaries*.

2. Strategic Partnerships Framework
   **EXPANDING STRATEGIC PARTNERSHIPS**
   The outward focus for the University established in Beyond Boundaries is reinforced in the Master Plan by the proposed Destination Areas and public-private partnership facilities designed to facilitate engagement and collaboration between Virginia Tech faculty and students, private sector business partners, outside organizations, and public sector agencies.
Campus Life Framework

FOSTERING AN INCLUSIVE CAMPUS LIFE EXPERIENCE

To encourage engagement in the VT Experience, a distributed network of campus commons is proposed to provide social and collaboration spaces for an increasingly diverse University population.

In response to the scale of the campus and the distributed nature of the population, a network of campus commons, food service, and recreation facilities is proposed to enhance the daily routines and mobility patterns of the resident student, commuter student, faculty, and staff populations.

Landscape Framework

PROTECTING THE LAND GRANT LEGACY

Virginia Tech’s legacy as a land grant institution is evident in the agricultural and pasture lands of the Blacksburg Campus. These lands serve as the labs for agricultural life sciences and natural sciences across all colleges. The Master Plan protects these lands and the natural systems of the campus in support of the programs that rely on these resources and to protect the rural character of the campus periphery – a landscape that forms an essential part of the Virginia Tech identity.

The Master Plan provides a framework for accommodating sustainable campus growth in both existing and future Campus Districts—a framework that aims to improve the campus experience while promoting efficient land use patterns and infrastructure, a balanced approach to mobility and by distributing campus life amenities to serve a diverse and dispersed campus population.

Mobility Framework

PROMOTING ACCESS AND MOBILITY

As a public university, access is of key importance to Virginia Tech’s values and mission. The Master Plan provides a framework for promoting improved physical access throughout the campus—a framework designed to establish an armature for developing a campus-wide system of pathways for use by all members of the VT community.

The Master Plan promotes a balanced approach to mobility—an approach that emphasizes human-powered movement, bicycle, and transit connectivity with the understanding that private auto use is likely to remain an important means of access for the foreseeable future. Emphasis is placed on the user experience for each mode and on reducing transportation related greenhouse gas emissions in support of the sustainability objectives of the University.
The Academic & Research Framework sets out programmatic recommendations that identify the facilities needed to support the mission of each of college and school at Virginia Tech.

These recommendations take into consideration the existing conditions, projected enrollment increases, aspirational goals, and facilities required to support the Destination Areas and Strategic Growth Areas. They also address the need for innovation, collaboration, and shared research hubs as well as partnership spaces.

College of Agriculture and Life Sciences (CALS)

Recommendations for CALS include renovation of the Ag Quad to address deferred maintenance as well as current and future space needs. It is suggested that a detailed plan be developed for the Ag Quad as part of future planning studies. These future studies may wish to explore the potential for additional development surrounding the Ag Quad not currently proposed in the Master Plan, including on the surface parking lot west of Price Hall.

Expansion opportunities for CALS are illustrated in the Life Sciences & Technology District. In addition to new facilities, the agricultural land utilized by CALS is protected and maintained in the Master Plan by means of the growth boundary defined by the proposed Agricultural Belt. Additional land is provided on the northern section of the existing golf course (south of Prices Fork Road) to offset losses to roadway construction and potential redevelopment in the Glade Road District.

The acreage of land acquired by CALS to house uses displaced by other development must correspond to the needs of the college. If land adjacent to existing CALS properties is available, it can generally be added at a ratio of 1:1 when compared to the acreage lost to other uses. If non-contiguous land is required, it should be acquired at a ratio of 1.5:1 or 2:1 in order to compensate for the loss of efficiency associated with continuous land holdings. To reduce the need for land, new agricultural technologies can be embraced at CALS facilities. For example, developing a manure composting facility at VT’s Kentland property as evaluated by a separate 2018 study would save considerable land acquisition costs compared to continuing the current practice of land application.

Strategies for the relocation of facilities displaced by the planned development of the Glade Road District are discussed in the Peripheral Districts section of this report. A review of these strategies at the time of development may be required to respond to revised needs.
College of Architecture and Urban Studies (CAUS)

CAUS is currently distributed in several locations on the campus and in leased facilities in downtown Blacksburg. Key facilities include the Cowgill-Burchard complex and the Architecture Annex, both of which are at capacity and offer few opportunities for expansion or consolidation of the programs.

The Master Plan sets out a bold strategy for accommodating growth and consolidation of architecture, landscape architecture, and urban planning programs in a new building located on Alumni Mall. The new building provides the opportunity for CAUS to redevelop the Squires Student Center site and to construct a building that better reflects the respected ranking and status of the College. Its location in the proposed Creativity & Innovation District also provides the opportunity to build a strong relationship with the proposed public-private partnership (P3) building, Vignette Square, and the proposed Integrated Design facility which promotes collaboration between architecture, industrial design, engineering, business, and the arts.

Additional CAUS academic and research spaces are located in Hitt Hall and the Intelligent Infrastructure Fusion Lab in the North Academic District—buildings associated with the Myers-Lawson School of Construction and the Intelligent Infrastructure for Human-Centered Communities (IIHCC) Destination Area. Further facilities are proposed in the Smart Design and Construction Village, including a High Bay Research Building.

Pamplin College of Business

The College of Business is supported by two new buildings at the southeast corner of Prices Fork Road and West Campus Drive. The Global Business Analytics Complex (GBAC), which includes space for the Data and Decisions (D&D) Destination Area, is envisioned as a gateway architectural statement consolidating the business programs currently located in the existing Pamplin building and the Department of Hospitality and Tourism Management currently located in Wallace. In addition, the Real Estate Program will be a stakeholder in Hitt Hall, to provide cross-program access with CAUS.

College of Engineering

Two major new facilities are identified in the Master Plan to address the needs of the College of Engineering. Both involve the redevelopment of existing buildings with significant deferred maintenance and other issues: Holden Hall and Randolph Hall. Holden Hall is replaced with a taller building making better use of its central location in the North Academic District. Randolph Hall is also identified for redevelopment replacing the existing building with two facilities. Additional expansion sites are identified in the Goodwin Hall area, where a new quadrangle is proposed. The existing Ware Lab and Femoyer Hall sites are also identified for redevelopment over the long-term with the goal of providing new and expanded facilities for the Ware Lab and other programs.

Additional research facilities include the aforementioned Hitt Hall, and several facilities proposed in the Smart Design and Construction Village on Plantation Road including additional Ware Lab and Capstone project lab space.

College of Liberal Arts and Human Sciences (CLAHS)

CLAHS is currently located in several buildings in the Upper Quad and in Wallace Hall. Redistribution of the various programs is proposed in the interest of efficiency, cost, and program delivery. Space for growth is necessary for the College. The recommended approach is as follows:

Life Span Services Building

The existing adult day center and child care center located in Wallace Hall are relocated in the Master Plan to a new or repurposed facility in the Corporate Research Center (CRC). The idea is to create a center outside the campus core where human development programs that engage children and members of the public can be located where convenient auto access and parking are possible.

Space in Wallace Hall vacated by the relocation of the adult day and child care centers and the Department of Hospitality and Tourism Management can be repurposed for the consolidation and expansion of the growing undergraduate and graduate educational programs.

Upper Quad District

The humanities and social science programs of CLAHS are concentrated in the Upper Quad District buildings including Major Williams, Shanks,
and Lane. The administrative offices and home base for the college are planned for the old YMCA building. Additional space for expansion, including offices, academic spaces, and flexible spaces for creative initiatives is accommodated in a future facility planned to replace Femoyer Hall.

Lane Hall, the oldest and most historic building of the campus, is reimagined in the Master Plan as a center for the humanities and social sciences. The idea is to sensitively renovate the building while addressing significant vertical circulation, accessibility, and life safety problems. This idea is achieved by means of an addition to the north side of the building where new stairways, elevators, and restroom facilities are possible.

Creativity & Innovation District
Within the Creativity & Innovation District (CID), CLAHS is accommodated in the future Music and Arts Complex which includes spaces for instruction, rehearsal, and recitals.

College of Natural Resources and Environment (CNRE)
To address the current and future needs of the College of Natural Resources and Environment, the proposed Global Systems Science (GSS) building in the Life Sciences & Technology District provides the opportunity for collaboration between the CNRE, College of Science, College of Engineering, CLAHS, CALS, and others to address the dynamic interplay between natural and social systems.

Additional areas for growth include the facilities at Center Woods and the Thomas M. Brooks Forest Products Center in the Corporate Research Center. An addition to Cheatham Hall could also be considered.

College of Science
In response to previous and anticipated growth, the following facilities are identified for the College of Science in the North Academic District:

- An undergraduate lab building north of New Classroom Building
- A long-term classroom/lab building between the proposed undergraduate lab and GBAC
- A future science building designed as a companion facility to Robeson,
- An westward expansion of Hahn Hall
- The D&D component of the GBAC

College of Veterinary Medicine (CVM)
Known and future programmatic needs of the College of Veterinary Medicine are accommodated in the Master Plan in both new facilities and land use areas. Proposed new facilities include:

- An expansion of the Large Animal Teaching Hospital
- A new animal handling facility
- Pasture land requirements are protected and expanded in the Master Plan

Honors College
Once the Graduate Life Center is relocated to Hillcrest, headquarters and support space for the Honors College is proposed in this historic portion of Donaldson-Brown, a stately structure befitting of the image of the Honors College. Further, this location allows the College to benefit from the collaborative convergence of design, engineering, and the arts envisioned for the surrounding Creativity & Innovation District. In advance of a relocation, students in the growing Calhoun Honors Discovery Program will make use of new collaborative learning spaces in the North Academic, Creativity & Innovation, and Life Sciences & Technology Districts.

Graduate School
The Master Plan recommends creating a network of graduate support facilities across the campus in response to the distributed nature of the graduate population. Potential facilities include:

- A new Graduate Life Center in Hillcrest Hall to consist of academic, support, and social spaces in addition to graduate housing via an expansion of Hillcrest
- A graduate life social hub in the proposed North Academic Commons to serve graduate students based in the North Academic District
- A Graduate Village comprised of a variety of housing types, family support spaces—including affordable child care, and academic / professional facilities in the Glade Road District (see Peripheral Districts for details)
The Master Plan identifies opportunities for establishing a network of innovation and collaboration hubs.

Generally associated with proposed buildings, these hubs support academic and research collaboration as well as the consolidation of shared research resources that include expensive equipment and other commonly utilized support lab facilities. The proposed framework distributes the hubs to serve key disciplines. Emphasis is placed on building this network over time as new facilities are constructed.

**North Academic District**

Proposed construction in the North Academic District presents several opportunities to introduce innovation, collaboration and shared resource hubs. Opportunities include:

- GBAC – shared data-analytics collaboration hub
- Future Science Building – teaching / research shared resource hub
- Hitt Hall and Intelligent Infrastructure Fusion Labs – shared robotics and other technical resource hub
- Randolph Hall – engineering innovation hub and teaching / research shared resource hub
- Future Science Building – science innovation, teaching, and research shared resource hub

**Creativity & Innovation District**

Potential hubs and shared facilities in the CID include the following:

- Vignette Square (P3 Building) – digital media and immersive technology shared resource hub
- Integrated Design Building – shared studio, collaboration and innovation hub supporting transdisciplinary initiatives in "Design Thinking"
- CID Living-Learning Commons – shared studio, collaboration, and engagement hub for students involved in CID activities and programs

**Life Sciences & Technology District**

Over the long-term, new construction provides several opportunities for creating innovation and shared resource hubs. In the interest of cost and operational efficiency, such hubs are an important consideration for all future buildings, including the Global Systems Science (GSS) Building. Opportunities for GSS include an innovation hub for life sciences and a shared resource hub for research.

**Intelligent Infrastructure Corridor**

Extending from the North Academic District to the Smart Design and Construction Village at Plantation Road, the Intelligent Infrastructure Corridor serves as a testing ground for a variety of technologies related to energy, transportation, sustainability, and health.

The corridor and the facilities proposed along it such as Hitt Hall, the Intelligent Infrastructure Complex, the Autonomy Study Park, and the High-Bay Facility in the Smart Village are conceived as spaces where students and faculty from a variety of disciplines—architecture, business, engineering, life sciences, physical sciences, and others—can collaborate, research, and explore.

**Residential Districts**

The existing living-learning centers distributed across the Student Life District are an important part of the hub network. Expansion of the network is proposed in the CID Living-Learning Commons as well as in the 21st Century Living-Learning District, notably in the GBAC residence halls which are planned to include living-learning centers in support of the GBAC program. These halls are planned to feature collaboration environments as well as faculty-in-residence apartments.
Strategic Partnerships

Partnerships with industry, businesses, and other institutions and organizations are central to the vision for Virginia Tech. The Master Plan highlights several opportunities for accommodating Virginia Tech’s partners on the campus.

Vignette Square
A public-private-partnership (P3) building is planned in the Creativity & Innovation District (CID) to engage business, institutional, and community partners interested in design thinking, media, and digital arts. It is seen as a major catalyst for supporting the goals and objectives of the CID.

The building will feature office, research, meeting, and exhibition space to facilitate collaboration between VT faculty and students and those outside entities that would like to partner with VT. The facility will enable VT’s partners to establish a presence on the campus and in downtown Blacksburg.

VT’s partners will gain access to emerging research and talent at VT, faculty and researchers will gain access to potential business and commercialization partners, and students will gain access to potential internship and long-term employment opportunities.

Northeast & Upper Quad District and Glade Road
Public-private development opportunities are possible in support of programmatic and revenue generation goals in the Upper Quad & Northeast District and the Glade Road District. This includes mixed-use development offering amenities, housing, office, and other facilities that support the overall quality of life for both the VT and broader Blacksburg communities.

The Glade Road District in particular is seen as an opportunity to develop a walkable urban environment that simultaneously provides a high quality of life and continued revenue generation. Existing facilities in this area will need to be relocated to the Agricultural Belt, the Life Sciences & Technology District, and other areas of campus as deemed appropriate (see Peripheral Districts for details).

Hitt Hall and the Intelligent Infrastructure and Fusion-Lab
A center for construction industry-related research and innovation activities and a home for the Building Construction Program is proposed in the North Academic District. The integrated Fusion Lab, maker spaces, and outdoor “sandbox” testing area provide visibility for VT’s work in Intelligent Infrastructure and encourage collaboration with outside partners (see Intelligent Infrastructure Corridor for details).

Smart Design and Construction Village
The Smart Design and Construction Village is where several opportunities exist to engage private partners in engineering, architecture, and building construction as well as other areas associated with the IIHCC Destination Area.

The Corporate Research Center
Situated on 230 acres just south of campus, the Corporate Research Center (CRC) is home to over 180 technology and support companies and employs over 3,000 workers. Strengthening connections with the CRC—both physical and programmatic—enhances potential partnership opportunities for VT by leveraging the CRC’s corporate and government research relationships.
The P3 Building, Vignette Square, looks out on a new pedestrian plaza at the intersection of Otey Street and College Avenue which provides around-the-clock vibrancy and fuels collaboration between VT and its strategic partners.
Campus Life Framework

The Master Plan seeks to foster an inclusive campus life experience by providing the amenities, commons, residential communities, and recreation areas that contribute to the quality of life on the Virginia Tech campus.

This begins with a framework that includes the facilities, fields, and landscapes that foster collegial interaction and is planned to respond to the needs of a more diverse student population. The framework supports campus life by establishing a network of amenities to serve the entire university community. Community is addressed at the following levels: 1) Campus Commons, 2) dining and food service locations, 3) residence halls, 4) recreation facilities, and 5) health facilities. The network addresses the various population groups of the campus including resident students, “resi-muters” (those living off-campus within a walking and biking distance), commuter students, faculty, staff, and the broader community consisting of alumni, local residents, visitors, and business and industry partners.
The proposed network of Campus Commons responds to the limitations of current facilities and conditions.

- The campus lacks a comprehensive student center; Squires is not adequately sized or located to serve the entire student population, nor does it provide the gathering and social spaces needed to support all of the student engagement objectives of the University.
- The North Academic District is the center of daytime activity and population density but lacks adequate space for social and academic engagement.
- The Graduate Life Center is not conveniently located for much of the dispersed graduate student population on the campus.

In response to the scale of the campus and the dispersed nature of the campus population, a distributed model of Campus Commons is proposed in the following locations: 1) North Academic District (Cowgill Hall), 2) Creativity & Innovation District (bookstore building), 3) Owens Hall (renovation or new construction), Dietrick (including proposed renovation), 4) Life Sciences & Technology District (in the Global Systems Science [GSS] Building), and 5) 21st Century Living-Learning District (future facility). Each of these facilities is linked by the proposed Infinite Loop with the goal of providing a distributed, yet connected network of amenities and campus services responsive to the needs of the various user groups. The commons are considered to be a key component of a campus-wide network consisting of gathering and lounge spaces in existing buildings as well as those proposed for new buildings.

Ballroom facilities displaced by the proposed demolition of the Squires Center will be accommodated in three distributed locations: 1) flexible exhibition space in the P3 building, Vignette Square; 2) a ballroom and banquet hall addition to the Inn at Virginia Tech; and 3) the expansion of large-scale dining and event space in a renovated Owens Hall.

The distributed approach to campus life also applies to the graduate population. Over the long-term, it is recommended that the services and functions provided in the Graduate Life Center (GLC) be redistributed to better serve the population. To that end, graduate commons are proposed in Hillcrest Hall, the North Academic Commons, and Glade Road.

**North Academic Commons**

The transformation of Cowgill and Burchard Halls into the North Academic Commons is one of the bold recommendations of the Master Plan. The rationale for this transformation is based on the population density of the North Academic District and the existing lack of amenities. Cowgill and Burchard, currently home to the College of Architecture and Urban Studies (CAUS), are situated at the “center” of academic life and population density in the District as evidenced by the number of classroom and lab hours scheduled by the registrar. Over 6,400 people are scheduled to be in the classrooms and labs of the District during peak hours, more than any other District. This overall level of activity is anticipated to increase once the proposed Multi-Modal Transit Facility (MMTF) is completed, making the District the portal into and out of the campus for most of the commuting population. These factors, combined with the expansion and consolidation needs of CAUS, support the idea of relocating CAUS and transforming Cowgill and Burchard into the main Campus Commons.

The vision is to create a true campus center at the heart the day-time population—a vision that transforms existing buildings and exterior spaces including Cowgill and Burchard Halls, GBJ, Burchard Plaza, and Cowgill Lawn. Cowgill and Burchard are reimagined as the hub of informal student gathering and activities as well as the center for student organizations and cultural centers. Renovation of GBJ also is proposed to centrally position the Student Success Center—the main location for academic support services.
A reimagined Cowgill Hall becomes the North Academic Commons, an active, transparent, social hub occupying a central location and fronting the reconceived plaza of Tech Square.
as well as a Graduate Life satellite center. Burchard Plaza is reimagined as Tech Square, a space featuring outdoor study and gathering spaces. A new lawn north of Cowgill, is proposed to provide an outdoor event and performance space. For specific details on the North Academic Commons, please see the North Academic District section of this report.

North Academic District Social Space Network
In the North Academic District, a network of social spaces is proposed in new buildings as well as in renovated spaces in existing buildings. The intent is to distribute these facilities until such time that the proposed North Academic Commons is complete. These spaces are positioned such that they become part of the daily pattern of movement through the campus. The proposed locations of lounge and gathering spaces across the District include several “found” spaces within existing buildings, such as the proposed Tech Cave. Located in the Burruss Tunnel, the Tech Cave is imagined as a coffee shop and lounge space on one of the major east-to-west pathways of the campus.

Creativity & Innovation District Commons (CID)
The Master Plan calls for the renovation and transformation of the existing Bookstore to create a new CID Commons—a facility envisioned as a technology-enabled environment for informal social engagement and collaboration activities. This will require the Bookstore to be relocated to another facility, such as Vignette Square.

Global Systems Science (GSS) Commons
A new commons is proposed in the Life Sciences & Technology (LS&T) District in conjunction with the Global Systems Science (GSS) building. This facility is intended to serve the population of the District as well as commuters utilizing the adjacent “Cage” Lot. The idea is to create a combined campus center and transit hub, or portal, for commuters as they transition from their cars to the campus transit system. In addition to the commuting population, the Commons is located to serve the graduate population engaged in research activities in the LS&T District. To that end, the Commons is planned to include waiting areas for transit services, lounge areas, food service, graduate services to support those in nearby Hillcrest Hall, and commuter services.

21st Century Living-Learning District Commons
A new Campus Commons and an associated recreation center are proposed for the 21st Century Living-Learning District. This future facility is planned to serve the estimated 2,800 residents of the District as well as the adjacent Oak Lane neighborhood. The Commons is positioned to offer views overlooking the Duck Pond. Recommended spaces include lounges, meeting rooms, dining services, and other amenities for the resident population as well as the commuting population parking in the adjacent interim surface lots and long-term garage proposed in the District.

University Libraries
A distributed approach is also recommended for VT’s library system in order to better serve all students. Additional satellite locations for specific services of the library may be incorporated into new Campus Commons as well as other new and renovated facilities.
Patterns of Use

During peak daytime hours, nearly 6,400 students occupy the North Academic District (NAD), dwarfing the number of students in either the Creativity & Innovation District (CID) or the Life Sciences & Technology District. While a distributed system of campus life commons is required to accommodate the dispersed nature of the VT campus, the daytime core is clearly located in the NAD.

This review of underlying data informed the Master Plan’s recommendation to relocate the main campus life uses currently housed in Squires Student Center to the proposed North Academic Commons in Cowgill and Burchard Halls. This central location best serves the majority of students, while additional commons in the other Districts provide critical campus life support spaces for off-peak hours and students who occupy those Districts during the day.
Tech Cave

Renovating underutilized space along the Burruss Hall tunnel provides the opportunity to create a new commons—Tech Cave—in the North Academic District prior to completion of the North Academic Commons.

Tech Cave serves as a student-oriented social space in the academic core, placing students at the center of the VT Experience by infusing a largely administrative building with active student uses.

The architectural design process for this space will need to address lighting, queuing, and auditory conditions.
A DISTRIBUTED APPROACH

To better serve the distributed Virginia Tech population, the Master Plan recommends locating Campus Life facilities and programs in multiple Districts across the campus.

The following strategies highlight the benefits provided by a distributed approach to campus life facilities in the context of the Squires Student Center, the Graduate Life Center, and the University Libraries.

Squires Replacement Strategy

Squires is made up of three buildings including the original 1936 Student Union, a brick Georgian building now surrounded by additions dating from the 1960s and 1980s. Continued investment and long term use of the building is not recommended for the following reasons:

- The systems of the building are complicated by the evolution of its development resulting in expensive and challenging upgrades.
- The configuration of the building limits renovation options for existing and future programmatic needs, in particular, the student life functions.
- The architectural character of the building does not contribute to the campus, especially the ceremonial status of Alumni Mall.
- The building also detracts from the goal of a vibrant College Avenue due to its lengthy stretch of un-activated, solid brick walls.

Given these conditions and the long-term view of the Master Plan, substantial investment in the building over the next 20-30 years is not recommended. The goal is to relocate current programmatic uses out of the building and plan for demolition. Uses to be relocated include student center related spaces (lounges, meeting rooms, student government offices, and the office for the Division of Student Affairs), food service, recreation, and large ballrooms and meeting rooms. The building also includes practice, office and performance space for the Department of Music.

STUDENT CENTER PROGRAM REPLACEMENT

The strategy for replacing the Squires student center functions is coordinated with the campus life model promoted in the Master Plan which calls for a series of distributed Campus Commons. The proposed Commons respond to the scale of the campus and the distributed nature of the campus population. The idea is to establish a network of commons as follows:

- The North Academic Commons in the existing Cowgill – Burchard complex
- The CID Commons in the repurposed bookstore
- The proposed New Owens Hall in the Student Life District replaces the existing Owens Hall with an upgraded facility featuring meeting spaces and lounge space for evening use
- The Global Systems Science Commons in the Life Sciences & Technology District

Each of these locations is envisioned to include student gathering, lounge, meeting spaces, and satellite food services. The North Academic Commons is planned as the “central commons” of the campus featuring lounge, multi-purpose meeting rooms, food service, a graduate life lounge, and cultural centers. It also includes office space for the Division of Student Affairs.

Auditorium space in support of campus life activities is available in the adjacent Burruss auditorium.

BALLROOMS AND MULTIPURPOSE ROOMS

The existing ballrooms and large scale meeting spaces of Squires are also distributed across the campus in the Master Plan in response to known uses and proximity to supporting functions. These include:

- An addition to the Inn at Virginia Tech for a large formal ballroom space with breakout areas. This location offers efficiencies in terms of kitchen space in the Inn and the availability of parking. It is also a short walk from the North Academic Commons.
- The P3 Building, or Vignette Square, located in the Creativity & Innovation District. This multipurpose facility supports a variety of functions related to activities in the CID.
- New Owens Commons. This facility will support ceremonies and services held in the nearby chapel as well as day-to-day activities in the Student Life District.
MUSIC SPACES
A new Music and Arts Complex is proposed in the CID to replace the performance, practice, rehearsal, and office spaces located in Squires. This facility is positioned directly adjacent to the CID Parking Garage.

Graduate Life Center Replacement Strategy
The 1960s addition to Donaldson Brown (the residential wing) is located in a floodplain associated with Stroubles Creek and was constructed over the central branch of the creek itself, a condition that contributes to periodic flooding in the area. Looking out to 2047, the age, location, and general condition of this facility suggest that it will not continue to serve the needs of the Graduate School or other uses. The Master Plan proposes the demolition of the 1960s wing and relocating the Graduate School programs to a series of new and renovated facilities located to address the distributed nature of the graduate population. The historic Donaldson Brown portion of the building is maintained and renovated in the Master Plan; potential uses include the proposed Honors College and Faculty Club.

The proposed locations for the distributed Graduate Life functions include:

HILLCREST
A new home is planned for the Graduate School in the existing Hillcrest Building. This building is recommended given its unique architectural character, and its ground floor lounge, dining, and meeting spaces are suitable for the needs of the Graduate School. The building also includes housing on the upper floors. Additional housing is possible south of the building where an expansion site is reserved in the Master Plan. Hillcrest is located adjacent to the Life Sciences & Technology District where there is a concentration of graduate students.

NORTH ACADEMIC COMMONS
In response to the daytime graduate population in the North Academic District, a graduate commons is proposed as part of the North Academic Commons in the Cowgill – Burchard complex. This location is intended to serve the graduate population based north of the Drillfield.

GLADE ROAD MIXED USE VILLAGE
Emerging plans for the Glade Road District include the development of a new mixed use community featuring housing, research, office, retail, and restaurant space. In response to the graduate population with families and children, a new Graduate Life Village is proposed along with support services and amenities such as daycare. Collaboration with the Town of Blacksburg during the planning, design, and implementation of the Graduate Life Village will be critical to its success.

CREATIVITY & INNOVATION DISTRICT
The auditorium in the existing Graduate Life Center will be accommodated within one of the new facilities in the Creativity & Innovation District, such as Vignette Square or the Integrated Design Building.

Library Strategy
The Master Plan includes options for the potential expansion needs and service delivery objectives of the Newman Library. The Master Plan includes the option to expand the Library to the east of the existing building on the Squires site, coordinating the program with the proposed Integrated Design Building and future College of Architecture and Urban Studies facilities.

A satellite Library facility could be accommodated in the Tech Square area of the North Academic District, with the goal of placing select library services at the heart of academic and research activities. One potential location is the ground floor of the north side of Burruss Hall (the south wing of Burruss facing the Drillfield was the former location of the Library). This location offers direct access to Tech Square, which is envisioned as the “central square” of the campus. Tech Square is defined by the proposed North Academic Commons in the Cowgill-Burchard complex and by the GBJ commons, which is repurposed in the Master Plan as the Student Success Center. As an alternative to Burruss, the Library facility could also be located in the GBJ in conjunction with the Student Success Center.

The distributed approach to providing library services calls for a future visioning study to determine how best to site and program satellite library facilities throughout the campus.
In the Master Plan, food service facilities are generally associated with the Campus Commons locations with the exception of major dining halls: Lavery Hall, Owens, Dietrick, and the Intelligent Infrastructure Smart Dining Facility.

The campus life framework addresses the following concerns relative to the existing facilities.

› The dining system is at capacity; expansion of dining facilities and the support facility at Southgate is needed to accommodate growth
› The North Academic District lacks adequate dining space to support the daytime population
› Owens is highly utilized but needs to be renovated or replaced

Future food service locations proposed in the Master Plan include: the Smart Dining Facility in the proposed Intelligent Infrastructure Building, GSS Commons, a new Owens Hall, and a new dining hall in the 21st Century Commons.

Expansion or replacement of the Southgate receiving and preparation kitchens is critical to accommodate enrollment growth and to service the proposed dining locations. Subject to further study, options include expanding in place or relocating to a new facility on the north side of the Corporate Research Center where a site is reserved.

**New Owens Hall**

The Master Plan anticipates the replacement of Owens Hall to provide a more efficient and adequately sized dining facility to serve the residents of the Student Life District as well as the population of the CID. The new building is planned to include social and meeting spaces, a ballroom, and outdoor dining areas. The facility is also configured to transition slope conditions where existing stairs and slopes limit access for all members of the campus community.

**Dietrick Hall**

Dietrick currently functions as a center for the resident population living on the west side of the Student Life District. Planned changes include partially enclosing the existing loggia space on the south side of the building to create additional lounge space and the creation of an outdoor dining terrace.

**West End Market**

While no major changes to the West End Market are proposed in the Master Plan, the facility is integrated into the Campus Commons network via the Infinite Loop.

**GSS Commons**

The Global Systems Science (GSS) Commons is proposed to provide gathering and collaboration spaces for the graduate students and researchers concentrated in the Life Sciences & Technology (LS&T) District. Proposed food service focuses on convenience options catered towards members of the LS&T community as well as commuting students arriving at the nearby Cage Lot.
Intelligent Infrastructure Smart Dining Facility

A 30,000 square foot dining facility seating up to 1,000 people is proposed on the ground floor of the Intelligent Infrastructure Building—the companion facility to the proposed Hitt Hall—in response to the dining capacity needs in the North Academic District. High throughput during peak hours is a priority. Beyond the practical need for dining capacity, the facility is envisioned as a showcase for technology and innovation supporting food quality, the user experience, and emerging best practices and technologies appropriate for Virginia Tech’s top ranked on-campus dining program.

21st Century Living-Learning District Dining Facility

A new dining facility is proposed as part of a new Campus Commons in the 21st Century Living-Learning District—a new residential community of approximately 2800 students focused on living-learning environments, including those associated with the proposed Global Business Academic Complex (GBAC).

Cafes

Cafes add texture and richness to the dining experience. They serve as much of a social function as they do. Cafes average roughly 50 low dollar amount transactions per hour, compared to larger dining halls that may process thousands of higher dollar transaction amounts each day. Not to say that they are not important, just not profit centers.

Food Trucks

The Periodic Table and the Grillfield food trucks opened in 2016. Both are popular and successful additions to the campus dining portfolio, but are not solutions to long term capacity issues.
Dietrick Hall

Proposed renovations to Dietrick Hall include enclosing the southern facade to create a loggia space and enhance connections with the proposed Infinite Loop and Dietrick Lawn.
The Master Plan includes a renovation and renewal strategy for existing housing in the Student Life District. New housing is proposed in the Creativity & Innovation District, on the Slusher site, and in the 21st Century Living-Learning District.

The housing recommendations of the Master Plan address the University’s aspirations of housing 40% of students on campus and 60-65% of resident students in living-learning communities.

**GBAC and 21st Century Living-Learning District Housing**

The Global Business and Analytics Complex (GBAC) housing is planned in conjunction with the new Global Business building in the North Academic District with the goal of establishing a living-learning community (LLC) to support students involved in business, data analytics, and international affairs programs.

Faculty-in-residence apartments, classroom, meeting, and other spaces supporting the business programs are proposed. Combined, the buildings are planned for approximately 700 students.

Additionally, six new living-learning communities are accommodated in the 21st Century Living Learning District on the site of the current golf course. These new communities will house approximately 2100 students and are supported by a proposed commons, dining, and recreation facility.

**CID Housing**

A new living-learning community is proposed in the Creativity & Innovation District directly south of the existing Graduate Life Center. This facility includes approximately 600 beds with ground floor spaces accommodating activities and programs associated with the CID such as studio space, maker space, performance, and practice space. The CID living-learning community is intended for students associated with programs in the CID as well as varsity athletes. Near-term construction of the facility facilitates the relocation of some program uses out of the Squires Student Center.

**New Slusher**

Over the long-term, the Master Plan recommends that Slusher Hall be replaced rather than renovated. A new structure located on the same site will provide upgraded building systems, reduce maintenance costs, and would be more in keeping with the character and image of the rest of the campus. In conjunction with the new building, changes to Campbell Quad are proposed to address barriers to access for all members of the VT community. Specific recommendations include a regraded Campbell Quad to provide inclusive access through the introduction of Green Links on the east and west sides of the Quad.

**Oak Lane**

Space for four new Greek Life housing facilities is accommodated in the Oak Lane District, providing room for growth while maintaining the character of this community.

**Glade Road**

The planned mixed-use development in the Glade Road District provides not only retail, office, and research space, but also includes housing for graduate students, faculty, and young professionals seeking proximity to VT and downtown Blacksburg.

**Upper Quad**

The recently completed Pearson and New Cadet Halls replace Brodie, Monteith, Rasche, and Thomas Halls and house over 460 cadets.
Housing Renovation Strategies

The Master Plan incorporates the recommendations of the 2005 Residence Halls Facility Condition Assessment performed by EYP and updates them in the context of broader planning strategies. General recommendations for the existing residence halls address building conditions, accessibility, social space, restroom facilities, and other needs. The overall strategy responds to the following conditions and goals:

› Most of the existing residential buildings are valued for their contribution to the overall sense of place defined by Collegiate Gothic architecture, Hokie Stone, and quadrangles; however, many of these facilities are in need of upgrades and many do not provide the desired types of amenities and social space.

› Additional housing is needed in response to enrollment growth and VT’s goal of housing 40 percent of the undergraduate population.

› The goal of housing 65 percent of resident students in Living-Learning Centers, along with the goal of providing more spaces for social engagement, requires new design strategies in existing residence halls, potentially resulting in the loss of beds.

› The residential quads are socially isolated from one another.
Renovation recommendations are informed by broader Master Plan concepts including landscape strategies for the residential quads, the Infinite Loop, and the Green Links. The detailed building recommendations are aligned with social, accessibility, and programmatic objectives identified during the planning process, including locating social spaces on the lower levels of the buildings where they are coordinated with exterior gathering and social environments, using exterior landscapes such as the Green Links to provide access to the buildings, and incorporating and locating living-learning communities within the buildings such that they contribute to the social and access-for-all goals of the Master Plan.

The building and landscape recommendations for existing residential facilities are organized around ideas for each quad including: Eggleston Quad, President’s Quad, Prairie Quad, Payne Quad, Dietrick Lawn, Ambler-Johnston Quad, and Harper Quad. For specific details on the proposed building renovations, please see the Districts chapter of this volume or the separately documented Campus Life Report.

**Campbell Quad**

The goal over the long-term is to replace Slusher Hall with a new facility defining a renewed Campbell Quad. The new quad is envisioned to provide access for all members of the campus community, terraces for outdoor seating, and areas for programmed outdoor gathering and passive recreation. In the meantime, changes to the pathways leading from the Campbell portal are proposed to create the Central Link.

**Eggleston Quad**

Eggleston Hall defines one of the most iconic residential quads of the campus and reflects the Collegiate Gothic style of architecture. Recommendations include the creation of new student study spaces on the lower level of Eggleston in association with entries and circulation routes. Landscape changes are coordinated with the reconstruction of Owens Dining Hall. New Owens is sited to engage with the significant slopes to the north and east of the Quad, the intent of which is to eliminate existing stairways and promote barrier-free circulation via a Green Link extending from the Eggleston portal on the Drillfield southward to Washington Street. Known as the O’Shaughnessy Link, this Green Link engages with New Owens Hall.

**Dietrick Lawn**

Dietrick Lawn is defined by Dietrick Dining Hall, Ambler-Johnston, and Pritchard Halls. Ambler-Johnston serves as a model for the renovation of the 1960s-era residence halls; the concepts developed in this renovation inform the renovation of Pritchard. Proposed changes to Dietrick Lawn include the introduction of the Infinite Loop along the south facade of Dietrick and the introduction of a Green Link along Ambler-Johnston on the western edge of the Lawn. This link is coordinated with the Spirit Walk and the game-day activities and other events scheduled on the Lawn.

Dietrick Lawn’s prime location and gentle grading makes it a cherished student life open space and promotes VT’s socialization and recreation goals. These benefits far outweigh the potential advantages to developing the site for additional student housing.

**Payne Quad**

Payne Quad is defined by Payne, Peddrew-Yates, and New Residence Hall East, some of the newest residence halls on campus. To provide access for all members of the campus community, the Master Plan proposes an accessible pedestrian bridge connecting Payne Quad and War Memorial, utilizing the extreme grade change along the southern face of the building.

**Ambler-Johnston and Harper Quads**

No major changes are proposed for Ambler-Johnston or Harper Quads given that both are in good condition and include some of the newest or most recently renovated residence halls on campus. The Infinite Loop is introduced to the north of each quad thereby connecting them into the overall system of student life.

**Hillcrest Hall**

Hillcrest is located on the Infinite Loop and is expanded in the Master Plan to create a quadrangle, accommodating the relocated Graduate Life Center including academic support, collaboration, and community spaces along with graduate residences.
President’s Quad

Proposed changes to President’s Quad include the introduction of a Green Link along the eastern edge with the intent of transitioning the slope and providing shaded gardens, seating areas, and stormwater management features. The Green Link is positioned to make Vawter, Barringer, and Miles accessible. Access and social spaces are coordinated in these buildings with social spaces and entry plazas proposed in the Green Link landscape. The remainder of the Quad is regraded to provide passive recreation and activity areas.
Prairie Quad

Prairie Quad is defined by residential buildings constructed in the 1960s including O’Shaughnessy, Lee, and Pritchard. It is the largest of the residential quads and is surrounded by some of the largest and tallest buildings on the campus. Proposed changes in the Quad include the introduction of the Infinite Loop and Green Links to the east and west of the Quad. Given existing and future connectivity to the Quad, its central location and proximity to the War Memorial Gym, Prairie Quad is reimagined as a fitness quad, featuring court space and outdoor fitness equipment.
The Master Plan proposes additional capacity for recreation and improved facilities for student health to promote comprehensive campus wellness.

Recreation

The proposed recreation strategy for the campus responds to the following conditions:

- Virginia Tech does not have adequate space to support the current population; additionally, the types of spaces and facilities may not support current activities.
- Additional space is needed to accommodate growth.
- Planned renovation of the War Memorial Gymnasium offers the opportunity to address near-term needs, but additional strategies are needed to address long-term needs.

In response, the Master Plan reserves a site in the 21st Century Living-Learning District for an additional recreation center. The proposed location offers room for expansion, providing flexibility until such time that activities and population growth warrant investment in a new facility. Land is also reserved for future recreation fields.

The Master Plan also recommends a new field house at the south recreation complex to provide space for equipment storage as well as administrative space to operate the recreation programs. Mobility is also a feature of the campus recreation network with the intent of encouraging human powered movement. The Infinite Loop and the campus trail networks are part of the network to promote active transportation and recreation.

Health Centers

In response to projected growth and functional needs, expansion of the existing Health Center is proposed within McComas Hall. Relocation of Counseling Services to renovated space in the War Memorial Gymnasium frees up space in McComas for the proposed expansion.
Landscape Framework

FINAL DRAFT | NOVEMBER 2018
Landscape Framework

The Landscape Framework builds upon the existing structure of the campus defined by its topography, hydrology, and wooded areas and highlight’s VT’s land grant legacy by celebrating the University’s natural setting and agricultural heritage.

The framework incorporates a comprehensive stormwater strategy for the campus and also responds to the formal development patterns of the campus including the numerous quadrangles and the central axis or Central Spine formed by Alumni Mall, the Drillfield, the Duck Pond, and the Stroubles Creek corridor. These underlying patterns inform the open space and landscape structure with the Drillfield occupying a key location along the Central Spine of the campus. The formality of the central axis continues eastward to Main Street along the ceremonial entrance, Alumni Mall.

The formal landscape of the campus is further organized as an interconnected system of quadrangles and courtyards. The quad pattern dominates the Student Life District south of the Drillfield. North of the Drillfield, two major quads east and west of Burruss Hall are shaped by existing buildings. East of the Drillfield, the Upper Quad is the most historic and iconic quad, recently redefined by new residential buildings. Several lawn areas are also present including Henderson Lawn at the intersection of Alumni Mall and Main Street which functions as the town green for Blacksburg. Other lawn areas utilized for campus activities include Dietrick Lawn and Alumni Lawn at the Holtzman Alumni Center.

Proposed Landscape Framework

The proposed landscape framework builds upon the existing structure defined by the topography, hydrology, wooded areas, and formal development patterns of the campus. New Campus Districts are laid out in response to these underlying patterns emphasizing open space and pathway connectivity and coordinating the framework with programmatic, circulation, and functional needs. The framework reintroduces a native landscape pattern that ties the campus to the larger regional environment.

Sustainable landscape practices are proposed to assist the University in developing a “working landscape.” A working landscape strategically positions trees and other landscape elements to provide shade, mitigate the heat island effect, and contribute to a comprehensive stormwater management strategy. A working landscape also contributes to energy efficiency goals by shading buildings, thereby reducing the energy required for cooling.

Key aspects of the proposed landscape framework are summarized in this section with specific details provided in the description of the Campus Districts.
The Master Plan seeks to celebrate the agricultural roots of Virginia Tech. As a land grant institution, VT’s heritage is inexorably tied to stewardship of the land, a connection fortified by the design of the Agricultural Belt and the Central Spine.

The Agricultural Belt

In order to preserve the agricultural legacy and rural character of the VT campus, the Agricultural Belt is proposed west of the new Western Perimeter Road. Land west of the road is maintained as pasture and agricultural land for use by the College of Agriculture and Life Sciences, the College of Veterinary Medicine, the College of Natural Resource and Environment, and other land-intensive needs.

The retention of agricultural land recognizes the practical need for a contiguous and diverse land resource to support the land grant mission.

This strategy utilizes the Western Perimeter Road (WPR)—a planned arterial designed in coordination with VDOT to relieve traffic pressure from West Campus Drive by connecting Prices Fork Road to Southgate Drive—as a growth boundary for the University’s expansion. The WPR is also envisioned as an opportunity to promote reforestation efforts on the campus through the creation of a naturalized, tree-lined Parkway.

The goals of the Agricultural Belt policy are to:

› Ensure that land in close proximity to the academic core is available to support educational and research activities
› Meet the land requirements associated with stormwater management
› Establish a landscape corridor along the periphery of the campus with the intent of preserving the rural character when viewed from U.S. 460, an increasingly important consideration as the Blacksburg area is developed.

The Agricultural Belt designation applies to the land located west of the proposed Western Perimeter Road and east of U.S. 460. It extends from Prices Fork Road on the north to Southgate Drive on the south. Existing uses such as the Oak Lane residential community and Smithfield Plantation are maintained and protected within the larger Agricultural Belt designation. The historic Smithfield Plantation is incorporated into the Agricultural Belt along with its associated cemetery to the south. To shield the Plantation from traffic on the Western Perimeter Road, a thick band of trees and vegetation is proposed east of the site. A new vehicular entrance is proposed on the south end of the Plantation providing direct access to the Western Perimeter Road via the proposed Washington Street roundabout.

Where possible, existing pasture land is included in the Agricultural Belt except where disrupted by recent and proposed roadway alignments. Proposed changes in the Master Plan include designating the golf course area west of the Western Perimeter Road and north of Oak Lane as pasture land. This is intended to offset some of the land losses occurring as a result of the UAV cage construction, the extension of Perry Street, and the construction of the Western Perimeter Road. The land area associated with the former dairy complex is also designated for future agricultural uses. The dairy farm is now located off campus, a move required as a result of the Southgate Drive realignment and the expansion of the Virginia Tech Montgomery Executive Airport runway.

The Central Spine

The series of iconic landscapes and natural areas running through the heart of campus forms the Central Spine. Beginning with Alumni Mall in the east, continuing through the Drillfield, and running along the Stroubles Creek floodplain corridor, including the Duck Pond and the Meadow landscape stretching north towards the Inn at Virginia Tech, the Central Spine is a major contributor to VT’s sense of place.

The Master Plan also recommends that the University identify an opportunity to showcase its agricultural roots in an aesthetically sensitive way within the Agricultural Belt to celebrate and bring greater visibility to its agricultural heritage. See the Landscape Framework for more details.
TOPOGRAPHIC CONDITIONS

The development patterns of the campus respond to the ridges and valleys associated with its dramatic topography. The academic and residential areas generally occupy the ridges to the east, north, and south of the Drillfield. Lane Hall, in the Upper Quad, is located at the highpoint of the campus at elevation of 2100 feet above sea level, some 62 feet above the low point of the Drillfield. Development north of the Drillfield is aligned along a ridge with Burruss Hall sited approximately 30 feet above the Drillfield. This ridge then descends some 40 feet down to meet the north branch of Stroubles Creek before rising again toward Prices Fork Road. South of the Drillfield, the Student Life District rises some 60 feet from the Drillfield. While dramatic, this underlying topography presents several challenges especially with regard to accessibility. The result is a series of natural topographic divisions with slopes exceeding 20 percent in some areas limiting development and circulation.

NATURAL AND FORESTED AREAS

The tree canopy on the campus varies significantly from the original regional pattern. At present, only seven percent of the campus is covered by trees, significantly lower than the regional coverage. Major wooded areas include the Old Growth Forest east of Lane Stadium, the Grove south of the Duck Pond, the Hahn Gardens on Washington Street, and Hoot Owl Woods as well as other wooded areas west of U.S. 460. Remnant trees are also present in the golf course meadow located west of the Inn at Virginia Tech and Skelton Conference Center.
Reforestation

Existing campus forest areas and open areas proposed for reforestation are identified in the Master Plan. There are four long-term objectives:

- Maintain stands of large native trees with associated understory
- Support the environmental benefits of cooling, carbon sequestration, enhanced stormwater management, erosion control and water quality protection, increased species diversity, and reduced water consumption and energy expenditure for grounds maintenance
- Provide areas for research, education, and passive recreation in close proximity to the campus
- Serve as an example of environmental stewardship that heightens public awareness of the relationship between human society and the natural environment.
- Preserve, protect, and manage the Old Growth Forest near Lane Stadium per the 2016 Forest Stewardship Plan

A program of reforestation is proposed along the future Western Perimeter Road and the realigned Southgate Drive to enhance the campus arrival sequence and to reintroduce the regional tree canopy to the campus. The program is intended to tie together existing naturally wooded areas and soften the visual effect of disparate building forms and parking areas. Implementation of the reforestation concept requires careful study to ensure that key views of the regional landscape, campus open space, and campus landmarks are preserved. Reforestation benefits ecosystem functions providing erosion control, water quality improvement, air purification and cooling and provides the opportunity to reduce long-term maintenance requirements in the campus landscape.
THE DRILLFIELD

The Drillfield is the preeminent iconic space on the Virginia Tech campus and serves as the University’s historic and physical heart.

This open space is central to the campus core and serves as the “playground” of the institution, hosting numerous events and functions including Corps of Cadet ceremonies and drills, Student Affairs functions and events, community gatherings, and other campus life activities.

However, the visual and spatial character of the Drillfield in its existing condition does not reflect the high quality of the institution that is Virginia Tech. Existing pathways lack clear definition, and steep slopes at the edges of the Drillfield prevent inclusive access across the campus. The Drillfield Enhancement Plan currently being developed by the Office of University Planning puts forward several recommendations aimed at enhancing the function and visual quality of this premier campus feature. The Master Plan, in turn, highlights several of these recommendations; however, readers should reference the separately documented Enhancement Plan for further detail.

Path Material and Alignment

Drillfield paths should be clearly delineated and paved to reflect their hierarchy, major paths paved with colored concrete or concrete pavers and minor paths paved with asphalt. The number of paths should be kept to a minimum to preserve open lawn space and maintain ample space for Corps of Cadets ceremonies and drills; however, natural paths created from strong student desire lines should be paved to reduce maintenance costs and preserve an attractive appearance. In addition to transverse paths, the Drillfield Enhancement Plan proposes a circumferential path to serve as a recreational loop. This asphalt-paved path allows recreational users to continue to enjoy the Drillfield even during busy class changes.

Further, select site regrading can serve to extend the proposed Green Links across the Drillfield, providing cross-campus access for all members of the Vt community. Regrading strategies are needed most along the western paths of the Drillfield where existing slopes exceed five percent.

Landscape Improvements

In order to guide movement through the site, ornamental plantings and additional tree cover should be added to the edge of the Drillfield. This “landscape edge” will also beautify views of the Drillfield and can serve to address erosion concerns.

Additionally, opportunities for secluded amphitheater seating exist along the edge of the Drillfield away from pathways. By embedding stone seatwalls into existing steep slopes, these discreet elements can create spaces for study or socialization while simultaneously preventing erosion.

The Master Plan also recommends an expansion of the April 16 Memorial Plaza to provide additional seating and improved inclusive access from both Drillfield Drive to the north and the lawn of the Drillfield to the south.

Finally, the Master Plan proposes daylighting Stroubles Creek withing the landscape area between Drillfield Drive and West Campus Drive. By converting this currently underutilized lawn into a performative stormwater park, VT can both achieve its sustainability goals and improve the western gateway of the campus core.

These efforts should be coordinated with improvements to crossings including attractive, high-visibility paving; lighting upgrades, and enhanced signage.
Green Links leverage select grading and landscape interventions to establish circulation routes that meet the needs of all members of the campus population while activating the campus experience.

The result is a holistic network of circulation, open spaces, and expanded building programs that spans the campus. Each Green Link takes on a unique character based on its context.

The Green Links proposed in the Master Plan include:

- The Arts Link
- The East Link
- The O’Shaughnessy Link
- The Central Link
- The West Link
- Peripheral Links (within the Life Sciences & Technology and 21st Century Living-Learning Districts)
Arts Link
East of the Drillfield, the Arts Link is designed to connect the Upper Quad to Alumni Mall and Otey Street (following the replacement of the Squires Student Center). This link anticipates future conditions when the Creativity & Innovation District is developed and the Squires Student Center is demolished. Ultimately, the Link is intended to connect the North End Center, Turner Way, the Upper Quad, and Alumni Mall to Otey Street, creating a new pathway and bicycle route through the east side of the campus. Key areas of change along the link include the area between the Upper Quad residence halls and the Moss Arts Center.

East Link
The northern extent of the East Link connects the Drillfield to Goodwin Hall. The alignment follows Drillfield Drive, travels diagonally in a northwesterly direction to the existing portal through Norris and Holden Halls. It provides a connection to the proposed east-west Turner Way which extends from Burchard Plaza, or Tech Square, to Stanger Street. Over the long-term, when Randolph is redeveloped, the East Link is designed to continue northward on axis with the Norris-Holden portal, transitioning the slope from Turner Way northward to Barger Street. At this point, the Loop continues westward behind Whittemore to Cowgill Lawn and then northward to connect with Goodwin Hall.

To the south, the East Link connects to President’s Quad along Kent Street. It is deliberately positioned to not only transition the slope conditions but to provide accessible entrances to Vawter, Barringer, and Newman Halls. Within President’s Quad, the East Link corridor defines a shaded garden space with outdoor seating, study areas, and rain gardens in support of the stormwater strategy for the District. Rain gardens are recommended to slow the flow of water downhill toward Eggleston Quad where flooding has been experienced in the past. The East Link concept is coordinated with the overall landscape strategy for President’s Quad.

O’Shaughnessy Link
The O’Shaughnessy Link enters the Student Life District via the Eggleston portal moving southward where existing slope conditions are mitigated as part of the proposed replacement for Owens Hall and continuing uphill between O’Shaughnessy and Johnson. Between O’Shaughnessy and Johnson, the link transitions to a garden setting featuring shade trees, outdoor seating, study areas, and rain gardens. The O’Shaughnessy link ultimately connects to Washington Street.
The Central Link connects the campus from north to south - from the North Academic District to the Student Life District through the Drillfield. In the north, it originates at the new Global Business Analytics Complex (GBAC) in a series of plazas integrated with the new Multi-Modal Transit Facility (MMTF). This 24-hour facility infuses constant life into the Green Link and provides transit users a direct connection to the campus core.

The Central Link intersects with the Infinite Loop near the MMTF and a reimagined Cowgill Lawn, where a new amphitheater and performance space help to create a student life hub in the landscape. Moving through the mid-level plaza, the Central Link continues past Derring Hall and into a new landscape at the west entry of GBJ, which significantly regrades the area near Pamplin Hall and replaces the existing stairs with a new pathway sloping at less than five percent. The Link continues past Pamplin, crosses the lower path near the Burruss Tunnel, and provides a new barrier-free connection to the Drillfield.

South of the Drillfield, the Central Link passes through the ground-level portal in Campbell Hall and enters Campbell Quad. The Link provides access to Prairie Quad along an alignment located between Dietrick and Payne Hall intersecting with the Infinite Loop to the east of Dietrick and continuing diagonally across Dietrick Lawn, ultimately connecting to Washington Street and southward to Cassell Coliseum.

The northern component of the West Link provides an inclusive access from the Drillfield to the New Classroom Building. As users leave the northern edge of the Drillfield, the West Link carries them along the west side of Williams Hall before continuing through the ground-level opening between Robeson Hall and Pamplin Hall. After passing alongside the new garden west of the G. Burke Johnston Student Center (GBJ), users cross through Derring Hall and continue past the proposed Intelligent Infrastructure Fusion Lab and Dining Complex before reconnecting with the Infinite Loop at the New Classroom Building.

To the south, the West Link leads from the Drillfield along a new diagonal pathway originating between Hutcheson and Campbell Halls into a transformed Campbell Quad. Completion of the link is contingent on the redevelopment of Slusher Hall, through which the link passes before following the western edge of Dietrick and connecting with the southern extents of the Central Link at Dietrick Lawn.

Green Links are also proposed in the Life Sciences & Technology District and the 21st Century District. In the 21st Century District, the Green Links align with the meadow. Details for these links are provided in the detailed discussion of each Campus District.
Anatomy of a Green Link

Every Green Link is comprised of several urban design elements: landscape typologies, water and topography, mobility, and building programs. Together, these elements combine to create a comprehensive system of campus enhancement.

The Central Link provides an example of how these elements interact. By connecting major open spaces like Cowgill Lawn, Tech Square, and the Drillfield along a corridor with new tree plantings, the Link highlights and improves the landscape character of the campus.

The Link both responds to existing topography and carves out new terrain through select re-grading, providing opportunities for on-site stormwater management and improving campus accessibility.

Connections to other means of mobility are also made possible, as the Link intersects several major pathways and the Infinite Loop, and terminates near the Multi-Modal Transit Facility.

By engaging major entrances of adjacent buildings, the Link helps to activate these interior spaces, providing space for indoor-outdoor integration and expanded building programming.

A more detailed examination of these layered systems is available on the following spread.
Landscape Typologies

Each Green Link has a unique opportunity to enhance the campus landscape by introducing seating and stopping points, adding trees and canopy cover, and creating planting zones, gardens, and vegetated areas. This approach to placemaking creates a series of landmarks on campus and signals a novel type of open space at Virginia Tech.

Water and Topography

To achieve access for all along each Green Link, strategic re-grading of some pathways and landscapes is necessary. These topographic interventions create an opportunity to connect stormwater management solutions through campus, improving the quality of the environment while addressing a central sustainability goal.
Mobility

The pathways of the Green Links are designed to slope at less than five percent and are wide enough to accommodate inclusive access, bicycles, and small service vehicles. By creating barrier-free pathways for all, new connections across campus are provided. Each Green Link also provides access to the Infinite Loop, bus stops, and other amenities.

Buildings and Program

The design of the Green Links responds to important building entries and acts to unify the indoor-outdoor experience on campus. In many cases, this impacts the programming of new facilities which will now be able to support more outdoor collaboration space.
ADDITIONAL LANDSCAPE ELEMENTS

Open Spaces

In addition to recommendations for improvements to the Drillfield, the Landscape Framework builds upon the Central Spine of the campus, enhancing the associated open spaces and extending them as appropriate. Proposed enhancements include:

- **The Meadow**: located west of the Inn at Virginia Tech, the enhancement of the existing Meadow is proposed to provide connections to outlying Districts and natural areas of the campus, including extending into the Glade Road District
- **Troubles Creek Corridor / Intelligent Infrastructure Corridor**: a continuation of the Central Spine, the Troubles Creek Corridor is enhanced by improvements to the riparian landscape, by new roads and trails, and by a fitness park. The enhancements also contribute to the Intelligent Infrastructure Corridor which includes elements along the creek
- **CID Green**: a new park-like Green proposed in the Creativity & Innovation District—made possible over the long-term by the relocation of the Graduate Life Center (see Academic & Research Framework) and the removal of the 1960s expansion of Donaldson-Brown—is designed to contribute to stormwater management and programmatic objectives

**Dietrick Lawn**: the largest open space in the Student Life District, Dietrick Lawn provides space for social gathering, recreation, and large events. Its preservation as an open space is an important recommendation of the Master Plan

Quadrangles

The existing quadrangles of the campus are maintained and enhanced in the Master Plan. In proposed or expanded Districts, the landscape framework introduces new or reimagined quadrangles including:

- **Northwest Quad**: a new quad defined by the proposed Undergraduate Science Lab and the proposed Science Building along West Campus Drive
- **Intelligent Infrastructure Quad**: a new quad in the North Academic District associated with new facilities supporting the Intelligent Infrastructure Destination Area

**Tech Square**: a reimagined “town square” on the existing Burchard Plaza associated with the proposed North Academic Commons

**Central Green**: a new green and associated quads in the 21st Century Living-Learning District

**Life Sciences & Technology District Quads**: quads formed and shaped by future buildings

Landscape Circulation

Several circulation corridors contribute to the landscape framework by connecting quadrangles and open spaces. They are envisioned as landscape corridors coordinated with pathways and the Green Links. Key corridors include:

- **Turner Way, Central Way, and Pamplin Way** in the North Academic District
- **College Avenue and Otey Street** along Troubles Creek in the Creativity & Innovation District
- **South Duck Pond Trail**, connecting West Campus Drive to Duck Pond Drive
Virginia Tech’s campus can serve as a national showcase for innovative and holistic stormwater management while creating opportunities for student learning, hands-on research, and landscape amenities.

A thoughtful stormwater management system integrated into the landscape can enhance the quality of quads, plazas, and open spaces. The Master Plan proposes stormwater management recommendations that speak to knowledge-based stewardship and management of water and soil resources in urban and rural setting and employ best management practices (BMPs) that are functionally and aesthetically integrated into the campus landscape.

Following this comprehensive stormwater management vision, BMPs can meet water quantity and quality requirements while simultaneously enhancing learning and research opportunities in the design, implementation, and monitoring of stormwater management facilities.

When possible, interventions aimed at managing the impacts of multiple campus developments will be explored and a district-based approach will be taken. Innovative project funding and phasing will allow stormwater management elements to be designed as shared amenities, increasing their efficiency and creating a memorable campus experience.

**THE STREAM LAB**

Stormwater management is intended to become an important part of the campus infrastructure and is intended to incorporate ongoing research on Stroubles Creek associated with the Stream Research, Education, and Management Lab (StREAM Lab). The StREAM Lab is operated by Biological Systems Engineering (BSE), an engineering discipline applying concepts of biology, chemistry, and physics along with engineering science and design principles to solve problems in biological systems. It is run jointly by the College of Engineering and the College of Agriculture and Life Sciences.

The StREAM Lab is positioned along Stroubles Creek on the Heth Farm and consists of more than 50 acres of riparian habitat where water quality and other sensors are monitored by faculty and students. The goal of the StREAM Lab is to remove Stroubles Creek from the Clean Water Act list of impaired waters. Specific project objectives include the following:

- Reduce sediment loading by removing cattle access and by restoring the stream banks
- Improve aquatic habitat within Stroubles Creek
- Reduce bacteria loading by removing cattle access and restoring forested riparian buffers
- Assess the effectiveness of three methods of stream rehabilitation: 1) livestock exclusion, 2) livestock exclusion with stream bank reshaping and replanting, and 3) livestock exclusion with natural channel design.
Strategy and BMPs

To achieve this comprehensive stormwater management strategy, three general zones or circumstances are identified where water can be managed in a manner appropriate for the context. These include: 1) urban areas of the campus core, 2) transitional areas along the Western Perimeter Road and Stroubles Creek, and 3) rural areas of the Agricultural Belt and beyond.

› **Urban Areas:** In the developed core, stormwater is managed by means of underground conveyance systems that ultimately lead to Stroubles Creek. In general, these systems remain unchanged with the exception of those in the North Academic District and the Creativity & Innovation District, where new approaches are proposed in response to development and known flooding conditions (see the Districts chapter for details). To reduce the impact on the existing systems and to address water quality, several stormwater best management practices (BMPs) are proposed in the established core. These include rain gardens, bioswales, pervious paving, and green roofs among others integrated with the overall landscape framework.

› **Transitional Areas:** A 100-foot wide stream protection buffer is proposed along all branches of Stroubles Creek. The buffer is envisioned to incorporate appropriate riparian planting to minimize erosion and control runoff. Additionally, areas of development outside of, and adjacent to the campus core—including Oak Lane, the Autonomy Study Park, and the Western Perimeter Road are seen as areas where the character of BMPs should bridge between those of the more urban and more rural parts of campus.

› **Rural Areas:** The parts of campus dedicated to agriculture and natural resources require BMPs designed to reflect their rural surroundings through more naturalized plantings and land forms. These areas also contain conserved open spaces—land that is presently determined to not be used for development, allowing it to act as an infiltration zone for stormwater. Detailed information on conserved open spaces can be found in the separate Technical Appendix.
The hydrological patterns of the campus are defined by the three branches of Stroubles Creek: Webb Branch, the Central Branch, and the South Tributary. Webb Branch enters the campus near the intersection of Prices Fork Road and Stanger Street where it flows through a detention basin before entering underground culverts. It daylights and merges with the Central Branch near the Duck Pond. The Central Branch enters the campus near the intersection of College and Otey Streets and is channeled through culverts under the Graduate Life Center and Eggleston Hall before continuing westward beneath the Drillfield. The Central Branch also daylights near the Duck Pond. The South Tributary parallels Southgate Drive in a box culvert, daylighting at Duck Pond Drive before flowing westward to merge with Stroubles Creek near U.S. 460.

The Virginia Tech Campus encompasses 13 watersheds with those in the established core having the highest percentage of impervious area. The established core, generally defined by Washington St, Prices Fork Road, West Campus Drive, and Main Street, is 51.8 percent impervious. Overall, the campus is 17.2 percent impervious.
**BMP Matrix**

This matrix illustrates diagrammatic representations of the Virginia Department of Environmental Quality’s (DEQ) BMPs as applied to the three character zones of the campus. The Master Plan highlights which BMPs are appropriate for each management zone, and which should be modified to adapt to different character settings. For more details, see the Stormwater Management Report in the separate Technical Appendix.

The BMPs adapted in the plan include:

1. **Rooftop Disconnection**: runoff directed towards pervious areas rather than storm sewer system
2. **Sheetflow**: runoff from impervious and turf areas drains through native vegetation and undisturbed soils
3. **Grass Channel**: linear turfgrass swale slows and filters runoff
4. **Soil Amendments**: tilling and amending of compacted soils with compost
5. **Vegetated Roof**: evapotranspiration of rooftop plantings reduces runoff rates
6. **Rainwater Harvesting**: intercepts, stores, and retains roof runoff for future use
7. **Permeable Pavement**: porous paving units allow infiltration through paved areas. Currently not preferred by VT due to maintenance considerations and sensitivity of regional karst topography
8. **Infiltration**: temporary surface or underground storage allows incoming runoff to exfiltrate into underlying soils. Not permitted by DEQ in areas of shallow karst topography
9. **Bioretention**: shallow landscaped area designed to mimic a forested ecosystem; must have impervious liners and underdrains
10. **Dry Swale**: a linear bioretention facility
11. **Wet Swale**: a linear combination of a swale and a wetland
12. **Filtering Practice**: a sand filter with a turf surface
13. ** Constructed Wetland**: designed to mimic a natural wetland ecosystem
14. **Wet Pond**: permanent pool of standing water for gravitational settling
15. **Extended Detention Pond**: temporary (12-24hr) detention of runoff regulated by undersized outlet structure
BMP Scorecard

The Master Plan recommends that VT develop “scorecards” similar to the one below for each BMP to provide additional details, illustrate related precedents, and suggest potential applications for streamlined implementation by VT Facilities staff and contracted designers and engineers.

Dry swales are bioretenation cells that are shallower, configured as linear channels, and covered with turf or other surface material (other than mulch and ornamental plants).

**AVAILABLE SPACE**
Narrow corridors and tight areas with many constraints

**TOPOGRAPHY**
Longitudinal slopes less than 4% (2% preferred). Check dams can be used to limit runoff velocities.

**CONTRIBUTING DRAINAGE AREA**
Maximum 5 acres

**AVAILABLE HYDRAULIC HEAD AND HYDRAULIC CAPACITY**
3-4 feet; 10-year flow within swale banks

**MAINTENANCE**
Typical landscape maintenance. Short pending time (less than 6 hours) should not create metreque issues.

**POTENTIAL APPLICATION AREAS**
Road medians or shoulders, ROWs, commercial buildings, parking lots, dry extended detention basins

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**APPLICATION: PRESIDENT’S QUAD**

Coupled with the "Green Link" accessible thread weaving through the President’s Quad is the Dry Swale, adding an additional dimension and function to the student life landscape. Artful placement of Hokie Stone within the swale bottom, as well as the addition of check dams (the longitudinal slope of the Green Link exceeds 4%) create a unique garden setting experienced by large numbers of students on a daily basis.
The Landscape Framework builds upon the existing structure of the campus defined by its topography, hydrology, and wooded areas and highlight’s VT’s land grant legacy by celebrating the University’s natural setting and agricultural heritage.
Virginia Tech believes that everyday commuting choices can have a community-wide impact, and it is committed to encouraging multi-modal travel as an attractive alternative to single-occupancy driving.

The Master Plan reflects this philosophy by prioritizing human-powered movement, bicycle, and transit access with the goal of providing an integrated approach to mobility. It also addresses the prospect of providing autonomous vehicle shuttle services on the campus. The recommendations of the plan build upon the previously developed Parking and Transportation Master Plan (PTMP) completed by VHB in 2015, refining elements of the PTMP based on a broader assessment of VT’s development needs.
Virginia Tech is committed to enabling the campus community to live a low-impact lifestyle to achieve a healthier, greener campus environment that is accessible to all.

As part of the mobility plan, the University intends to continue enhancing pathways across key Campus Districts. To support these efforts, the major circulation interventions of the Master Plan include the Infinite Loop and Green Links (see the Campus Vision chapter) as well as the general network of paths and routes throughout the campus. An overarching principle is to make the campus accessible for all members of the campus community. This requires incremental improvements to vertical connectivity as paths are replaced and extended over the years ahead.

Major elements of the pathway network as laid out in the Master Plan include:

**North Academic District**
- **Turner Way**: extending from Tech Square to Turner Street, the closure of Old Turner Street to vehicular traffic enhances accessibility and the public realm (vehicular access for ADA parking, service, and emergency access is maintained)

**Creativity & Innovation District**
- **Central Way**: extending from West Campus Drive to Stanger Street via the Burruss Tunnel
- **College Avenue**: pathway linking Main Street to the Drillfield
- **Otey Street**: pathway functioning as a continuation of the Arts Link connecting to Roanoke Street

**Crossings**
One challenge that the campus community faces is inadequate or confusing street crossings. To provide clarity and direction, it is recommended that Virginia Tech consolidate crossings where appropriate, such as along West Campus Drive.

In addition to the consolidation of crossings, several improvements are recommended to facilitate east-west movement. Major crossing considerations include:

- **Perry Street Extension**: an enhanced crossing featuring new paving materials and road markings is proposed at the intersection with West Campus Drive. High volumes of non-motorized traffic are anticipated at this intersection following construction of the 21st Century Living-Learning District.

- **Infinite Loop North**: a crossing is proposed where the Infinite Loop crosses West Campus Drive at the Duck Pond Drive intersection. This segment of the Loop diverts from the Perry Street extension accommodating bike and autonomous vehicles routes.

- **Infinite Loop South**: new paving materials and road markings are proposed where the Loop crosses West Campus Drive.

- **North and South Drillfield Drive**: enhanced crossings are proposed to provide access to The Grove and Duck Pond.

- **West Green Link at West MMTF Loop**: due to the regularity of vehicular and bus traffic leaving the West MMTF Loop, this crossing should be de-emphasized to discourage unsafe conflicts.
THE INFINITE LOOP

The Infinite Loop is critical to the achievement of the University’s accessible circulation goals and provides connections between the campus districts for all members of the VT community.

The Loop is designed as a comprehensive circulation corridor accommodating pathways, cycle ways where appropriate, and autonomous vehicle routes. The proposed alignment responds to topographic changes and the dimensions between the buildings and site features of each District. It also intersects at key moments with the proposed Green Links.

Aesthetically, the Loop is envisioned as a distinctive corridor contributing to the character of the campus and featuring unique paving materials, lighting, and other identity elements. Technically, the Loop is imagined to include sensors that monitor mobility patterns and vehicle systems. Importantly, the sensors are interchangeable allowing researchers to incorporate emerging technologies and respond to new opportunities.

Loop Alignment

The alignment of the Loop weaves through the Campus Districts surrounding the Drillfield. Beginning in the North Academic District, the Loop connects West Campus Drive to Stanger Street on a route entering the District south of the New Classroom Building to connect with the Perry Street corridor. At Stanger Street, the Loop turns south towards Vawter Hall with bicycles shifting to designated bike lanes on the road. The Loop then heads west near Owens Hall through Prairie Quad ultimately linking to Dietrick Quad and beyond to West Campus Drive (bicycle circulation is proposed on Kent and Washington Streets).

A continuation of the Loop extends westward through the proposed Life Sciences & Technology District to Duck Pond Drive then north to a new road, known as Perry Street Extension, linking West Campus Drive to the future Western Perimeter Road. From this point, the Loop turns east following the existing Duck Pond Drive alignment to West Campus Drive where it connects to the North Academic District south of the New Classroom Building.
Character Zones

The 2.1 mile long Infinite Loop is organized into several distinct Character Zones. These zones shape the physical details of the Loop and respond to the conditions of each District. The Character Zones include:

› **Urban Boulevard:** Through the North Academic District, the Loop incorporates a mix of modes as it passes by key transit stops and open spaces.

› **Shared Street:** Along Stanger Street, Kent Street, and Duck Pond Drive, bikes shift to dedicated lanes on adjacent roadways as the loop takes on a more pedestrianized character.

› **Residential Pathway:** Because bikes are supported in proposed dedicated lanes along Washington Street, the Loop can more easily support the high pedestrian traffic in the Student Life District.

› **Research Walk:** In the Life Sciences & Technology District, the Loop is integrated with the proposed research quads and serves as a potential testing ground for discovery.

› **Recreation Track:** As it passes by the Duck Pond near the 21st Century Living-Learning District, the Loop combines with the adjacent trails and bikeways to contribute to a more recreational feel.
Campus Commons

In addition to providing accessible circulation between campus districts, the Infinite Loop serves as an organizing structure for the distributed Campus Commons. The Commons, as well as the major dining halls, serve as VT’s primary student life hubs and are situated throughout the campus to meet the needs of the University’s large and geographically dispersed population.

As the Loop moves through each district, it expands into pedestrianized plazas to engage with these hubs and support socialization and collaboration. By acting as both a connective tissue and an active element of student interaction, the Loop solidifies itself as an integral part of the VT campus.
The Infinite Loop serves to connect the Districts and amenities of the VT campus through a variety of modes.

It is designed to provide access to all members of the campus community and also accommodates bicycle and, potentially, autonomous vehicle traffic. Through contextual landscape interventions, the Loop also addresses stormwater management concerns and acts to link several campus plazas and open spaces. Overall, the Loop is approximately two miles in length.

The sections on the following pages describe these strategies in more detail.
Autonomous Vehicle

The Loop also could serve as a testing ground for the use of autonomous vehicles (AVs) on campus. Findings from these investigations could inform future interactions between AVs and non-motorized users in slow-moving applications.

Vehicular

No vehicular traffic is permitted on the Loop, with the exception of service and emergency access.

Bioswale

Where the opportunity arises, the landscapes integrated into the Infinite Loop serve to direct, store, and filter stormwater.

Plaza

To add to the dynamic experience of traveling along the Loop, the path expands to incorporate active plazas at major building entries and other central outdoor spaces.

Other

The Infinite Loop also interacts with several other kinds of spaces including transit plazas, performance spaces, and a variety of transitional landscapes.
Section A
MULTI-MODAL TRANSIT FACILITY & COWGILL LAWN

In the North Academic District, the Infinite Loop supports adjacent outdoor gathering spaces including the MMTF plaza and the recommended amphitheater seating at a reimagined Cowgill Lawn. Space is included for inclusive access, bikes, and autonomous vehicle “pods” while the adjacent landscape acts as a bioswale to filter stormwater runoff. Throughout the campus, unique paving, lighting, and seating elements highlight the Loop’s importance to campus connectivity and innovation.
Section B
MULTI-MODAL TRANSIT FACILITY: EAST BUS LOOP
At the MMTF’s East Loop, the Infinite Loop connects users to the new campus transit routes, integrating the designs of the adjacent bus stop plazas into the Loop’s open space network.
Section C  
STANGER STREET AT KELLY HALL  
Along Stanger Street the Infinite Loop supports inclusive access and autonomous pods while bike travel is located in dedicated lanes on Stanger Street.
Section D
KENT STREET AT CID COMMONS
As the infinite Loop passes through the Creativity & Innovation District, it links users to the CID Commons while following the alignment of Kent Street. As is true along Stanger Street to the north, bike travel is supported via dedicated lanes on the roadway rather than within the Infinite Loop.
Section E
PRAIRIE (FITNESS) QUAD

Through the Student Life District, the width of the infinite Loop changes in response to its surrounding context. Moving past the proposed outdoor fitness park at Prairie Quad, the Loop’s width reduces to 16’ as bike traffic shifts to Washington Street. Integrated seating elements allow the Loop to serve as an extension of the District’s many residential quads.
Section F

DUCK POND DRIVE AT GLOBAL SYSTEMS SCIENCE

In the Life Sciences & Technology District, the Loop again widens to 20’ to support the volume of users parking in the nearby Cage Lot and taking advantage of the commuter services located in the proposed Global Systems Science building. Bike travel is supported in dedicated lanes along Duck Pond Drive.
Section G
21ST CENTURY LIVING-LEARNING COMMONS & DUCK POND

The Infinite Loop takes on a more recreational character as it passes through the 21st Century Living-Learning District. Serving as a promenade at the edge of the Duck Pond, the Loop boasts views of the Stroubles Creek Corridor and connects to the recreational trails running along the adjacent Intelligent Infrastructure Corridor.
Aesthetically, the Loop is envisioned as a distinctive corridor contributing to the character of the campus and featuring unique paving materials, lighting, and other identity elements.
Given the scale of the Blacksburg campus, VT views bicycling as an important travel mode that enables students and employees to reach destinations efficiently.

A goal of the Master Plan is to encourage the use of bicycles within the campus and from surrounding neighborhoods. The University has made several investments to support bicycling on campus, including building on-campus infrastructure and coordinating with existing community routes to create a complete system.

Within the campus, the Infinite Loop and other pathways are laid out to facilitate bicycle access to the various Districts. Bike routes in the established core are connected to outlying trails including Huckleberry and trails in the Intelligent Infrastructure Corridor along Stroubles Creek. Bike routes extend from the North Academic District to the proposed Smart Design and Construction Village (south Plantation Road area) via the Stroubles Creek Corridor, providing access to the campus for students living west of Plantation Road in adjacent apartment developments.

Other recommended improvements include:

- The addition of bicycle lanes on Washington Street
- Removal of on-street parking on Kent Street to accommodate an uphill climbing bike lane
- The addition of a buffered bicycle lane on Drillfield Drive
- Continued implementation of the 2014 Bicycling Parking Master Plan
- Covered bike parking facilities located in areas of high bike parking demand
- Creation of enhanced shower facilities for bike commuters at major hubs such as the distributed Campus Commons, dining halls, and recreation centers

**Bike Share Program**

The proposed regional bike share program is intended to facilitate movement within the campus and to provide options to the commuting population who may take transit or drive to campus. While additional studies are needed as the bike share program continues to develop, the Master Plan proposes bike share stations at campus transit stations, including the MMTF, and in the peripheral parking areas to encourage commuters to bike once they arrive on campus. Additional bike share stations and personal bike parking are concentrated in “bike corrals” at major campus destinations such as the Campus Commons.
Transit connectivity is an important aspect of the integrated mobility strategy for the campus. An outward shift in campus parking locations for commuting students, combined with transit facility improvements, will allow transit (as well as active transportation) to play a larger role in connecting commuters to the campus core. The most critical transit investment on campus is the Multi-Modal Transit Facility (MMTF) proposed in the North Academic District as recommended by studies that precede this Master Plan. The MMTF, combined with other bus hubs, establishes a campus-wide network.

To improve the transit experience, the MMTF and other transit hubs are coordinated with the Campus Centers and other locations offering amenities and shelter. The East and West MMTF facilities are designed as portals into the campus for transit users originating at destinations off campus as well as those who park in the various remote parking facilities of the campus.

In addition, the introduction of circulator shuttle routes with high frequencies will encourage the use of more remote parking lots by providing quick and convenient travel around the campus. Potential future routes make use of roadways that currently support transit and connect the campus to the surrounding town and region, including the Hethwood residential area.

Proposed routes and stops shown in the adjacent image are conceptual in nature and will require close coordination with Blacksburg Transit to ensure appropriate lane widths and infrastructural needs.
VEHICULAR NETWORK

The existing road network is modified in the Master Plan in response to changes in land use and circulation. Recommended improvements include:

**Western Perimeter Road**

The Western Perimeter Road (WPR) is a planned roadway linking Prices Fork Road to the Southgate Drive designed in coordination with VDOT to relieve congestion on local arteries. This new parkway features a central landscape median and off-road bike paths on the east side of the road. The WPR is intended to provide an alternative north-south route through the campus with the goal of decreasing the volume of traffic on West Campus Drive. Existing and proposed commuter parking areas are planned along the WPR including the Cage Lot and the interim parking area proposed in the 21st Century Living-Learning District. The WPR intersects with east-west roads at the Inn at Virginia Tech, at the Perry Street Extension, at Washington Street, and at Southgate Drive. Roundabouts define each of these intersections. The WPR also intersects Oak Lane by way of a “T” junction.

**Washington Street**

East of Duck Pond Drive, Washington Street is extended westward to Western Perimeter Road.

**West Campus Drive**

Decreased traffic volume is anticipated on West Campus Drive following the completion of the Western Perimeter Road allowing changes to the road width and the redesign of crossings to favor non-motorized mobility. To that end, the intent is to redesign the road as a “complete street” by removing the left turn lanes that exist north of Drillfield Drive, extending the bike lanes northward to intersect with Prices Fork Road, and accommodating transit access. South of Drillfield Drive, the current street section reflects the intended design for the northern portion: two travel lanes and two bike lanes. Turning lanes are maintained north of the Perry Street Extension to accommodate the anticipated volume of left turns.

**Roundabouts**

Roundabouts are employed throughout the updated road network. They encourage lower travel speeds, improve traffic flow, and eliminate incentives for drivers to “beat the light.” Key areas where roundabouts are envisioned include Washington Street and Duck Pond Drive, Washington Street and Beamer Way, and Stanger Street and Perry Street.

**Emergency and Service**

Emergency and service access is maintained in the Master Plan throughout the campus including non-vehicular areas where service and emergency routes are provided on pathways where needed.

The Master Plan resolves conflicts between major pathways and service vehicles where possible. For example, a redesigned Barger Street will help more clearly define crossings and create a more inviting streetscape.

**North Academic District**

Improvements to the vehicular network in the North Academic District, including roadway changes to accommodate the Multi-Modal Transit Facility and access to the Perry Street Garage are described in the Districts chapter.
The Master Plan reorganizes existing campus parking based on the strategies of the 2015 Parking and Transportation Master Plan and in response to proposed development and changes in circulation patterns.

Parking

Commuter student parking is displaced from the established core to accommodate development, notably in the North Academic District. Faculty, staff, and accessible parking will remain available within the center of campus. The proposed strategy makes better use of under-utilized parking on the periphery of the established core. This strategy also minimizes driving within the core and is partnered with providing connections to the core by means of transit services, bike share program and network, and improved pathways.

Existing peripheral parking areas include the Cage Lot and Chicken Hill. The Cage Lot is planned as the major commuter parking lot with convenient access from the proposed Western Perimeter Road. Chicken Hill and other lots in the south campus are designated for use by resident students.

A potential remote lot containing approximately 550 spaces is also considered between the Montgomery Regional Airport and Phase 2 of the Corporate Research Center.

The Master Plan identifies sites for new parking garages to address near-term as well as long-term parking demand. These include:

Creativity & Innovation District Garage

A new garage is planned in the Creativity & Innovation District at the corner of Otey and Roanoke Streets to replace spaces lost due to construction. It is intended to serve demand generated by the library, performance venues and new academic buildings proposed in the District.

West Garage

Over the long-term, a garage is proposed on the Cage Lot to replace parking lost to the westward expansion of the Life Sciences & Technology District. It is located to be accessible from the Western Perimeter Road.

North Garage

Another long-term garage is identified in the Master Plan in the 21st Century Living-Learning District. This garage is proposed in advance of full build out of the District; surface parking is recommended in the interim years. The intent of locating parking in this District is to intercept commuters entering the campus from the north via the future Western Perimeter Road.
Parking Capacity and Demand

The Master Plan maintains most existing parking capacity—which far surpasses current demand—on campus in the short-term by taking advantage of unused capacity at peripheral locations and improving pedestrian, bicycle, and transit connectivity within the campus core. In the long-term, capacity reductions across the campus will provide opportunities for development of additional academic, research, and campus life facilities while supporting VT’s goals of reducing auto-oriented transportation. ADA-accessible spaces in the core of campus will be maintained.

To prevent a capacity deficit as demand increases due to enrollment growth, the University will need to incorporate a variety of transportation demand management (TDM) strategies to encourage the use of other travel modes. Such strategies will be determined based on future assessments of policies, plans, and practices aimed at reducing private vehicle use and, therefore, parking demand.
Parking Capacity by District

The Master Plan shifts the location of campus parking from the core to the periphery, encouraging the use of other modes in the center of the campus. As new development is phased in each District, existing surface lots are removed, reducing District capacity, though ADA-accessible spaces will be maintained. The exception to this is the 21st Century Living-Learning District which will see the current golf course converted to residence halls and surface parking in the short term, creating new parking that is within walking distance of the North Academic District. A garage in the Creativity & Innovation District and long-term (Phase 2) garages in the Life Sciences & Technology District and the 21st Century Living-Learning District help to offset some loss of capacity due to the displacement of surface lots.
The Master Plan recommendations make campus streets better suited to multi-modal mobility.

In addition to adjustments to the network of campus streets, the Master Plan proposes changes to the layout of select roadways to respond to the Parking and Transportation Master Plan and to align with VT’s commitment to promoting a shift towards more biking and transit use. While driving will continue to be a popular choice for members of the VT community, the relocation of parking from the campus core and improvements to transit, bike, and pathway networks will allow roadways to be redesigned for a wider range of mode choices. These interventions include lane width reduction to discourage speeding, the introduction of separated bike lanes to promote active transportation, and improved pathways to encourage active mobility.

The sections on the following pages describe these strategies in more detail.
### Bicycle

Separated bicycle lanes with a minimum width of 5-to-6-feet provide comfortable and efficient routes for increased bicycle traffic. Where possible, these lanes will connect to the greater campus bicycle network including regional trails and the Infinite Loop.

### Bus

Bus traffic will be supported by lanes shared with general auto use. Adjustments to the transit network will determine which streets see the most bus traffic.

### Pathways

Changes to existing pathways, such as shifting paths away from the curb and away from moving traffic, provide a more comfortable user experience. Where the Infinite Loop runs parallel to select roadways, it acts as a widened pathway to provide more room for movement.

### Autonomous Vehicle

At this time, autonomous vehicle (AV) traffic is expected to be tested only in non-motorized zones like the Infinite Loop. Accommodations for AVs on existing roadways will require additional future studies.

### Planting

Streetscape planting interventions improve the user experience by adding visual interest and providing a buffer between pathways and traffic.
Section A
DRILLFIELD DRIVE (SOUTH)
Per the Drillfield Enhancement Plan developed by the Office of University Planning, existing angled parking spaces are shifted to the outside edge of Drillfield Drive to preserve views of the Drillfield. In most places, parallel parking spaces are removed entirely. Bus pull-offs are maintained where necessary.

PROPOSED
Section B

DRILLFIELD DRIVE (NORTH)

As with the southern part of Drillfield Drive, parking is shifted to the outside curb, leaving a 12’ traffic lane with a “sharrow” indicating a shared bike lane.
Section C
ALUMNI MALL
Reducing existing lane widths from 18’ to 12’ allows for the addition of a 6’ bike lane without removing street parking. Bikes are kept within the roadway, buffered by the parking lane, rather than accommodated within the median in order to preserve the ceremonial aesthetic of Alumni Mall and to maintain cyclists' access to adjacent buildings.
In addition to dedicated bike lanes along Alumni Mall, landscape and circulation improvements are also proposed. Extending the median tree plantings and introducing additional street trees improves human comfort levels, while the inclusion of seating elements help to activate the space. The Arts Link, one of the proposed Green Links, crosses Alumni Mall, creating an accessible connection between the Northeast & Upper Quad District and the Creativity & Innovation District.
Section D
WASHINGTON STREET

Improvements to Washington Street include reducing travel lane widths to 12’, removing street parking, and adding bike lanes in each direction.
Section E
STANGER STREET AT McBRYDE HALL

On Stanger Street east of McBryde, travel lane widths are reduced in order to add a southbound dedicated bike lane in place of the existing “sharrow” setup. Additionally, the proposed design of the Infinite Loop on the east side of the street includes a planting zone to buffer pathways from adjacent traffic.
Section F
WEST CAMPUS DRIVE AT NEW CLASSROOM BUILDING
By transforming West Campus Drive from a four-lane road to a three-lane (including a central shared left-turn lane) once the Western Perimeter Road is opened, north- and south-bound dedicated bike lanes can be extended from Drillfield Drive to Prices Fork Road.

EXISTING

PROPOSED
Section G
STANGER STREET AT DURHAM HALL

Recommendations for the stretch of Stanger Street east of Durham Hall include widening the right-of-way to preserve two way vehicle traffic, preserving existing bike lanes, and adding one lane of parallel parking between the northbound bike lane and the adjacent travel lane.
Districts
The Master Plan establishes Campus Districts based on the vision and initiatives of Beyond Boundaries.
The Districts respond to existing conditions, emerging programmatic needs, and campus life goals.

Each district is organized around a particular focus, such as academics, research, or student life. This programmatic emphasis drives the physical form of district buildings, open spaces, and circulation networks and gives each district a distinct character. It also serves to intensify collaboration opportunities between students, faculty, and staff.

In addition to its primary focus, each district is also planned to contain a variety of campus life and support uses, including social and gathering spaces, dining opportunities, and considerations for experiential learning and external partnerships.

This chapter lays out the comprehensive vision for each district and enumerates the proposed development, open spaces, stormwater strategies, and circulation networks therein.
North Academic District
The North Academic District is the traditional center of the formal learning experience at Virginia Tech, accommodating the following Colleges and Schools:

- College of Architecture and Urban Studies (CAUS)
- Pamplin College of Business
- College of Engineering
- College of Science

It is a District dominated by academic and research facilities, including some of the most iconic buildings of the campus. It also is the most intensely utilized academic District, supporting a majority of the classroom and lab activity scheduled by the registrar. Given the level of activity and the population density in the District, it lacks adequate gathering, collaboration, and amenity space including food service and convenience retail. Lavery Hall and GBJ are currently the only dining locations, with Lavery at capacity on most days.

The northern portion of the District, characterized by surface parking lots and the Perry Street Garage, is the focus of several planning initiatives that precede the master planning process. These include new academic buildings, food services, and transportation facilities like the Multi-Modal Transit Facility (MMTF). The MMTF is planned as the portal to campus for commuters utilizing the transit system as well as those who park in remote commuter parking lots. It is planned as the arrival and departure point for a majority of the campus transit services and is comprised of bus terminals on the east and west side of the Perry Street Garage.

**Vision**

The Vision for the North Academic District takes into consideration several previously planned facilities, emphasizing the following strategies for improving the user experience:

1. Major improvements are proposed to the public realm and landscape structure of the District. This includes a system of new pathways, open spaces, and outdoor gathering areas designed to enhance connectivity, extend the learning environment outdoors, and integrate the northern portions of the District to the established academic core.

2. Collaboration, engagement, innovation, and gathering spaces are distributed across the District in both existing and proposed facilities. To ensure that a vibrant and engaging academic environment emerges, these spaces are located along major pathways where movement is expected to be the highest. Over the long-term, the goal is to transform Cowgill and Burchard Hall into the North Academic Commons (see the Campus Life Framework for details).

3. Classroom, lab, and other instructional activities are concentrated in the District with the intent of limiting the need to travel to other areas of the campus for classes. Specifically, the plan is to relocate classrooms out of the Surge Space Building into the District, thereby reducing the distance that students must travel between classes.
**Section A**
**DRILLFIELD TO PERRY STREET GARAGE**

The North Academic District slopes up from the Drillfield to the Burruss Hall entrance and terraces back down through the reimagined Burchard Plaza—now Tech Square—on its way to the proposed MMTF and the Perry Street Garage. The Master Plan envisions centering daytime campus life activity on top of this plateau, with the student organizations, cultural centers, and gathering spaces of North Academic Commons occupying Cowgill and Burchard halls. Three Green Links in this District provide access for all members of the campus community to major campus destinations and infuse high quality landscapes and stormwater management into the academic core.
Several new facilities and major renovations to existing buildings are proposed throughout the North Academic District to accommodate expanding academic programming.

GLOBAL BUSINESS AND ANALYTICS COMPLEX (GBAC)
A new academic and research facility is proposed at the intersection of Price’s Fork Road and West Campus Drive. The Global Business and Analytics Complex (GBAC), which includes space programmed for the Data and Decisions (D&D) Destination Area, is envisioned as a gateway building. This facility is imagined as a multidisciplinary collaboration hub associated with Architecture, Business, Engineering, and Science programs as well as the Integrated Security Destination Area.

The GBAC companion living-learning communities, which also house the International Affairs and Outreach program, are located in the 21st Century Living-Learning District (see 21st Century Living-Learning District section for more details).

UNDERGRADUATE LAB BUILDING
A new lab facility is planned to accommodate much needed undergraduate lab space in response to enrollment increases and interest in STEM programs.

RANDOLPH HALL
A strategy is provided for replacing Randolph Hall in two separate buildings, one incorporating the existing wind tunnel. Phase I of this development will accommodate garage, support, and lounge space for the Virginia Tech Rescue Squad.

HOLDEN HALL
To accommodate and enhance the Materials Science and Engineering program, the one story portion of Holden Hall is replaced in the Master Plan. The new facility includes labs and offices.

HITT HALL & INTELLIGENT INFRASTRUCTURE BUILDING
A companion facility to Bishop Favrao, known as Hitt Hall, is proposed for expanding the School of Construction. The directly adjacent and connected Intelligent Infrastructure Fusion Lab is proposed to house emerging activities in Unmanned Autonomous Vehicles (UAVs) and other robotics technologies associated with the building industry. The Fusion Lab is planned to include a smart dining facility on the ground floor and an outdoor testing area or “sandbox” for robots and other technologies.

PAMPLIN HALL
Construction of the new GBAC building facilitates the repurposing of Pamplin Hall for other uses. A detailed programming study is recommended for the building to determine the best uses and to identify opportunities for strategic co-locations that strengthen interdisciplinary partnerships, particularly in Destination and Strategic Growth Areas. A portion of the building may also be used to expand classroom capacity to support enrollment growth.

G. BURKE JOHNSTON (GBJ)
The G. Burke Johnston Student Center (GBJ) is repurposed in the Master Plan to provide additional student academic support facilities.

HAHN HALL & ROBESON EXPANSION
Additional academic and research space for the Department of Chemistry, the Department of Physics, and other College of Science programs is accommodated in an expansion of Hahn Hall and a proposed companion building to Robeson Hall.

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<th>Proposed Buildings</th>
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<td>03 Future Science Lab</td>
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<th>Renovated Buildings</th>
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<td>A GBJ Student Services Center</td>
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<td>B North Academic Commons (Cowgill and Burchard)</td>
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<td>C Pamplin Hall Renovation</td>
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North Academic Commons

Cowgill and Burchard Halls are reimagined in the Master Plan as the North Academic Commons—the heart of campus life for the day-time and commuting population. Cowgill is centrally located relative to the academic buildings of the District and relative to the MMTF and Perry Street Garage. Its central position and configuration make it an ideal location for a Campus Commons.

Renovations to the building support the idea of creating a central gathering point for social and informal activities and for consolidating student government offices, meeting space, and collaboration space as well as offices for the Division of Student Affairs. VT’s cultural centers will also be accommodated in the North Academic Commons with supporting amenities such as communal kitchens, meeting rooms, and quiet spaces for contemplation and reflection.

Cowgill is envisioned as the “living room” for the day-time campus population, supported by a range of amenities including small-scale food service, thereby supplementing the dining facilities provided in Lavery and the proposed Smart Dining Facility at the Intelligent Infrastructure Building. Combined, these facilities form a network of dining options in the North Academic District.

To facilitate the transformation of Cowgill and Burchard, the College of Architecture and Urban Studies (CAUS) is relocated to a new building on the Alumni Mall, enabling the College to consolidate its programs at the heart of the Creativity & Innovation District (CID). The new CAUS building replaces the Squires Student Center and architecturally defines the southern edge of the Alumni Mall while offering a major opportunity for an innovative design, representing the vision and mission of CAUS. The building is viewed as the anchor for the CID which is envisioned to be a vibrant 24-hour hub of activity.

Relocation of CAUS to the CID introduces 2000 students, faculty, and staff to the District, thereby creating a critical mass of activity and population to support the University’s mission of fostering collaboration and innovation. Further, because integrating student life activities into the academic core is a priority for the University, strategies for expediting the space moves necessary for the creation of the North Academic Commons are in the best interest of the entire VT community.
NORTH ACADEMIC COMMONS

Moving the primary student life hub to the center of the North Academic District adds vibrancy to the area and allows for the architectural transformation of the facility.
North Academic Commons

Cowgill and Burchard Halls are reimagined as the North Academic Commons — a vibrant campus life hub in the center of daytime academic activity. Spaces for student organizations, collaboration, and social events are located throughout the new facility, and the buildings seamlessly engage the adjacent Tech Square plaza to encourage opportunities for interaction.
In support of enhancing the campus experience, the Master Plan includes several new quads and pathways designed to unify the North Academic District.

The intent is to extend the learning environment outdoors and to create a pathway network reinforced by quality landscape and hardscape elements and a distribution of activities that enhance key corridors. Several outdoor learning environments are proposed replete with seating, shade, lighting, and Wi-Fi access. The improvements provide access for all members of the campus community and address important issues of operations, infrastructure, and service access to the North Academic District.

**Infinite Loop and Green Links**

Circulation in the Master Plan builds upon the two campus-wide circulation concepts focused on providing access for all members of the campus community. First, the Infinite Loop moves in an east-west direction through the District. This multi-modal corridor provides a barrier-free pathway between the Campus Districts and permits the testing of autonomous vehicles. Second, three Green Links are proposed to provide north-south access linking the Drillfield to the facilities on the north side of campus:

**WEST LINK**

The West Link provides access for all members of the campus community from the Drillfield to the New Classroom Building. The West Link is located along the west side of Williams Hall before continuing through the ground-level opening between Robeson Hall and Pamplin Hall where steep slopes require ramps and handrails. After passing alongside the new garden west of the Johnston Student Center (GBJ), users cross through Derring Hall and continue past the proposed Intelligent Infrastructure Fusion Lab and Dining Complex before reconnecting with the Infinite Loop at the New Classroom Building.

**CENTRAL LINK**

The Central Link connects the Drillfield to the GBAC building on the extreme north side of campus. The alignment runs parallel to the west side of Burruss, along the west side of GBJ, and through the proposed GBJ garden, connecting diagonally in a northeasterly direction to the Cowgill Lawn area. On Cowgill Lawn, it swerves in a northwesterly direction to navigate the slope condition down to the Perry Street elevation. From there it travels north along the west side of the Perry Street Garage.

**EAST LINK**

The East Link is more circuitous due to the slope conditions east of Burruss Hall. The alignment follows Drillfield Drive and travels diagonally in a northwesterly direction to link to the existing portal through Norris and Holden Halls. This route provides a connection to the proposed east-west Turner Way which extends from Burchard Plaza, or Tech Square, to Stanger Street. Over the long-term, when Randolph is redeveloped, the East Link is designed to continue northward on axis with the Norris-Holden portal. This future Link transitions the slope from Turner Way northward to Whittemore and Durham Hall. It then follows the south side of Whittemore to connect with Cowgill Lawn. The East Link then continues northward to provide access to Goodwin Hall and future development on the north side of campus.

**Quads and Open Spaces**

Through the reimagining of existing quads and the design of wholly new landscapes, several open spaces are proposed for the District. These spaces serve to connect building interiors with major circulation paths, expanding the realm of learning and research on the campus.

These spaces include Tech Square, Turner Way, GBJ Garden, Cowgill Lawn, Northwest Quad, and the Intelligent Infrastructure Quad.

**TECH SQUARE**

The existing Burchard Plaza is reimagined as the “center” of student engagement activities and is renovated to provide seating, greenery, signage, and architectural elements that facilitate outdoor study and informal gatherings and that provide a location for student organization promotional activities. It is envisioned as the “town square” of the campus. As part of the renovation strategy, the existing pyramid skylights are replaced such that views across the plaza are possible.
TURNER WAY
The existing parking lot leading from Burchard Plaza to McBryde is redesigned in the Master Plan as a pathway providing inclusive campus access and featuring shade trees, consistent paving, seating, and signage elements. It is imagined as an enhanced pathway that also accommodates service vehicles and emergency access as well as ADA and other convenience parking spaces. The eastward continuation of Turner Way links to the new Corps Leadership and Military Science building proposed in the Upper Quad and beyond to the businesses located on Main Street in downtown Blacksburg.

GBJ PLAZA
A new plaza and planting area is proposed west of GBJ in conjunction with the Central Green Link. This plaza serves as a gateway to the student life uses in GBJ and significantly regrades the area near Pamplin Hall by eliminating the stairs and providing a new pathway that is accessible to all members of the campus community.

COWGILL LAWN
A new campus open space, Cowgill Lawn, is proposed as the foreground to the Campus Commons featuring a gathering space for campus events and day-to-day activities. As such, the design includes accessible seating terraces, plaza areas, and a performance stage.

NORTHWEST QUAD
The Northwest Quad is defined by Undergraduate Lab Building and new Science Building along West Campus Drive. The landscape provides a visual break for those traveling on West Campus Drive, and the space is designed to encourage collaborative opportunities between users of the two buildings, while simultaneously providing a space to showcase the work occurring within these facilities.

INTELLIGENT INFRASTRUCTURE QUAD
The proposed Intelligent Infrastructure Corridor, linking the North Academic District to the Smart Design and Construction Village, follows the Stroubles Creek corridor. In the North Academic District, the corridor extends into the Intelligent Infrastructure Quad (IIQ), an open space defined by the New Classroom Building and the proposed Hitt Hall and Intelligent Infrastructure Fusion Lab.

The IIQ is envisioned as a water-receiving landscape featuring:

1. Outdoor gathering and seating areas associated with the smart dining facilities proposed on the ground floor of the Intelligent Infrastructure Fusion Lab
2. A “sand-box,” or outdoor testing area, for robotics and other technologies
3. A diagonal pathway linking the West Green Link and Derring Hall steps to the New Classroom Building
Burchard Plaza transforms into Tech Square—a social space that fosters collaboration and provides space for comfortable outdoor study through enhanced seating, planting, and lighting strategies.
Old Turner Street is reimagined as Turner Way, a pedestrianized promenade providing seating, accessible mobility, and enhanced landscaping while maintaining service, emergency, and ADA parking access.
A reimagined Cowgill Lawn serves as the nexus between two Green Links and the Infinite Loop and activates the northern entry of the North Academic Commons through a proposed amphitheater for outdoor learning and socialization.
PEDESTRIAN CONNECTIONS
Access to Tech Square through North Academic Commons

AUTONOMOUS PODS
Programmed to move through pedestrian environment safely

INTELLIGENT LIGHTING
- Collects data on pedestrian/bike traffic volume
- Sensor-operated system increases energy efficiency and reduces light pollution
ACCESSIBILITY
Provision of wheelchair spaces as well as companion seats for the amphitheater

BIOSWALE
Stormwater runoff can be redirected before entering the drainage system

SMART TRANSIT SYSTEM
Provides notifications of departure/arrival time
In order to accommodate future development, additional green space and landscape strategies are proposed in response to the ebb and flow of the Stroubles Creek during major storm events.

In the North Academic District, the Webb Branch of Stroubles Creek is currently diverted into culverts that run diagonally across the District from a point near the intersection of Stanger and Prices Fork Road to West Campus Drive near the New Classroom Building. The proposed strategy relies on sustainable techniques to manage water including stormwater best management practices (BMPs) designed to direct, detain, and filter water.

Throughout the District, urban stormwater strategies should be used when possible to correspond to the density of development. Additionally, due to the limited large open spaces in the District, on-site BMPs will need to be heavily supplemented through the use of Conserved Open Space (refer to the Landscape Framework section of this report for more information).

Stormwater Strategy Elements

1. New water-receiving landscapes are planned south of Goodwin Hall to collect building runoff and direct water towards the day-lit Stroubles Creek.

2. A series of urban basins and swales, fed by surface flow and dedicated curb-cuts, is located along the Infinite Loop from Whittemore Hall to the New Classroom Building.

3. A water receiving landscape is proposed between the New Classroom Building and Derring Hall. This open space is defined by Hitt Hall and the Intelligent Infrastructure Building and is envisioned to include water management features as well as areas for outdoor study, dining, and reflection. The Infinite Loop is routed through this space connecting areas west of West Campus Drive to the Perry Street corridor.

4. Just south of the North Academic District, a stormwater park is proposed west of the Drillfield between Drillfield Drive and West Campus Drive. By daylighting Stroubles Creek and activating this space with seating, landscape, and circulation amenities, the Drillfield gains an attractive western gateway while achieving VT’s sustainability goals.
Major changes to circulation are proposed in the North Academic District in response to proposed buildings, the MMTF, and campus-wide circulation concepts such as the Infinite Loop and Green Links.

The presence of the Perry Street Garage and MMTF in the District reinforce its importance as the portal into and out of the campus for a majority of the population. In response, circulation in the District is designed to facilitate inclusive access, bicycles, transit and, to a limited degree, private vehicle movement. The following provides an overview of the key circulation improvements in the District.

Circulation

In conjunction with the landscape framework, other improvements to the pathway network are intended to facilitate access for all members of the campus community while linking together the academic and research activities of the District. The goal is to create a car-free zone in the North Academic District, a zone accessed by transit at the MMTF and by private car in the Perry Street Garage.

As noted, the Infinite Loop and Green Links serve as the armature for providing access for all throughout the District and connect to other pathways including Turner Way and Central Way (through the Burruss Tunnel). Other key routes in the District include:

- **Perry Street** – the Perry Street alignment is closed to general vehicular traffic in accordance with the MMTF circulation strategy. The alignment is maintained for bus access on the east and west ends; it is closed at the center between the Perry Street Garage and Cowgill Lawn with the goal of eliminating pedestrian-vehicular conflicts.

- **Central Way** – the Central Way and the Burruss Tunnel are enhanced by means of pavement and landscape improvements and new outdoor seating areas. A key feature of Central Way is the proposed coffee lounge, known as the “Tech Cave,” located at the midpoint of the Burruss Tunnel. The Tech Cave provides additional amenities and services to passersby as well as the occupants of Burruss Hall. Issues of queuing and noise will be addressed as part of the detailed design process for this project.

Bicycle Circulation

Bicycle access to the District, in particular east-west movement, is provided via the Infinite Loop. Bike parking areas are positioned at several points along or near the Loop: 1) the Intelligent Infrastructure Quad, 2) Cowgill Lawn / West MMTF area, 3) GBAC entry plaza, 4) Goodwin Quad, and 5) the East MMTF.

Bicycle movement is permitted on the eastern portion of Turner Way. All other pathways are part of the car-free zone. The intent is to concentrate bike circulation along the Loop, Turner Way east of Stanger Street, and the Drillfield. North to south movement is provided along West Campus Drive and Stanger Street.
Multi-Modal Transit Facility

The Multi-Modal Transit Facility (MMTF) is intended to serve as the portal into and out of the campus for much of the population commuting by bus as well as students commuting by car and parking in the peripheral commuter parking areas as recommended in the Parking and Transportation Master Plan. Peripheral parking areas include the Cage Lot and new parking areas proposed in the 21st Century Living-Learning District. In addition to the bus queuing facilities, the MMTF includes an operations building and waiting lounge directly south of the Perry Street Garage.

The elimination of much of the surface parking along with the construction of the Multi-Modal Transit Facility (MMTF) will result in a change in the traffic patterns in this District. While the total amount of vehicular traffic will reduce in the District with the loss of parking, there will be additional bus activity and a changeover from commuter student to primarily faculty/staff parking, resulting in more common AM peak entering and PM peak exiting traffic.

A traffic analysis was conducted to ensure that the District has adequate access to serve existing and future travel demand (see Technical Appendix for details). Based on the results of the analysis, all intersections are expected to operate at acceptable levels of service. The MMTF west hub will have full access to West Campus Drive at the existing signalized intersection and a new roundabout will be constructed to assist ingress and egress into the MMTF east hub onto Stanger Street. Both intersections will operate at acceptable levels with minimal delays to the buses using the MMTF.

The Perry Street Garage will have ingress options off of Prices Fork Road and Stanger Street, effectively serving vehicles arriving from the west, north and east. A potential West Campus Drive access would provide access to the garage to the south as well as access to adjacent existing surface parking lots. However, once surrounding developments are completed, this access road can be removed as drivers can instead continue north to Prices Fork Road and then access the garage from the main driveway. A northbound right-turn overlap phase should be considered at the Prices Fork Road at West Campus Drive intersection to enhance this movement.

Garage egress to the north and east is accomplished via the Prices Fork Road and Stanger Street driveways. Egress to the west and south is accomplished via a one-way connection to the MMTF west hub driveway. While northbound left-turn access is currently allowed at the Prices Fork Road driveway, the movement is very difficult due to lack of a signal, resulting in very little demand for this move. The Town has expressed interest in eliminating this movement to improve safety.

The Prices Fork Road at Toms Creek Road / Stanger Street intersection has the highest combination of vehicular, pedestrian, and bicycle conflicts in the Town and has been the location of several crashes between these modes. As a result, the Town has funding to make improvements to the crossing signals, expand pathways, staging areas at the corners, and enhance streetscape elements at this location. Keeping the exclusive right-turn lane, but eliminating the free-flowing receiving lane is recommended to improve bicycle safety at this location. Adding a second northbound left-turn lane may be considered in the long-term to reduce queuing, however the intersection is currently projected to operate at acceptable levels of service.
Northeast & Upper Quad District

The Northeast & Upper Quad District is characterized by the historic buildings of the Upper Quad as well as support uses such as the power plant and electrical substations.

Historically, the area north of the Upper Quad included functional and operational uses with limited engagement with the town and the campus. In recent years, the Virginia Tech Foundation developed the North End Center, introducing facilities and establishing a new pattern of development at this important seam between the campus and community. The North End Center includes an office building utilized by the University, a parking garage, and an adjacent retail area (located at the intersection of Price’s Fork and Turner Street). A future building is planned as part of the complex.

Vision

The Master Plan provides a framework incorporating existing uses, accommodating future development, and providing connections between the campus and the downtown area. The framework establishes connectivity between the North Academic District, the North End Center, and beyond via Perry Street and Old Turner Street, both of which are viewed as circulation and landscape corridors. The intent is to reinforce the organizational structure of the District, maintaining existing uses while establishing a strategy for accommodating redevelopment and future uses. In the Upper Quad, new life is given to Lane Hall, a building on the National Register of Historic Places, through a thoughtful renovation and addition. Landscape enhancements to the Quad are also proposed.
The Master Plan proposes new facilities in the Upper Quad that respond to the historic military programming of the District.

This new development accommodates both Military Science and ROTC in the proposed Corps Leadership and Military Science (CLMS) building and new residence halls. The CLMS building displaces the Art and Design Learning Center building; the programs located in the building are proposed for relocation to the Creativity & Innovation District.

The Upper Quad also accommodates several programs in the College of Liberal Arts and Human Sciences (CLAHS). The framework sets out a new strategy for accommodating CLAHS programs in existing and proposed buildings. In the Upper Quad, the humanities and social science programs of CLAHS are located in Major Williams, Shanks, Lane, and Femoyer. The administrative offices for the college are located in the renovated Liberal Arts building along with a student engagement and learning center.

Lane Hall is reimagined in the Master Plan as a center for the humanities and social sciences.

The idea is to renovate and sensitively preserve the building while addressing significant vertical circulation, accessibility, and life safety issues by adding new stairways, elevators, and restroom facilities on the north side of the building.

Beyond the Upper Quad, several redevelopment sites are identified in the framework plan for the District, including long-term academic buildings on the Femoyer, Old Military Building, and Old Security Building sites along Old Turner Street. The sites of the now-demolished Thomas and Monteith Halls are slated to serve as open space in support of the proposed Arts Link.

A potential replacement for the College of Engineering Ware Lab is proposed on the combined site of the Old Security and Military Buildings. The Power House also offers redevelopment potential on the site of the existing coal yard. The future of this land use is contingent on the transition to natural gas in the Power House to reduce the facility’s footprint. The existing Surge Building is also a potential redevelopment site if other suitable uses are identified in the future. To support redevelopment of this site and the surrounding context, a parking garage may be required.

The proposed buildings are as follows:

<table>
<thead>
<tr>
<th>Proposed Buildings</th>
<th>GSF</th>
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<tbody>
<tr>
<td>Corps Leadership and Military Science</td>
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</tr>
<tr>
<td>Future Academic (CLAHS)</td>
<td>47,000</td>
</tr>
<tr>
<td>Future Engineering Lab</td>
<td>78,000</td>
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<tr>
<td>Lane Hall Expansion</td>
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Renovated Buildings

<table>
<thead>
<tr>
<th>Renovated Buildings</th>
<th>GSF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Surge Space Building</td>
<td>43,000</td>
</tr>
<tr>
<td>Liberal Arts Building</td>
<td>12,500</td>
</tr>
</tbody>
</table>
Improvements to the public realm focus on enhancing the Upper Quad landscape, improving existing street corridors, and introducing a Green Link, the Arts Link, between the Upper Quad and the Moss Arts Center.

The Arts Link is a landscape and circulation corridor proposed for functional and aesthetic reasons. Functionally, the link provides an access for all members of the campus community from the Alumni Mall level to the Upper Quad level and beyond to Turner Street. Like other Green Links on campus, it is envisioned to include rain gardens, shade trees and seating areas. The Arts Link connects the Upper Quad to the Mall and southward to future development in the Creativity & Innovation District (once the Squires site is redeveloped).

The existing east-west streets north of the Upper Quad are reimagined in the Master Plan to provide connections from the North Academic District to the North End Center and beyond to the downtown Blacksburg. Perry Street is envisioned as a complete street linking the North Academic District to the North End Center. Old Turner Street is reimagined as Turner Way linking Tech Square (Burchard Plaza) to the office buildings of North End Center.
STORMWATER

Selected on-site stormwater interventions are balanced with the District’s formal landscapes and dense development.

At the northwest corner of the Northeast & Upper Quad District, the Webb Branch of Stroubles Creek enters the campus and is day-lit through the enhancement and enlargement of an existing filtration basin. The formalized landscapes of the Upper Quad and Alumni Mall are not well suited for stormwater BMPs; however, new landscapes associated with building demolitions and the creation of the District’s Green Link offer the opportunity for infiltration.

As in the North Academic District, urban stormwater strategies should be used to correspond to the density of development. Additionally, due to the limited large open spaces in the District, on-site BMPs will need to be heavily supplemented through the use of Conserved Open Space (refer to the Landscape Framework section of this report for more information).

Stormwater Strategy Elements

1. At the point where Stroubles Creek enters the campus, the existing basin is maintained as part of an open space and landscape setting at the intersection of Prices Fork Road and Stanger Street, forming a gateway to the University.

2. The recent demolition of Thomas and Monteith Halls provides the opportunity for the creation of a series of water-receiving landscapes, continuing along the Arts Link between Pearson Hall and the Moss Arts Center.

3. Green roofs are included in the design of any new buildings with contemporary architecture, such as those in the North End Center.
CIRCULATION

Circulation networks are modified to accommodate a modal shift towards active transportation and transit.

Vehicular circulation is maintained on Perry Street. Old Turner Street is closed in the Master Plan to create a more pleasant setting for non-motorized mobility, extending Turner Way from the North Academic District. The Infinite Loop engages with the District along Stanger Street providing connections to the North Academic District and the Creativity & Innovation District to the south.
Creativity & Innovation District
The Creativity & Innovation District (CID) is envisioned as a signature new activity hub on the eastern edge of the campus where Virginia Tech meets downtown Blacksburg.

The boundaries of the District extend from the Alumni Mall on the north, Main Street and Draper Road on the east, Roanoke on the south and Kent Street on the west. The District encompasses a range of existing programs and facilities including the School of Performing Arts; the Institute for Creativity, Arts, and Technology; and the School of Visual Arts. Existing facilities include the Moss Arts Center, Squires Student Center, Newman Library and Torgersen Bridge, Henderson Hall, Theatre 101, the Donaldson Brown Graduate Life Center, the University Club, the Architecture Annex, the Media Building, the Media Building Annex, the Armory, and the Bookstore.

Vision

The CID is envisioned as a vibrant hub of student, faculty, partnership, and community activities focused on innovation and creative initiatives involving existing and future programs in the District. The vision statement for the District is as follows:

“The Creativity & Innovation District at Virginia Tech engages local and global communities in a new discourse around the relationship between the arts and technology. The District will showcase indoor and outdoor space for the arts, performance, education, demonstration, and research. It will also represent a new, forward-looking mindset that crosses traditional academic boundaries to promote creativity and innovation.”

The design vision for the CID builds upon Virginia Tech’s strengths in creativity and collaborative innovation. The proposed programs and activities promote strategic partnerships among students and faculty, the local community, and private companies and organizations.

To this end, the CID includes interdisciplinary faculty clusters for members of the Creativity and Innovation (C&I) Strategic Growth Area. From imagination to innovation, C&I empowers students, faculty, and external partners to collaborate beyond boundaries. It is a vibrant ecosystem that melds the exploration of innovative technologies and the design of creative experiences with best practices for developing impact-driven and meaningful outcomes and solutions. C&I builds and strengthens creative communities; supports economic development; and enhances quality of life through self-sustaining and entrepreneurial activities. Truly transdisciplinary, C&I draws students, faculty, and external partners from a broad range of disciplines.


As a place, the CID is imagined as a playful, creative, and inspiring environment, merging the concepts of an innovation district and an arts district. As such, it is envisioned as a gateway to the campus for university partners who seek to leverage both creative and entrepreneurial activities. Collaborative facilities, tools, and technologies are proposed to facilitate the translation of ideas into commercial offerings.

The District is planned as a destination for members of the campus and broader communities interested in merging creative and entrepreneurial activities. The Master Plan focuses on transforming this area of campus and downtown Blacksburg into a vibrant and active district by: 1) introducing new programs, 2) constructing new facilities, and 3) establishing a new public realm featuring performance and gathering spaces, public art, and exterior studios.
Section A
ALUMNI MALL TO ROANOKE STREET

As campus users move south from the Northeast & Upper Quad District, the campus terrain slopes down towards the Creativity & Innovation District. This movement is aided by a proposed Green Link, known as the Arts Link. In addition to physically connecting these two districts, the Arts Link also programmatically links the Moss Arts Center, located north of Alumni Mall, to the design and performance spaces planned in the proposed facilities of the CID. The topographic low-point of this area, currently buried by the 1960s expansion of Donaldson-Brown, is reimagined as CID Green, a vibrant campus open space that also serves to detain and filter stormwater.
The vision for the CID includes several key programmatic recommendations to ensure that a critical mass of people and activities are concentrated in the District and to ensure that the character of the CID—driven by arts, music, design, and technology—is always on display.

Vignette Square (P3 Building)

The first focuses on a public-private partnership (P3) center, known as Vignette Square, which is proposed as near-term development with the intent of facilitating and encouraging activities and partnerships between the University, the community, private companies, and other outside organizations.

Vignette Square is seen as a catalyst for “jump-starting” activities in the CID, providing a place where students, staff, and faculty from across the University can come together around creative and entrepreneurial activities. More specifically, it is a place for members of the College of Business, CAUS, Engineering, Liberal Arts and others to collaborate with one another and with industry partners.

This P3 building includes office, research, meeting and exhibition space designed to facilitate collaboration. In particular, the exhibition space is seen as part of a three-part strategy to replace the loss of the Squires ballrooms (see Campus Life Framework for details).

As imagined, the building enables University partners to establish a presence on the campus and in downtown Blacksburg and to gain access to emerging research and talent at the University. Virginia Tech faculty and researchers, in turn, gain access to potential business and commercialization partners while students gain access to potential internship and long-term employment opportunities. The building also includes exhibition space and retail space. The exhibition space is intended to: 1) provide a place to showcase the outcomes of University and business partnerships, 2) accommodate conferences associated with partnership activities, and 3) facilitate interaction and engagement between both local and global businesses and community members.

The building is located at the southeast corner of College Avenue and Otey Street, extending the townscape character associated with the adjacent retail buildings. Planned programming includes a new bookstore to replace the existing facility and innovative collaboration, exhibition, and support spaces designed to complement the retail and dining services of adjacent downtown Blacksburg.

College of Architecture and Urban Studies

Another programmatic recommendation calls for the relocation of the College of Architecture and Urban Studies (CAUS) from North Academic District to the CID.

The CAUS space move introduces approximately 2,000 students, faculty, and staff to the District—members of the VT community with a focus on creativity and innovation. This sizable population brings a 24-hour range of activities, contributing to the vitality and vibrancy of the District as well as the adjacent areas of downtown Blacksburg. The relocation also enables CAUS to consolidate its programs while providing additional space for
A reimagined College Avenue creates a pedestrian-friendly zone from Draper Road to Kent Street, passing between the proposed CAUS building and Vignette Square (P3 Building). The design introduces amenities like seating, lighting, innovative stormwater management, and landscape improvements aimed at supporting the programming of the surrounding facilities and invigorating the activities of the CID.
potential growth. Further, it enables the University to transform Cowgill and Burchard Halls into the North Academic Commons (see the North Academic District for details).

A new College of Architecture and Urban Studies (CAUS) building is proposed on the site of the Squires Student Center, an important location along Alumni Mall. The building consolidates CAUS programs and accommodates future growth. In design terms, the building is positioned to define the south side of the Mall with a significant and iconic architectural statement befitting the highly ranked CAUS programs. Its design will also create an active edge along College Avenue. The building itself is imagined as an architectural statement for CAUS featuring studio and maker spaces, classrooms, offices, and gallery spaces.

Integrated Design
Programmatically linked to CAUS is the Integrated Design building, a proposed facility containing shared studios, collaboration spaces, and innovation hubs supporting transdisciplinary initiatives in “Design Thinking.” Integrated Design brings together collaborators from CAUS, Industrial Design, the College of Engineering, the College of Business, and other creative individuals. Its proximity to Newman Library provides the opportunity for the expansion of digital media and design-oriented collections.

Music and Arts Complex
A new Music and Arts Complex is proposed at the center of the District to replace office, practice, and performance spaces displaced once the Squires Student Center is demolished in order to make way for the new CAUS building. This complex would need be completed prior to the Squires demolition to ensure program continuity. The Media Building, located at the intersection of Draper and Otey Streets, is integrated into the design for the Music and Arts Complex. Presently the Master Plan illustrates a new facility at this location; however, additional future studies are required to determine if the Architecture Annex could be repurposed to contribute to this complex.

CID Living-Learning Community
A new residence hall is planned on the University Club site to provide a living-learning community aligned with the creative and entrepreneurial activities proposed in the CID. This facility includes a range of traditional and apartment-style room configurations on the upper floors and houses approximately 600 students. The ground floor features studio, performance, and practice spaces. It is planned as one of the first facilities in the CID.

Parking Garage
A parking garage is proposed on the south edge of the CID to replace parking displaced by development as well as to accommodate the demand generated by the P3, CAUS, and Music and Arts Complex. The garage’s capacity should be maximized to the extent allowed by the constrained site. One possible configuration would see four levels of parking accommodate approximately 500 parking spaces. Additionally, to activate the adjacent streetscape, a portion of the garage could be slated to accommodate student service offices, private retail, or a mail services facility.

Proposed Renovation
NEWMAN LIBRARY
Like most university libraries, Newman is being transformed to provide more group study, collaboration, and engagement spaces in order to create an active learning commons. The Libraries will continue to evaluate the demand for print collections and evolve the physical footprint of facilities to address emerging teaching, learning, and research needs. The emphasis will be on maintaining a diverse ecosystem of academic...
services, studios, and technology-rich rooms, as well as collaborative and quiet work spaces. Additional satellite locations for specific services of the library may be incorporated into new commons as well as other new or renovated facilities. The Master Plan recommends a future comprehensive visioning study for the Libraries.

UNIVERSITY BOOKSTORE
The existing University Bookstore is repurposed as the CID Commons, one of a series of commons facilities planned around campus to serve the distributed nature of the population. This new Commons is positioned along the Infinite Loop, providing connections to adjacent Districts, and its proximity to the Drillfield makes it an ideal location for student life. Informal gathering, study, and social spaces are planned for the building. This activation also serves to spur demand for the University Bookstore.

GRADUATE LIFE CENTER
The Graduate Life Center (GLC) serves as the center for graduate student organizations and services and provides housing for approximately 100 students. The original historic portion of the GLC, known as Donaldson-Brown, is maintained as part of the vision for the CID and transformed into the Honors College and Faculty Club.

Demolition of the 1960s portion of the building is recommended to address existing flooding and stormwater problems caused by the building’s siting atop the buried Central Branch of Stroubles Creek. It is also recommended given the unfavorable condition and architectural character of the building. A smaller addition is proposed in its place on the south side of Donaldson-Brown to include meeting social spaces along with a terrace overlooking the proposed CID Green.

The entirety of existing Donaldson-Brown must remain intact until the needs of the GLC are met. The displaced Graduate Life uses would be relocated in a more distributed model that includes social and student organization spaces in the North Academic Commons, a new Graduate Life Center and on-campus housing proposed in an expanded Hillcrest Hall, a commons and lounge for commuting graduate students in the GSS Commons in the Life Sciences & Technology District, and additional housing and support uses in a redeveloped Glade Road District.
ARTS LINK PLAZA
The demolition of the Squires Student Center supports the development of the new CAUS Building and the Integrated Design Building. Between the two, a proposed Green Link, known as the Arts Link, expands into a vibrant plaza. This accessible space connects Alumni Mall to the CID and provides the opportunity for the integration of public art and performance spaces.
The relocation of the central campus commons to the North Academic District creates a state-of-the-art facility for the College of Architecture and Urban Studies along the ceremonial entry of Alumni Mall.

The Moss Arts Center is accessible from the CID via the Arts Link, connecting this hub of creativity to the innovative programs of the CID.

Henderson Lawn continues to bring Virginia Tech and the Town of Blacksburg together and serves as a “town square” for both communities.

The pedestrianization of College Avenue and Otey Street allow for vibrant crossroads that promote collaboration through additional seating, enhanced landscape planting, and the introduction of public art.

Ensures the CID has adequate sun exposure.
STORMWATER MANAGEMENT
The district vision proposes daylighting the buried branch of Stroubles Creek, partnered with new stormwater BMPs that serve to store stormwater on site, provide biofiltration, and act as social urban amenities.

FARMER’S MARKET
This critical existing amenity will continue to play an important role in serving fresh food, supporting local agriculture, and creating a space for social gathering.

DOWNTOWN BLACKSBURG

MAIN STREET
Development of the CID by Virginia Tech will spur additional investment along Blacksburg’s Main Street as the population of this new campus district will support new businesses and programs, activating the streetscape.

VIGNETTE SQUARE
The proposed P3 building brings together students, researchers, and industry partners in a collaborative and innovative setting.

STORMWATER MANAGEMENT
The district vision proposes daylighting the buried branch of Stroubles Creek, partnered with new stormwater BMPs that serve to store stormwater on site, provide biofiltration, and act as social urban amenities.
PUBLIC REALM AND LANDSCAPE

The CID vision calls for the transformation of the public realm by integrating new facilities in a framework defined by new public spaces, performance spaces, courtyards, and pathways that connect the District with the rest of campus and downtown Blacksburg.

The public realm is imagined as a highly active series of corridors and spaces providing opportunities to showcase and demonstrate the activities of the District. Conceptually, the public realm strategy for the District is defined by a combination of north-south and east-west “corridors.”

North-South Corridors

The north-south landscape corridors include the Arts Link and Otey Street.

THE ARTS LINK

The Arts Link extends from the Upper Quad and the Moss Arts Center southward to College Avenue. It is intended to provide an access for all members of the campus community from Alumni Mall northward to the Upper Quad and southward to College Avenue and Otey Street. Completion of the Arts Link is dependent on the demolition and replacement of the Squires Student Center.

OTEY STREET

The streetscape along Otey Street is redesigned as a continuation of the Arts Link with goal of providing a consistent landscape expression and edge conditions while providing access for all members of the campus community and improving bicycle circulation. Enhanced pedestrian amenities are proposed west of Draper Road.

East-West Corridors

The east-west corridors include: 1) Alumni Mall, 2) College Avenue, and 3) Stroubles Creek. These corridors connect the campus to downtown Blacksburg and organize movement from the town into the campus and vice versa. The design vision for each corridor responds to unique conditions and opportunities.

ALUMNI MALL

As the ceremonial gateway to the campus, Alumni Mall is enhanced in the Master Plan by means of additional tree planting on the north and south edges and in the central median to reinforce the formality of this iconic landscape. Views of the Torgersen Bridge are maintained by creating a lawn in the central median extending from the Arts Link eastward. In addition to landscape improvements, locations for public art are proposed along the Mall. East of the Torgersen Bridge, a new “public square” is proposed in association with the Infinite Loop. The square is envisioned as a location for commemorative and other public events associated with the War Memorial or other activities along Alumni Mall.

Henderson Lawn is maintained in the Master Plan supporting its longtime role as the “Town Green” for Blacksburg.

COLLEGE AVENUE

The concept for College Avenue builds upon the recent streetscape improvements completed by the Town from Main Street to Otey Street. A major redesign is proposed from Otey Street to the Drillfield to create new public spaces in association with improvements to the underground stormwater conveyance system. The intent is to provide more outdoor seating and study environments associated with the Newman Library, the Donaldson-Brown Lawn, and the CID Commons planned for the existing bookstore.

STROUBLES CREEK CORRIDOR

This corridor generally follows the path of the culverted Central Branch of Stroubles Creek. In the Master Plan, the pathway is enhanced by a new landscape leading to the proposed CID Green. Functionally, the path provides a connection from downtown to the proposed CID Green and beyond to the Student Life District. Significant stormwater management intervention is required in the CID due to the presence of Stroubles Creek. This provides a signature opportunity to express stormwater strategies in the landscape that serve as a true amenity and showcase VT’s student learning, research, and sustainability goals.
Public Spaces and Quads

Several new public spaces, quads and courtyards are included in the District:

**CREATIVITY & INNOVATION GREEN**
This major new park-like open space associated with the Central Branch of Stroubles Creek features performance areas, locations for public art, and pathways. Landforms, rain gardens, and other stormwater management elements are proposed. The Green is envisioned as the signature open space and activity area of the CID, hearkening back to a formal open space that existed on the site prior to the expansion of Donaldson-Brown in the 1960s. This former space featured formal gardens and a pond associated with Stroubles Creek. It is intended to once again become a functional part of the stormwater management strategy for the CID.

**DONALDSON-BROWN LAWN**
A redesign of the GLC, or Donaldson-Brown, Lawn is proposed in association with the streetscape changes along College Avenue. The new lawn is intended to function as the central gathering point and public space given its proximity to the CID Commons and Newman Library.

**HENDERSON LAWN**
As an important public space for both VT and the wider Blacksburg community, Henderson Lawn will benefit from proposed enhancements to seating, lighting, and landscape amenities.

**DONALDSON-BROWN LAWN EXISTING CONDITIONS**

Plazas

Several plazas are proposed to demonstrate and showcase the activities underway in the District. Outdoor “studios” or plazas are proposed in association with the future CAUS building and CID Living-Learning Community. In the short-term, a renovation of the existing plaza south of the Squires Student Center would better activate this space and serve as a physical and temporal bridge to the proposed College Avenue plaza. Plazas also are envisioned along the pathways of the District to display digital art, physical art, and sculpture and to facilitate formal performances or performance art.

In the CID Living-Learning Community, courtyards are proposed on both the east and west sides of the building. The eastern courtyards are dedicated to “maker” and demonstration activities associated with the studios in the building, while those on the west are associated with student life, fitness, and gathering spaces.
An enhanced landscape anchored by the new CID Living-Learning Center provides activated open space and improved stormwater filtration while Donaldson-Brown continues to be used by the GLC.
CID GREEN LONG TERM

With the Donaldson-Brown addition demolished, opportunities for more extensive stormwater management and improved views of Vignette Square arise.
The floodable lawn provides a natural and resilient response to storm events.

INTERACTIVE RESEARCH
The new CAUS building showcases innovation, puts learning on display, and activates the public realm.

BUILDING REJUVENATION
A new addition and renovation revitalizes historic Donaldson-Brown with increased transparency.

STORMWATER LANDSCAPE
The floodable lawn provides a natural and resilient response to storm events.
MULTI-MEDIA INNOVATION
Space for performance and gathering fronts the interactive facade of Vignette Square

ACCESSIBILITY
Accessible routes lead to seating and gathering areas with accessible accommodations

INTERIOR-EXTERIOR CONNECTIONS
Ground-floor transparency engages adjacent plaza, circulation, landscape, and seating areas
STORMWATER

The CID lies along the Central branch of Stroubles Creek which is culverted for some distance starting north of the campus running through downtown Blacksburg and entering the campus to the north of the Architecture Annex.

Stroubles Creek continues under Otey Street, the Graduate Life Center (GLC), and Eggleston Quad. It then diverts north and west, traveling beneath the Drillfield and surfacing in the area of the Duck Pond. This extended underground section of the Creek, coupled with the extensive impervious surface area of downtown Blacksburg, contributes to periodic flooding, especially in the area around the GLC.

Flooding is exacerbated by the circuitous nature of the underground stormwater conveyance systems that converge on the east side of the GLC. As presently configured, stormwater conveyance lines from College Avenue and the parking areas along Otey Street intersect with the main Stroubles Creek culvert just east of the GLC. The Master Plan provides several strategies for mitigating these conditions including the long-term plan to remove the south (1960s) wing of the GLC.

Urban-style BMPs are best suited to the contemporary architecture of the CID. Additionally, while Conserved Open Space while the reimagining of existing landscapes and the implementation of green roofs provide considerable on-site stormwater management, Conserved Open Space will certainly play an important role in the District’s stormwater strategy (refer to the Landscape Framework section of this report for more information).

Stormwater Strategy Elements

1. The conveyance systems under College Avenue are reconfigured to connect directly to the culverts under the Drillfield. At present, the conveyance systems are diverted southward to join the main Stroubles Creek culvert just to the east of the GLC at a point of convergence among several culverts.

This reconfiguration at College Avenue requires considerable sitework, providing the opportunity to redesign the College Avenue streetscape from Otey Street to the Drillfield to include enhanced stormwater swales and basins.

2. In the initial phases of CID development, new water-receiving landscapes are proposed between the GLC and CID Living-Learning Commons. This landscape includes new circulation pathways and, where possible, outdoor seating and study environments.

3. An expanded CID Green is proposed following the demolition of the 1960s wing of the GLC and the daylighting of Stroubles Creek south of Vignette Square in order to establish a central open space designed to accommodate the ebb and flow of the Creek.

4. The contemporary architecture of the CID allows for the implementation of green roofs to help reduce impervious surface area in the District.
Proposed circulation routes in the CID build upon and enhance the existing corridors and streets including Alumni Mall, College Avenue, Stroubles Creek, and Otey Street.

The intent is to facilitate inclusive access and bike movement between the campus and downtown by envisioning a shared streets concept. The Master Plan recommends that VT coordinate with the Town of Blacksburg to explore enhanced pedestrianization of College Avenue west of Draper Road and Otey Street from College Avenue southward to Roanoke Street. Additional traffic studies should be performed to test the potential impacts of this strategy as site and development projects are funded.

Pathways are proposed along each of these corridors, with a pedestrianized plaza located at the intersection of College Avenue and Otey Street at Vignette Square. Bicycle access is provided by means of the Infinite Loop located along Kent Street as well as on College Avenue, Otey Street, and the Bicentennial Greenway located east of the Vignette Square site.

Transit stops are proposed on Alumni Mall at the CAUS building and on Kent Street in the vicinity of the CID Commons. Parking is provided in the proposed garage with access provided from W. Roanoke Street.
Student Life District
The Student Life District is the established residential area south of the Drillfield defined by significant residence halls and a pattern of quadrangles that characterize the Virginia Tech campus. This pattern is punctuated by three dining facilities that also serve as community commons buildings: Owens Dining Hall on the east and Dietrick Dining Hall and the West End Market on the west. At the center of the District, the War Memorial Gymnasium provides recreational facilities for the District and broader campus populations and is planned to accommodate campus-wide counseling services. Like much of the campus, existing topographic conditions in the District present barriers to access for all members of the VT community.

Vision
The vision for the Student Life District improves and enhances the existing buildings and quadrangles while introducing new campus-wide strategies for circulation, namely, the Infinite Loop and Green Links. Overall, improvements in the District are intended to enhance the residential experience by accommodating existing and future living-learning programs, introducing social and collaboration spaces, renovating residential and dining facilities, enhancing existing quadrangles and outdoor spaces, and improving connectivity within the District and beyond.
Section A
DRILLFIELD TO WASHINGTON STREET AT DIETRICK HALL

Sloping up from the Drillfield, the Student Life District is defined by its series of student life quads. Campbell Quad, bounded by Campbell Hall and the proposed New Slusher Hall, supports passive recreation and is transformed to integrate the West and Central Green Links. A renovated Dietrick Hall fronts the Infinite Loop with an activated dining terrace and plaza space. As users continue south, the Green Links connect to Dietrick Lawn which is preserved in the Master Plan as a grand open space serving the entire Student Life District.
Section B
DRILLFIELD TO WASHINGTON STREET AT NEW OWENS
The eastern portion of the Student Life District is home to a reimagined Owens Hall, providing updated dining, gathering, and ballroom spaces. This new facility also serves to help users navigate the grade change between Eggleston and President’s Quads.
The Student Life District offers no vacant or unencumbered sites for future development.

Existing open spaces, like Dietrick Lawn, serve as important quads and must remain as landscapes to support recreational and campus life activities. Emphasis, therefore, is placed on renovating the existing buildings, which in most cases warrant continued investment and use given their scale and architectural character. However, there are two sites identified for redevelopment in response to the age, condition, and character of the existing facilities. These include the Owens Dining Hall and Slusher residential buildings.

**OWENS HALL**

A new dining hall is proposed on the Owens site to provide a more contemporary, flexible, and efficient dining complex that addresses a broader range of campus and student engagement objectives. The proposed facility is programmed to include full-service dining, a ballroom, and student gathering and meeting spaces that serve the surrounding residential and CID population.

The conceptual design for Owens Hall responds to the topographic conditions of the site, incorporating the Infinite Loop which is planned to provide access from Kent Street to West Campus Drive. The O’Shaughnessy Green Link is incorporated in the design and the new building is configured to views to Eggleston Quad, where outdoor dining and stormwater management features are planned.

**NEW SLUSHER**

Over the long-term, the Master Plan recommends that Slusher Hall be replaced rather than renovated. A new structure located on the same site will provide upgraded building systems, reduce maintenance costs, and would be more in keeping with the character and image of the rest of the campus. In conjunction with the new building, changes to Campbell Quad are proposed to provide improved access for all members of the campus community. Specific recommendations include a regraded Campbell Quad providing inclusive access through the introduction of Green Links on the east and west sides of the Quad.

New Slusher is imagined as a four story building with ground floor collaboration, maker spaces, and living-learning community spaces at key locations associated with building entries and other circulation routes across and through Campbell Quad.

**Proposed Renovations**

The existing residential buildings of the District, with the exception of Slusher, are maintained in the Master Plan. Renovation strategies are provided on a building-by-building basis and documented in the separate Campus Life Report developed in conjunction with the Master Plan. The overall renovation goal is to ensure that a broader range of amenities are coordinated and considered as each of the buildings is renovated.

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**Proposed Buildings**

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<tr>
<th>Proposed Building</th>
<th>Renovated Building</th>
<th>Existing Building</th>
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<tbody>
<tr>
<td>O1</td>
<td>New Owens Hall</td>
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<tr>
<td>O2</td>
<td>New Slusher Hall</td>
<td>176,000 GSF</td>
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**Renovated Buildings**

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<tr>
<th>Renovated Building</th>
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<td>A</td>
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<td>Dietrick Hall</td>
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<td>J</td>
<td>Vawter Hall</td>
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<tr>
<td>K</td>
<td>War Memorial Gymnasium</td>
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Should additional housing be required prior to demolishing Slusher Hall, an alternative strategy is to construct an addition to Campbell Hall. The 220-bed addition shown here splits Campbell Quad into a smaller quad to the north and a linear open space to the south. The alignment also provides ample space to demolish and replace Slusher with a 410-bed hall at a later date.
The public realm strategy for the District builds upon the pattern of quadrangles and recommends interventions in the quads to enhance the landscape character and programmatic opportunities.

**CAMPBELL QUAD**
The goal over the long-term is to replace Slusher Hall with a new facility defining a renewed Campbell Quad. The new quad is envisioned to provide access for all members of the campus community, terraces for outdoor seating, and areas for programmed outdoor gathering and passive recreation. In the meantime, changes to the pathways leading from the Campbell portal are proposed to create the Central Link.

**DIETRICK LAWN**
Changes to the Dietrick Lawn area include the integration of the Infinite Loop in conjunction with the south terrace of Dietrick as well as the Central and West Links. The south terrace of Dietrick is envisioned as a dining and outdoor gathering area transitioning up to the level of Dietrick Lawn. The Lawn itself is upgraded with improved turfgrass for day-to-day recreation and is redesigned to accommodate the Central Link.

**PRAIRIE QUAD**
The centrally located Prairie Quad is transformed to accommodate the Infinite Loop, the Central Green Link, and a proposed fitness park while reinforcing the spatial qualities of the Quad. The fitness park is intended to provide outdoor workout space for the District population and is programmatically linked to the indoor recreation amenities of the War Memorial Gym and connected to the broader fitness trails accessible from the Infinite Loop.
Prairie Quad transforms into an outdoor fitness and recreation space and is connected to the greater trail network through the Infinite Loop.
STORMWATER

Active student life landscapes and existing architectural styles provide limited opportunities for on-site stormwater management.

The concentration of urban on-site stormwater strategies in the eastern portion of the District highlights the outsized role Conserved Open Space will play (refer to the Landscape Framework section of this report for more information).

Stormwater Strategy Elements

1. Due to its location over the culverted Stroubles Creek, a portion of Eggleston Quad is envisioned as a stormwater-receiving landscape, serving as an amenity for residents of the surrounding Eggleston Hall.

2. While most Green Links in the District pass through active landscapes ill suited for stormwater infiltration, basins along the southern portion of the East Link near Barringer Hall are proposed.

3. The contemporary architecture of New Owens makes a green roof possible to reduce the impervious surface of this large footprint facility.
CIRCULATION

Proposed changes to circulation in the Student Life District focus on the Infinite Loop and Green Links.

Existing service routes and some parking areas are maintained in the District, including those serving the Ag Quad and Dietrick Hall areas. The Infinite Loop is also planned as part of the service and emergency vehicular network. The parking and access surrounding Owens Hall is removed as part of the proposed redesign of the building.

Infinite Loop and Green Links

Circulation in the District builds upon the campus-wide circulation concepts of the Infinite Loop and Green Links. The Infinite Loop moves in an east-west direction through the District, connecting Kent Street, Owens Hall, Dietrick Hall, and West Campus Drive. This pathway provides an access for all members of the campus community and supports limited testing of autonomous vehicles (bicycles are excluded from this segment of the Loop; instead, cycle lanes are provided on Kent and Washington Streets). To establish the route, changes to the slope conditions are proposed in association with the Owens Hall replacement and in the Dietrick area. Changes are also proposed in the parking lots adjacent to Harper and Cochrane as the Loop heads toward West Campus Drive.

Several Green Links are planned in the District to provide north-south access connecting the Drillfield to the upper levels of the District.

EAST LINK

The East Link connects to President’s Quad along Kent Street. It is deliberately positioned to not only transition the slope conditions but to provide accessible entrances to Vawter, Barringer, and Newman Halls. Within President’s Quad, the East Link corridor defines a shaded garden space with outdoor seating, study areas, and rain gardens in support of the stormwater strategy for the District. The rain gardens are recommended to slow the flow of water downhill toward Eggleston Quad where flooding has been experienced in the past. The East Link concept is coordinated with the overall landscape strategy for President’s Quad.

O’SHAUGHNESSY LINK

The O’Shaughnessy Link enters the Student Life District via the Eggleston portal moving southward where existing slope conditions are mitigated as part of the proposed replacement for Owens Hall. The Link continues uphill between O’Shaughnessy and Johnson, transitioning to a garden setting featuring shade trees, outdoor seating, study areas, and rain gardens. The O’Shaughnessy link ultimately connects to Washington Street.

CENTRAL LINK

The Central Link passes through the ground-level portal in Campbell Hall and enters Campbell Quad. The link provides access to Prairie Quad along an alignment located between Dietrick and Payne Hall intersecting with the Infinite Loop to the east of Dietrick and continuing diagonally across Dietrick Lawn, ultimately connecting to Washington Street and southward to Cassell Coliseum.

WEST LINK

The West Link leads from the Drillfield along a new diagonal pathway between Hutcheson and Campbell Halls into a transformed Campbell Quad. Completion of the link is contingent on the redevelopment of Slusher Hall, through which the link passes before following the western edge of Dietrick and connecting with the southern extents of the Central Link at Dietrick Lawn.
Green Link at Dietrick Hall

The Central Green Link connects with the Infinite Loop at Dietrick Hall, providing accessible mobility in an area where movement is currently challenged by steep slopes and steps. This enhanced circulation infrastructure supports proposed improvements to Dietrick Hall and Dietrick Lawn and activates this critical crossroads with spaces for seating, gathering, and collaboration.
The Life Sciences & Technology District is home to much of the VT’s advanced research facilities but lacks the sense of place necessary to complement its important standing within the University.

It contains a number of existing buildings including Hillcrest Hall (graduate residence hall), Wallace Hall, Litton Reaves, ICTAS II, Life Sciences I and Steger Hall. The District extends eastward to encompass the Ag Quad and westward to encompass the existing Cage parking lots. Other than the Ag Quad, it currently lacks the cohesive campus-like quality envisioned in the prior Master Plan update.

**Vision**

The vision for the Life Sciences & Technology (LS&T) District provides a public realm and landscape framework to guide future development and to integrate the District with other areas of the campus. The buildings are laid out to define quads consistent with the pattern of the Ag Quad and the other quads of the campus. The Infinite Loop is extended into the District connecting West Campus Drive to Duck Pond Drive. The goal is to provide a campus-like environment accommodating future academic and research programs.

The District includes the existing College of Veterinary Medicine Complex and extends eastward across Duck Pond Drive to include the existing Food Science and Technology Building, the Hahn Horticultural Garden and the Virginia Tech Greenhouses. To the south of the Veterinary Medicine Complex, the District includes the South Branch of Stroubles Creek and a stormwater management pond.

The vision for the LS&T District supports the existing Veterinary Medicine programs as well as future associated development, some of which may be relocated from the Glade Road area as that District develops. The framework concentrates future development in a new quadrangle at the intersection of Washington Street and Duck Pond Drive. The goal is to position future buildings such that they serve as a bridge between the existing Veterinary Medicine Complex and new development north of Washington Street.
The LS&T District provides for long-term development and expansion in two key areas:

1. Near term development is proposed for the first area generally defined by West Campus Drive, Washington Street, Duck Pond Drive, and the hill and wooded areas associated with Hillcrest Hall.

2. Longer term development is proposed in the second area defined by the Cage Lot. For the Ag Quad, renewal and refurbishment is recommended to accommodate existing and future programs.

The Master Plan illustrates significant development capacity for the LS&T District. Only one facility, the Global Systems Science (GSS) Building, is proposed in the near term. The building is planned as the main facility for the Global Systems Science (GSS) Destination Area and, as such, is intended to become a destination for the interdisciplinary programs. The GSS building is also planned to include the GSS Campus Commons serving the existing and future population of this emerging District. In addition to occupants of the District, the Commons is positioned to serve the sizable population of commuters utilizing the Cage Lot as well as graduate students. One of three graduate life centers planned for the campus is proposed for the building.

The GSS Commons is sited north of Steger Hall at the point where the Infinite Loop intersects Duck Pond Drive to serve both the District and commuting population. This pivotal site is proposed for several reasons: 1) it places the GSS building along the Infinite Loop, thereby connecting it to other Districts and Campus Centers; 2) it is well positioned to serve the existing and future population of the District; and 3) it is positioned along Duck Pond Drive directly across from the Cage Lot where commuter services and amenities are most needed. The Commons is intended to become a commuter portal into and out of the campus, and bus stops are positioned west of the building on Duck Pond Drive where bus services to the North Academic District MMTF as well as other areas of the campus are proposed. A regional bike share station, along with the Infinite Loop and other pathways, connects the District to other areas of the campus.

In addition to future science and research buildings, the Master Plan relocates the Graduate Life Center (GLC) to Hillcrest Hall due to flooding issues in the GLC’s current home at Donaldson-Brown. Hillcrest serves as the headquarters for the GLC and contains graduate student housing. Additional Graduate Life facilities are located in Tech Square and at Glade Road (see the Campus Life Framework). The Honors College residential community will be relocated to another new or renovated residence hall. Honors College programming and administration will move into the renovated historic portion of Donaldson-Brown (also known as Alumni Hall).

As noted, long-term expansion is proposed on the Cage lot site. The public realm framework extends into this area suggesting future building layouts and open spaces. A site for a parking garage is reserved to replace spaces lost to development.

The uses proposed in the new quad include a potential future replacement facility for the Food Science and Technology Building and other Vet Med-related facilities such as those relocated from Glade Road, which can be accommodated in the HABB II buildings (refer to the Peripheral Districts section of this report for more details).

An addition is proposed to the Veterinary Complex to accommodate expansion of the Large Animal Teaching Hospital.
The public realm framework for the District serves as an “overlay” to organize existing as well as future buildings.

The framework extends the Infinite Loop into the District and sets out a network of pathways and quads defined by future buildings. The long-term vision is to create a District defined by quadrangles and landscape corridors consistent with the development pattern of the broader campus. Trees are strategically planted to provide shade and comfort along major pathways and in association with outdoor study and dining areas. The proposed stormwater management strategy diverts water downhill toward Stroubles Creek where detention facilities are proposed. Within the quads and along landscape corridors in the District, rain gardens, bioswales, and other BMPs are proposed to detain, infiltrate, and treat rainwater.

The proposed quadrangles organize future development and provides a much needed sense of place and outdoor gathering areas in this District. Green Links extending from the quadrangles are proposed to provide landscaped pathways to the Veterinary Medicine Complex.

The existing wooded areas on the east and south are maintained and extended into the District. Additional pasture and field land is proposed in the area formerly occupied by the Dairy Science program. Reforestation is proposed along the Western Perimeter Road to enhance this important gateway route into the campus and to buffer views to the west or “back side” of the Veterinary Medicine complex.
STORMWATER

The long-term development strategy for the District transforms existing parking lots into a series of landscape stormwater amenities that support the proposed facilities and open spaces.

Organized around proposed Green Links, features such as basins and swales filter stormwater as it flows north towards Stroubles Creek. A blend of urban and transitional stormwater elements are most appropriate. Further, due to the expected gradual pace of development in the District, a considerable amount of stormwater management is proposed on-site, allowing the Conserved Open Space strategy to be reserved for denser districts (refer to the Landscape Framework section of this report for more information).

Stormwater Strategy Elements

1. Basins and swales are incorporated into the proposed Green Links, which also open up into larger stormwater landscapes within select quads when appropriate.

2. Enhancements to existing stormwater basins may be required as new facilities are constructed.

3. An additional stormwater basin is proposed north of the western cluster of facilities to detain heavy runoff before it can enter Stroubles Creek.
CIRCULATION

Proposed circulation changes focus mostly on upgrades to pathways and bicycle networks.

The Infinite Loop is extended into the District south of Wallace, connecting West Campus Drive to Duck Pond Drive. A continuation or segment of the Loop extends into the Cage Lot site to provide access to this long-term development area including a proposed parking garage. Other pathways provide connectivity within the District and to the adjacent Student Life and Life Sciences District (Vet Med).

Bicycle access to the District is provided on the Infinite Loop as well as via dedicated bike lanes on West Campus Drive and Washington Street. The GSS Commons also serves as the transit hub for the District, providing connections to the North Academic and other Districts of the campus. Service and emergency access is provided on the Infinite Loop paths and other dedicated service routes.

Proposed changes to vehicular circulation in the District include the future construction of the Western Perimeter Road (WPR) and the extension of Washington Road to meet the WPR.
21st Century Living-Learning District
The 21st Century Living-Learning District is envisioned as a new residential neighborhood accommodating up to 2,800 beds of housing in support of the enrollment targets of the University.

Located on the site of the golf course, this new District is programmed to include housing, a new Campus Commons and a satellite recreation center. The context surrounding the District includes the Visitors and Undergraduate Admissions Center, the Inn at Virginia Tech, the Skelton Conference Center, and the Holtzman Alumni Center. The site itself is characterized by the rolling hills of the golf course, Stroubles Creek, and the Duck Pond. The picturesque landscape of the Meadow separates the site from the adjacent Inn and Conference Center.

The District lies at the heart of significant programmatic and infrastructure changes planned for the campus. The first involves the extension of Perry Street westward along the Stroubles Creek corridor to connect with Plantation Road, west of U.S. 460. The extension is paralleled by multipurpose paths, including a segment of the Infinite Loop located on the current alignment of Duck Pond Drive. Combined, Stroubles Creek, the Perry Street extension and its pathways, and the Infinite Loop, along with other facilities, form the proposed Intelligent Infrastructure Corridor, supporting the Intelligent Infrastructure for Human-Centered Communities (IIHCC) Destination Area.

The Western Perimeter Road (WPR) is the second significant change informing the layout of the District. As planned, the WPR follows a north-south alignment through the campus, connecting Prices Fork Road to Southgate Drive. This future roadway defines the western edge of the District and the proposed Agricultural Belt to the west.

Vision

The vision for the 21st Century Living-Learning District is to establish a new residential community of approximately 2,800 students focused on living-learning environments, including those associated with the proposed Global Business Analytics Complex (GBAC).

The GBAC community is proposed as a programmatic extension of the GBAC academic buildings planned for the southeast corner of the Prices Fork Road and West Campus Drive intersection. Two residence halls featuring a total of 700 beds, faculty-in-residence apartments, and classroom / study space dedicated to the business learning community and the International Affairs and Outreach program are proposed.

Additional living-learning communities designed to house approximately 2100 students are possible in the three future housing quads planned on the golf course. The vision also calls for a Campus Center, replete with lounges, dining, and services, and a recreation center to serve the District as well as the adjacent Oak Lane population.
Section A
WESTERN PERIMETER ROAD TO THE DUCK POND

The proposed 21st Century Living-Learning residence halls occupy the site of the current golf course. The re-forestation buffer running along the proposed Western Perimeter Road shields the Central Green of the district and separates the residence halls from the traffic of this new parkway. As the site slopes down towards the southeast, the proposed Commons engages the terrain and connects users to, the Perry Street Extension, the Infinite Loop, and the Duck Pond.
The proposed layout responds to the natural features of the site including the hills of the golf course, the adjacent Meadow, and the Duck Pond. Buildings are integrated with the District's topography to enhance views of the Duck Pond and surrounding context and to help transition the slope conditions. Five quadrangles patterned on those of the Student Life District are proposed.

GBAC RESIDENCE HALLS

The GBAC halls are located on the east side of the District in close proximity to the conference center. Two 350-bed halls are planned and linked to the new GBAC business building by means of pathways leading to West Campus Drive at the Perry Street intersection. These living-learning communities also include faculty-in-residence apartments and classroom / study space dedicated to the business learning community and the International Affairs and Outreach program.

RESIDENTIAL QUADS, CAMPUS COMMONS, AND RECREATION CENTER

Three residential quads are located on the golf course where they, along with the Campus Commons, define a central green. The Campus Commons and Recreation Center are integrated into the topography on the south end of the site offering views of the Duck Pond. The District includes commuter parking and a transit hub establishing a portal into and out of the campus. The intent is to intercept commuters entering campus via Prices Fork Road and the Western Perimeter Road.

AUTONOMY STUDY PARK AND INTELLIGENT INFRASTRUCTURE CORRIDOR

Facilities associated with the Intelligent Infrastructure for Human-Centered Communities (IIHCC) Destination Area are located in the western portion of the site directly adjacent to the Western Perimeter Road. This includes the UAV test cage and support buildings in the Autonomy Study Park. Connections to the Smart Design and Construction Village, west of U.S. 460, and the North Academic District are provided via the Intelligent Infrastructure and Infinite Loop pathways. The reforestation buffer surrounding the proposed Western Perimeter Road will serve to shield these structures and preserve the outward rural character of the campus.

SITE DEVELOPMENT

Development in the District is anticipated in several phases over time. In response, it is recommended that the site be graded to accommodate the quadrangles and surface parking in the interim years. The intent is to provide maximum flexibility as well as to replace the commuter parking displaced from the North Academic District. As the site is developed incrementally, a parking garage is proposed in the northwest corner of the site, adjacent to the proposed Western Perimeter Road.

Adjacent to the District, other facilities are proposed in response to programmatic needs. Specifically, additions are planned to the Inn at Virginia Tech to provide additional guest rooms as well as new meeting and ballroom spaces to replace those displaced by the redevelopment of the Squires Student Center site.

### Proposed Buildings

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<thead>
<tr>
<th>Building Number</th>
<th>Description</th>
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<tbody>
<tr>
<td>01</td>
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<td>21st Century Living-Learning Parking Garage &amp; Chiller Plant</td>
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<tr>
<td>14</td>
<td>21st Century Living-Learning Recreation Center</td>
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</table>
The public realm of the District is informed by the topography and natural features of the site.

Three of the proposed residential quadrangles are positioned on the golf course hilltop, with the GBAC halls located east of the Meadow. The Meadow itself is reimagined as a Green Link, providing pathways and bicycle connections to the Glade Road District north of Prices Fork Road. To facilitate circulation, an underpass is proposed to connect the meadow to the Glade Road area. The Meadow landscape also serves to strengthen the District’s physical connection with the Holtzman Alumni Center.

Within these natural features, an overlay of circulation and landscape corridors is proposed to unify the District. A Green Link, transitioning the slope at the intersection of the Meadow and Infinite Loop, provides access for all members of the campus community to the central green and hilltop quadrangles. West of the quadrangles, recreation fields are integrated in a park-like setting in close proximity to the future recreation center.

A Green Link also extends in an east-west direction through the District connecting Perry Street to the Oak Lane residential area. This route is coordinated with pathways designed to connect residents in the District and the adjacent Oak Lane area with the North Academic District.
The Infinite Loop

The Infinite Loop connects the 21st Century Living-Learning District to the adjacent Districts of the campus. In addition to providing multi-modal circulation, the Loop serves to support the recreational activities of the Duck Pond, the Stroubles Creek corridor, and the residence hall quads and recreation fields.
The District stormwater strategy leverages existing natural landscapes in combination with more urban improvements.

The living learning communities proposed in the District benefit from their proximity to the Duck Pond. Similarly, the creation of additional stormwater landscapes can serve as visual amenities and opportunities for outdoor learning. The existing Meadow, for example, provides considerable infiltration opportunities for much of the District. In addition, the reforestation buffer along Western Perimeter Road along with a series of basins adjacent to the proposed recreation fields offer a comprehensive storage and filtration system.

Supplementing these more transitional features are the urban stormwater elements within the developed zone of the District, primarily taking the form of green roofs on the dining, commons, and recreation facilities. The strategy for the 21st Century Living-Learning District relies on the Conserved Open Space in the form of the existing Meadow (refer to the Landscape Framework section of this report for more information).

**Stormwater Strategy Elements**

1. The preserved Meadow landscape serves to slow and filter runoff from adjacent impervious areas.

2. Basins and swales surrounding the recreation fields capture stormwater before it enters Stroubles Creek.

3. Green roofs on the large, flat-roofed facilities in the District reduce the coverage of impervious surfaces.
Pathways and bicycle connections are provided from the District to the North Academic District by means of the Infinite Loop.

Pathways along the adjacent Intelligent Infrastructure Corridor (IIC) connect the District to Oak Lane and the proposed Smart Design and Construction Village, located west of U.S. 460. Both the Loop and IIC follow the Stroubles Creek corridor. Additionally, the Meadow includes north-south pathways and bicycle connections linking the District to the Glade Road District via a grade-separated connection.

All interior routes within the District are planned to ensure access for all members of the VT community as well as fire and emergency access. A transit hub is proposed in conjunction with the future Campus Commons to connect the District to other areas of the campus. Vehicular access is possible via the Perry Street Extension, Oak Lane and the Western Perimeter Road.
The Intelligent Infrastructure for Human-Centered Communities Destination Area (IIHCC) focuses on the ways in which people interact with one another and with their environment.

Interests in this Destination Area include smart, healthy, and sustainable cities and communities; transportation systems; human safety, health, and wellness; integrated energy systems; network science and engineering; public policy; and cyber-physical systems.

The IIHCC impacts a wide range of areas, from the competitiveness of Virginia Tech’s students when they are ready to serve the community to the quality of life senior citizens will enjoy by being able to “age in place” due to new advances in technology. Building smarter infrastructure will improve systems while making them more intuitive, safer, cleaner and more efficient.

The IIHCC focuses on four themes:

- **Ubiquitous Mobility**: The location-agnostic promise of new communication and information technologies
- **Automated Vehicle Systems**: Vehicles that can transit safely and efficiently through our communities independent of a human operator
- **Smart Design and Construction**: An intelligent, integrated, adaptable, responsive, and sustainable human-centric built environment
- **Energy**: The underlying innovations that will be required in the production, distribution, and consumption of energy to realize such a system.

The IIHCC Destination Area balances advancing technology with economic and policy structures that are equitable and fair and that lead to the overall well-being of society.
WESTERN PERIMETER ROAD
SMART LINK
SMART CONSTRUCTION
AND DESIGN VILLAGE
HITT HALL & INTELLIGENT INFRASTRUCTURE BUILDING
AUTONOMY STUDY PARK
SMART CONSTRUCTION AND DESIGN VILLAGE

HITT HALL & INTELLIGENT INFRASTRUCTURE BUILDING

FINAL DRAFT | NOVEMBER 2018
Facilities and infrastructure supporting the Intelligent Infrastructure for Human-Centered Communities (IIHCC) Destination Area are incorporated into the campus along a “corridor” extending from the North Academic District westward along Stroubles Creek to the Plantation Road area.

Conceptually, the Intelligent Infrastructure Corridor connects existing assets and proposed facilities in support of the activities of the IIHCC Destination Area. The corridor includes several segments and areas.

NORTH ACADEMIC DISTRICT
The IIHCC corridor extends from the Joseph F. Ware, Jr. Advanced Engineering Lab, a lab for undergraduate design projects in the College of Engineering, along Perry Street to the proposed Intelligent Infrastructure Complex and the Intelligent Infrastructure Quad (IIQ) in the North Academic District.

PERRY STREET EXTENSION / DUCK POND DRIVE AREA
From the IIQ, the corridor extends across West Campus Drive following the existing Duck Pond Drive and the Infinite Loop alignment. From West Campus Drive, it connects to the proposed Autonomy Study Park (ASP).

DUCK POND DRIVE TO PLANTATION ROAD
The extension of Perry Street is located north of Stroubles Creek traveling under U.S. 460 via the existing Smithfield Road underpass to intersect with Plantation Road. From Duck Pond Drive to Plantation Road, the street is designated for use by transit shuttles, service, and autonomous vehicles. This segment, known as the “Smart Link” is paralleled by a proposed pathway and bikeway connecting the Plantation Road area to the North Academic District. Potential features on the Perry Street Extension include sensors, innovative paving, and efficient lighting.

Proposed Development
Several new facilities are proposed to support the objectives of the IIHCC Destination Area.

HITT HALL AND THE INTELLIGENT INFRASTRUCTURE FUSION LAB
Affiliated with the Myers-Lawson School of Construction, CAUS, and the College of Engineering, these new facilities in the North Academic District provide academic, research, and showcase space for intelligent infrastructure, construction, and design education.

A companion facility to Bishop Favaro, known as Hitt Hall, is proposed for the expansion of the School of Construction. The directly adjacent and connected, Intelligent Infrastructure Fusion Lab is proposed to house emerging activities in Unmanned Autonomous Vehicles (UAVs) and other robotics technologies associated with the building industry. The Fusion Lab is planned to include a dining facility on the ground floor and an outdoor testing area or “sandbox” for robots and other technologies.

AUTONOMY STUDY PARK
Located along the Intelligent Infrastructure Corridor west of the 21st Century Living-Learning District, the Autonomy Study Park contains facilities designed to test tools and techniques for the future of autonomy.
UAV TESTING FACILITY
The UAV Testing Facility, also known as the Drone Cage, is a semi-enclosed area designed to safely test unmanned aerial vehicles in real weather conditions.

MODULAR BUILDING
A modular building also is proposed initially to provide storage and shop space with permanent buildings proposed over the long-term.

SMART DESIGN AND CONSTRUCTION VILLAGE
The Smart Design and Construction Village is planned as an area to showcase research and foster collaboration among various participants and stakeholders. The proposed design integrates several existing facilities in the south Plantation Road area and includes new facilities to supplement those already in place. These include:

HIGH BAY FACILITY
A New High Bay Facility is proposed to the south of the Architecture Demonstration and Research Building. It is envisioned as a large, enclosed, hangar-like facility where faculty and students connect basic research to practical applications in areas ranging from smart houses to smart energy to construction robotics. The preliminary design features an open high-bay structure with supporting observation and office space. It is located adjacent to the Foundry in order to facilitate the movement of parts and materials.

BUILD YARD
The Build Yard, an outdoor “sandbox” for testing construction equipment, is proposed adjacent to the High Bay Facility. The Build Yard is intended to provide a secured outdoor space for the testing and using construction equipment. Covered space is also provided to house and maintain the equipment.

KROEHLING ADVANCED MATERIALS FOUNDRY
The Kroehling Advanced Materials Foundry is an existing metal casting teaching facility. The foundry portion of the building includes equipment for making molds, melting metal, cleaning castings, and storage and is used by engineering senior design students, architecture students, and Ware Lab teams. A 4,000 sf expansion is proposed in response to anticipated growth in foundry-based classes.

NEW WARE LAB
A new state-of-the-art building is proposed in the Smart Design and Construction Village to serve the needs of Ware Lab teams and to accommodate the large number of visitors that tour the facility each year. The proposed 25,000-35,000sf facility responds to the projected increases in engineering enrollment. It is envisioned to include team bays, a machine shop, multimedia classroom, CAD lab, and offices. A braking and acceleration test track and a Baja Team test area are also proposed nearby.

MULTI-DISCIPLINARY BUILDING FOR ENGINEERING
A multi-disciplinary building to support capstone projects and entrepreneurial activities with the College of Engineering and industry partners is proposed in conjunction with the Ware Lab.

DEPARTMENT OF MINING AND MINERALS ENGINEERING LABS (MME LABS)
The Department of Mining and Minerals Engineering (MME) Labs are currently located on Plantation Road in a 40,000 sf facility. The MME Labs focus on sustainably supplying energy and critical raw materials. A new facility and pilot plant
is proposed in the Smart Design and Construction Village to provide a hands-on experiential learning environment for undergraduate and graduate students to serve as a “showcase” for perspective students, sponsors and industry.

The facility is intended to support and expand current capabilities and to explore the goals and objectives of the IIHCC Destination Area, as well as other Strategic Growth Areas. Proposed focus areas include clean energy programs, greenhouse gas management technologies, separation technologies related to mineral purification and recycling, environmental technologies in the sustainable raw materials supply chain, geo-energy characterization, and automation and intelligent processes.

SMART DESIGN AND CONSTRUCTION VILLAGE HOUSING
The Smart Design and Construction Village includes a housing area to be occupied on a short-term and temporary basis, featuring emerging construction, infrastructure, monitoring, and energy techniques. The idea is to establish a housing community that enables students to monitor and collect data on the operation and performance of the housing. The proposed neighborhood is designed to facilitate incremental expansion over time; it includes development parcels planned to accommodate single housing units such as the solar challenge or the Lumenhaus-type structures that are developed each year by CAUS. Larger communal-type residential buildings also are possible.

A more detailed vision plan and strategy is recommended for the Village. Guidelines for design, materials, technology, and infrastructure need to be developed with the goal of creating a truly innovative neighborhood. Issues of life safety, code requirements, and supervision also need to be addressed, especially if students are to construct the units.

SMART ENERGY PARK
A new power plant site is proposed within the Smart Design and Construction Village as part of the infrastructure master plan for the campus. The power plant provides the opportunity to: 1) address practical needs for the campus, 2) respond to aspirational student learning and research goals, and 3) respond to the energy theme of the IIHCC Destination Area. The idea is to create a “Smart Energy Park”.

Potential opportunities associated with the facility include, among others:

- Installation of monitoring and dashboard displays to educate students about plant operations and technology
- Utilization of alternative energy technology to supplement conventional fuel sources: solar panels, geothermal, or biomass generation facilities
- Incorporation of smart grid technology

DESIGN OPPORTUNITIES
Design and construction of the Smart Design and Construction Village presents several opportunities for innovation including passive design / solar strategies, net-zero buildings, and living buildings. Infrastructure supporting the village also presents opportunities for smart grid technology as well as alternative techniques for treating waste (living machines, composting toilets, etc.). With regard to landscape, best management practices for rainwater management potentially align with the adjacent StREAM Lab projects on Stroubles Creek. Ultimately, the goal is to test sustainable design and community development strategies, including opportunities for community agriculture, composting, and energy production.

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<tr>
<td>01 High Bay Facility &amp; Build Yard</td>
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<td>02 Kroehling Foundry Expansion</td>
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<td>03 Mining and Minerals Engineering Lab</td>
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<td>04 Multi-Disciplinary Engineering Building (and New Ware Lab)</td>
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<td>05 Smart Energy Park</td>
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<tr>
<td>06 Smart Design and Construction Village Housing</td>
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STORMWATER

Extending along Stroubles Creek, the Intelligent Infrastructure Corridor possesses the potential to serve as a model for campus riparian stormwater management.

The landscapes surrounding Stroubles Creek are naturalized and include amenities for infiltration and human interaction. By reducing adjacent impervious areas and introducing additional recreation paths, members of the VT community will be able to enjoy an improved Stroubles Creek. Further, the technology embedded within the Intelligent Infrastructure corridor can be used to monitor the health and functionality of the waterway.

At the terminus of the Corridor, the Smart Design and Construction Village incorporates a series of tiered, linear basins and swales to control stormwater before it enters Stroubles Creek.

The transitional BMPs proposed along the Corridor supplement the existing Conserved Open Space within the Stroubles Creek floodplain (refer to the Landscape Framework section of this report for more information).

Stormwater Strategy Elements

1. The creation of a northern forebay at the Duck Pond allows for the increased stormwater treatment capacity necessitated by the construction of the 21st Century Living-Learning District.

2. The reduction of impervious surfaces along Stroubles Creek serves to improve stormwater quality and reduce runoff.

3. Terraced, linear swales follow the topography of the Smart Design and Construction Village, providing stormwater management and landscape amenities.
Peripheral Districts
ATHLETICS AND RECREATION

The Athletics and Recreation District extends from Washington Street southward to include Lane Stadium and other sports venues of the south campus area. It also includes the recreation fields and other facilities located south of Southgate Drive.

Vision

The Master Plan includes an Athletics and Recreation District that builds upon its current character with upgraded facilities and improved connections to the rest of campus. The Master Plan acknowledges the Athletics Department’s desire to consolidate administrative and training activities in a centrally-located facility, though planning and design strategies for this facility are not considered within the scope of the current plan. The vision also hinges on the preservation of the Old Growth Forest east of Lane Memorial Stadium. Following the recommendations of the 2016 Forest Stewardship Plan, the Master Plan celebrates and protects this vital campus asset.

Proposed Development

BURROWS-BURLESON TENNIS CENTER
New team lounges, locker rooms, and spectator amenities are proposed.

CASSELL COLISEUM
A renovated west entrance welcomes visitors with a more streamlined traffic flow and improves weather-proofing. Full air-conditioning for the arena is also under consideration. New seats in the lower bowl of the arena were added in 2017.

ENGLISH FIELD AT UNION PARK (BASEBALL)
Renovations for the baseball field, recently completed at the time of this Master Plan, help program recruitment and spectator experience. The project brings new club areas, premium seating, a video scoreboard, new locker rooms, renovations to the press box, and much more.

RECTOR FIELD HOUSE
Additions to the Rector Field House are under construction at the time of this Master Plan. Rector Field House contains a full-size AstroTurf football field and a 200-meter, banked indoor track. The renovated and expanded Rector Field House include improved Olympic indoor sports facilities including Track and Field facilities and Softball batting, fielding, and practice facilities. Support space for participants include training, team, official’s rooms, and storage areas. Support spaces serving the public include new entry lobbies, new and expanded restrooms, and new spectator seating.

STUDENT-ATHLETE PERFORMANCE CENTER
Currently, the Bowman Room on the fourth floor of Jameson Athletic Center is used as gathering room. Hokie Club donors often meet there for basketball games, and Virginia Tech feeds the media in the Bowman Room for basketball games as well. For much of the year, Bowman sits empty with little to no use. The proposed conversion of the Bowman room creates a whole nutrition center that serves as a dining facility for athletes and the campus as a whole.

WASHINGTON STREET TENNIS COURTS
The existing recreational tennis courts east of the basketball practice facility do not make the best use of this prime site. Instead a new facility related to athletics or recreation with an engaging and welcoming design could serve as a campus gateway. Accordingly, the Master Plan identifies this area as a potential development site until such time as an appropriate program is identified.

CROSS COUNTRY TRACK
Outside the district, an expanded cross country track is proposed, taking advantage of the land made available by the realignment of Southgate drive. Grade-separated crossings will allow passage under the new Western Perimeter Road. Implementation will require coordination between the Athletics Department, CALS, Vet Med, and other key stakeholders.

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GLADE ROAD

The prominent and highly visible location of the Glade Road District makes it a desirable location for reuse or redevelopment. As such, the District is identified as a strategic partnership site in the Master Plan, providing the opportunity to address a number of University needs including revenue generation opportunities.

Vision

The vision for the Glade Road District is to redevelop the area in association with a third party investor to create a mixed-use development featuring housing, retail, office, and research facilities. The idea is to work with the Virginia Tech Foundation to lease the site, or portions thereof, to a developer with the goal of addressing VT’s indirect needs for housing, retail, office, and research facilities while generating income for the University.

Existing Conditions

Currently, the Glade Road District includes a number of agricultural and animal-handling facilities developed incrementally in response to the evolving needs of the College of Agriculture and Life Sciences (CALS) and the College of Veterinary Medicine (CVM). Today, these legacy land uses are somewhat isolated from the campus by Prices Fork Road as well as adjacent retail uses such as the University Mall shopping center.

- Existing uses include a total of 115,521 square feet of facilities ranking from lab and office space to barns and sheds. The facilities fall into the following categories:
  - Plant Pathology, Physiology, and Weed Science greenhouses, offices, and labs (32,344 SF)
  - Entomology Urban Pest Control Facility (4,379 SF)
  - CVM infectious disease buildings, poultry isolation units, poultry virus holding facilities, and hog, goat, and calf barns (41,512 SF)
  - BSL3 Facilities - recently completed facilities for CVM including a Research Center and a center for One Health Research (35,477 SF).

In addition to the above, an area of associate pasture and agricultural plot land is required in support of current activities.

Facility Replacement

Redevelopment of the District requires the relocation and replacement of the above noted facilities, either on campus or on outlying land holdings of the University. A detailed programming study is needed to determine the best approach for replacing the facilities in support of existing and future space requirements. It is understood that efficiencies may be achieved when the facilities are replaced, given the incremental and somewhat informal way in which development on the Glade Road site occurred.

Preliminarily, the strategy for replacing the existing Glade Road facilities is as follows:

**COLLEGE OF VETERINARY MEDICINE REPLACEMENT FACILITIES**

It is understood that all indoor CVM facilities could be combined into a more efficient complex near the CVM buildings on campus. The Master Plan identifies future development on the southwest corner of Duck Pond Drive and Washington Street for this purpose. In addition to the indoor facilities, approximately 16 acres of pasture land are needed. The golf course area north and west of the proposed Western Perimeter Road is a possible site.

**COLLEGE OF AGRICULTURE AND LIFE SCIENCES REPLACEMENT FACILITIES**

It has been suggested that the Plant Pathology, Physiology and Weed Science greenhouses could be replaced on the rooftop of the proposed Global Systems Science (GSS) building in the Life Science & Technology (LS&T) District. Preliminarily, it is estimated that one-half to one-third of the current area could be accommodated in the GSS building. The remaining greenhouse space will be located elsewhere in the LS&T District with the understanding that new state-of-the-art facilities may result in a reduction in the total amount of required space.

In addition to greenhouses and other facilities, 8-9 acres of plot land are required.
Potential Glade Road District Redevelopment

As noted the Glade Road District is a highly desirable redevelopment site given its adjacency to Highway 460, Prices Fork Road and the established retail area on University Avenue. The District offers convenient access to both the VT campus and the wider regional road network.

The exact range of uses on the site will be the subject of future development agreements between the Virginia Tech Foundation and private developers and will need to be closely coordinated with the Town of Blacksburg. As envisioned, the Glade Road District will be developed in partnership with the Virginia Tech Foundation and private development entities selected through a competitive process. This approach is in keeping with Virginia Tech’s broader goal of expanding strategic partnerships as a way to accelerate fulfillment of the University’s mission and to create new sources of revenue generation.

The layout and development vision for the site will be determined in association with the selected development partner(s). Redevelopment may need to occur in a phased approach to allow adequate time for relocating the 115,000 SF of CALS and CVM facilities. While a specific site plan is not possible at this time, the Master Plan provides guidance on the key aspects of the site and facilities that VT would like to include in the redevelopment of the District.

PROGRAMMATIC USES

A diverse, mixed-use district of multi-family housing for graduate students, young professionals, and those seeking a more urban living experience replete with green space and retail amenities is envisioned. Within this urban-like context, graduate housing is a key need identified by VT. Specifically, VT envisions a new housing complex—or “Graduate Village”—for graduate students and families along with support amenities including social spaces, recreation, parks and daycare. A renewed vision for graduate housing is needed to recruit students, faculty and researchers to Blacksburg. In addition to students, the housing is needed for visiting faculty as well as others seeking transitional housing while they relocate to Blacksburg.

A master planning process specific to Glade Road is needed to determine the best approach to redevelopment based on the agreements reached with private developers as well as market analysis.

SITE DEVELOPMENT CONSIDERATIONS

Although the exact layout of the site is the subject of future planning studies, the Master Plan includes guidance relative to the landscape and open space structure of the site. The adjacent diagram provides a preliminary land use and open space concept intended to inform future discussions and master planning processes. Major features of the concept include the following:

- **The Meadow:** The Meadow located west of the Inn at Virginia Tech is extended into the Glade Road District as an open space organizational concept and as a means by which to provide pathway and bicycle connectivity to the campus. An underpass at Prices Fork Road is proposed to provide direct connections from the 21st Century Living / Learning District to Glade Road.

- **The Agricultural Belt:** The Agricultural Belt proposed along Highway 460 is extended along the west side of the Glade Road District as a reforestation buffer to extend the rural character of Virginia Tech to the north and to buffer the development from highway noise.

- **Utility Easements:** Some existing utilities—the overhead electrical lines in particular—have access easements that will impale the form of development and circulation routes.
OAK LANE DISTRICT

The Oak Lane District accommodates residential living areas for Greek and non-Greek organizations and includes 18 buildings, recreational facilities and a pavilion for group activities.

Vision

The Oak Lane District will continue to accommodate Greek and non-Greek organizations that seek to have communal living arrangements and meeting space.

Proposed Development

Limited expansion for up to four additional houses, one of which is currently being planned at the time of this Master Plan, is possible on the east side of the District along Oak Lane.
The Master Plan proposes a framework for campus accessibility and recommends the continued development of strategies and solutions for universal access and inclusion.

The plan’s focus on the physical aspects of the campus concentrates these efforts on addressing mobility-related accessibility to meet and exceed the Americans with Disability Act (ADA) standards. While ADA design standards certainly help to address accessibility concerns, additional efforts can be taken to address a broader range of design considerations for the users of the VT campus. Consultation meetings held during the master planning process revealed strong support for embracing the concept of Universal Design.

Universal Design provides a more comprehensive “design for all” approach and acknowledges the diversity of needs in the campus population. The Master Plan, in turn, proposes interventions aimed at providing accessible routes, spaces, and amenities for use by all members of the campus community.

Broad Accessibility Recommendations

To establish a barrier-free campus and address the call for Universal Design, the Master Plan puts forward the following recommendations:

- Develop a plan to implement the recommendations of the 2017 Accessibility Assessment as developed by Accessibility Consultants, Inc.
- Perform additional accessibility surveys to address physical barriers in exterior areas of campus outside the scope of the 2017 Assessment; physical barriers in interior campus spaces; and auditory, visual, and digital barriers present throughout the campus.
- Prioritize the most significant problems for inclusion in annual operating and capital budgeting development.
- Implement the proposed Green Links and Infinite Loop concepts to address the most challenging topographic conditions on the campus.
- Hire a consultant to assist in the development of Universal Design principles and policies to guide future construction projects as well as address the broader aspects of Universal Design.
- Require teams for active projects to demonstrate knowledge and experience in Universal Design principles, and require documentation of Universal Design practices throughout the design process.
The principles of Universal Design provide a broader framework for evaluating future building, interior, and site design projects on the campus as well as a wider range of considerations relative to creating a more welcoming and inclusive campus.

The Master Plan recommends that VT work with a Universal Design consultant to develop principles and policies that are responsive to the needs of the Virginia Tech community.

PRINCIPLES OF UNIVERSAL DESIGN

1. **Equitable Use**: the design is useful and marketable to people with diverse abilities

2. **Flexibility in Use**: The design accommodates a wide range of individual preferences and abilities

3. **Simple and Intuitive Use**: use of the design is easy to understand, regardless of the user’s experience, knowledge, language skills, or current concentration level

4. **Perceptible Information**: the design communicates necessary information effectively to the user, regardless of ambient conditions or the user’s sensory abilities

5. **Tolerance for Error**: the design minimizes hazards and the adverse consequences of accidental or unintended actions

6. **Low Physical Effort**: the design can be used efficiently and comfortably and with a minimum of fatigue

7. **Size and Space for Approach and Use**: appropriate size and space is provided for approach, reach, manipulation, and use regardless of user’s body size, posture, or mobility

Source: Adapted from The Center for Universal Design
ACCESSIBILITY THEMES

To translate the tenets of Universal Design into targeted recommendations, the Master Plan considers accessibility through the lens of three distinct themes.

These themes help to organize the plan’s specific strategies and chart a path for future studies, plans, and designs. Drawing from the aforementioned broad accessibility recommendations, the recommendations listed under each theme seek to achieve meaningful progress towards a holistic vision of accessibility across the campus.

Master Plan Accessibility Themes

**CROSS-CAMPUS ACCESSIBILITY**
- Implement the Green Links
- Implement the Infinite Loop

**BUILDING AND SITE ACCESSIBILITY**
- Implement improvements to residential quads
- Address Accessibility Assessment recommendations
- Expand the Assessment to building interiors

**ACCESSIBILITY & INCLUSIVITY**
- Perform studies of campus auditory and visual accessibility
- Review programs and policies for addressing intellectual disabilities
- Consider elements related to gender, race/ethnicity, and age inclusivity
Cross-campus Accessibility

The Master Plan proposes two major interventions to improve cross-campus accessibility: the Green Links and the Infinite Loop. These critical strategies work together to address the challenging topography of the campus and improve movement across the campus for users of diverse abilities.

The Green Links connect through the Drillfield to provide north-south routes where challenging topographic conditions exist. They are envisioned as ADA-compliant pathways and landscape corridors for use by all members of the campus community. Similarly, the Infinite Loop is designed as a barrier-free pathway connecting the Campus Districts surrounding the Drillfield. Although it “loops” the campus, functionally it is intended to provide better connectivity between adjacent Campus Districts. For example, it connects the North Academic District to the 21st Century Living-Learning District proposed on the existing golf course. Refer to the Campus Vision, Landscape Framework, and Mobility Framework sections of this report for additional detail.

Together the Links and the Loop provide an armature for developing a campus-wide system of pathways for use by all members of the VT community. They also establish a framework for addressing the challenges identified in the Accessibility Assessment as part of future site and building improvement projects.
Building and Site Accessibility

The Master Plan also proposes interventions at the site and building scale. These strategies are aimed at improving accessibility at building entrances and across major open spaces.

Open spaces through which Green Links pass, especially the quads associated with the residence halls in the Student Life District, are envisioned as prime locations for accessibility improvements. Recommendations include select site re-grading, the removal of stairs where possible, and the creation of accessible gathering areas. Additional details are available in the Landscape Framework section of this report.

Building-level recommendations are focused on renovations to existing residence halls and include improvements to building entries and vertical circulation. Refer to the Campus Life Report for more information.

The Master Plan also indicates the need to address the site-level elements noted in the 2017 Accessibility Assessment. While low-priority improvements can be addressed as part of other nearby planned alterations or construction projects, high-priority improvements are required to be addressed in the short-term in order to meet ADA Standards. Therefore, the Master Plan recommends exploring funding sources for the implementation of accessibility-specific projects.

As the 2017 Accessibility Assessment only covered exterior circulation routes, the Master Plan further recommends that an additional assessment be carried out to note any ADA violations in building interiors across the campus. Again, dedicated funding sources for short-term improvements should also be identified.
Accessibility & Inclusivity

Due to the physical nature of the Master Plan, recommendations focus on mobility-related access issues. By expanding accessibility to incorporate concepts of inclusivity, Virginia Tech will continue working to meet the needs of those with auditory, visual, and other sensory impairments, as well as individuals with intellectual disabilities. In addition, future studies should consider how the University can best support users of different genders, races/ethnicities, ages, and other identifiers.

To address sensory-related issues, the Master Plan recommends that future building and site design projects refer to existing planning studies such as the Wayfinding Master Plan in order to achieve previously developed goals. In addition, design teams for construction projects should be aware of best practices related to auditory, visual, and other sensory concerns.

Similarly, designing spaces that meet the needs of individuals with intellectual disabilities requires specific expertise on future design teams. Virginia Tech will continue to review non-physical elements such as academic and student wellness programs and policies to ensure a broader understanding of inclusivity.

A truly inclusive VT campus creates spaces that are welcoming to all members of the University community. Future studies will assess how physical spaces, programmatic needs, and campus operations can evolve to celebrate Virginia Tech’s diversity.
Sustainability Outcomes
Sustainability strategies laid out in the Master Plan consist of both broad recommendations and specific themes aimed at advancing VT’s Sustainability Mission through the physical form of the Blacksburg Campus.

These strategies are designed to support Virginia Tech’s sustainability objectives, including those metrics of the Association for the Advancement of Sustainability in Higher Education’s (AASHE) STARS rating system applicable to the physical environment. The plan also supports the waste management goals of the University and includes recommendations that support the mission and curriculum metrics of STARS.

- Utilize the Blacksburg campus as a showcase for sustainable design and operations.
- Focus on infill development in established Districts and compact, efficient layouts for proposed Districts to more efficiently utilize utility infrastructure.
- Utilize sustainable siting recommendations for optimal solar orientation.
- Improve the resiliency of the campus by minimizing development in floodplains.
- Utilize regionally appropriate planting materials, preserve existing trees, and plant new trees with the goal of aligning campus tree cover with that of the region.
- Develop human-scaled Districts and campus amenities to establish better connections among VT’s diverse student groups, faculty, and staff.
- Enhance student life to build a stronger sense of community.
- Develop an integrated mobility strategy to improve access for all and reduce transportation-related carbon emissions.
- Reduce waste stream volume through increased composting.
- Create human-scaled protected campus spaces with an emphasis on human comfort.
- Improve the resiliency of the campus by minimizing development in floodplains.
- Utilize sustainable siting recommendations for optimal solar orientation.
- Improve the resiliency of the campus by minimizing development in floodplains.
- Utilize regionally appropriate planting materials, preserve existing trees, and plant new trees with the goal of aligning campus tree cover with that of the region.
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- Develop an integrated mobility strategy to improve access for all and reduce transportation-related carbon emissions.
- Reduce waste stream volume through increased composting.

Sustainability Outcomes

Broad Master Plan Sustainability Recommendations
Sustainability at Virginia Tech concerns social interactions, economic performance, and the design and management of both the built and natural environment of the campus.

While academic and research initiatives currently underway at VT offer numerous opportunities for using the campus and surrounding context as a living laboratory for sustainable practices, the Master Plan focuses on those elements most concerned with the design and operations of the physical campus, highlighted in the Sustainability Themes discussed on the next page.
SUSTAINABILITY THEMES

The Master Plan supports a systems-thinking approach to campus design and development, establishing an integrated and interconnected framework to ensuring all campus systems contribute to the sustainability goals and objectives of the University.

These themes listed here, drawn from the full spectrum of sustainability considerations, are the most relevant to the translation of VT’s Sustainability Mission to the physical form of the Blacksburg Campus and are woven into the fabric of the plan’s recommendations. The themes serve to focus the plan on the promotion and implementation of sustainable principles and practices wherever possible and address Virginia Tech’s commitment to campus-wide sustainability.

The summaries on the following pages highlight the sustainability strategies laid out in the Master Plan as organized around the Sustainability Themes.
The Master Plan encourages compact development via the Academic & Research, Campus Life, and Mobility Frameworks with the goal of facilitating human-powered and transit-oriented mobility within the campus. Compact development is also proposed for more efficient infrastructure distribution systems and to conserve the limited land resources of the University.

Several strategies set forth by the Landscape Framework support the Land and Ecological Stewardship sustainability objectives of the University. The recommended growth boundary defined by the Agricultural Belt and the future Western Perimeter Road limits the western expansion and sprawl of campus development and in the process protects existing agricultural land and natural areas.

Establishing the Agricultural Belt and protecting agricultural land is important for several reasons:

- Land critical to the missions of the Colleges of Agriculture and Life Sciences, Veterinary Medicine, and School of Natural Resources and Environment is protected
- Underlying natural systems and ecosystems are protected
- The rural character and image of the campus associated with the land grant heritage is protected

Additional ecological considerations are addressed in the forest management strategies recommended in the Landscape Framework. Reforestation strategies along major corridors like Stroubles Creek and the Western Perimeter Road are paired with policies for protecting existing wooded areas such as the Old Growth Forest near Lane Stadium, the Grove, and Hoot Owl Woods.
The Landscape Framework addresses the Landscape Sustainability Theme through the inclusion of recommendations and strategies for enhancing the ecosystem services of the campus, the management of stormwater, and the landscape qualities appropriate for the region and for the various campus districts.

The Landscape Framework supports the sustainability objectives of the campus by:

- Recommending new quadrangles and greens to provide additional pervious area and restore the hydrological patterns of the campus, notably in the CID Green and in the Intelligent Infrastructure Quad
- Establishing the Green Links as new circulation and landscape corridors that stitch the major open spaces of the campus together
- Extending tree cover within the formal and peripheral landscapes to provide human-comfort and to reduce the heat island effect adjacent to buildings. This reduces the cooling load in adjacent buildings.
- Coordinating BMPs (rain gardens, swales, green roofs) with the overall Landscape Framework in association with a holistic stormwater management strategy

Landscape

The Landscape Framework addresses the Landscape Sustainability Theme through the inclusion of recommendations and strategies for enhancing the ecosystem services of the campus, the management of stormwater, and the landscape qualities appropriate for the region and for the various campus districts.

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- Coordinating BMPs (rain gardens, swales, green roofs) with the overall Landscape Framework in association with a holistic stormwater management strategy
Water Resources

The Landscape Framework addresses the Water Resources Sustainability Theme and supports campus sustainability objectives in several ways:

- The Framework preserves existing wooded areas and recommends a long-term strategy for reforestation along key corridors, notably Stroubles Creek, the future Western Perimeter Road, and Southgate Drive, improving water quality and reducing the quantity of stormwater runoff in these areas.

- Best Management Practices (BMPs) for stormwater are recommended to reduce impervious area, detain and treat rainwater, and mitigate potential flooding issues. The BMPs are part of a comprehensive stormwater strategy for the campus and are most apparent in the CID Green and the Intelligent Infrastructure Quad proposed in the North Academic District. Additional details can be found in the Stormwater Management Plan included in the separate Technical Appendix.

- Conserved open spaces, one of the proposed stormwater BMPs, are designated as areas that are not to be disturbed by development. Conserved open spaces provide stormwater filtration in areas that are hydrologically connected to a protected stream buffer, wetland buffer, floodplain, or forest conservation area. Land within conserved open spaces can be un-designated if other land use needs arise, but an equivalent acreage must be replaced in an area that provides the required functionality.

- The recommendations for the Intelligent Infrastructure Corridor along Stroubles Creek include the removal of paved areas from the floodplain. An overarching goal is to remove Stroubles Creek from the impaired waterways list.

- The Duck Pond is the focus of clean-up and remediation.
Mobility

In support of reducing campus emissions to 80 percent of 1990 levels by 2050, the Mobility Framework promotes a balanced approach to transportation. The long-term goal is to shift the modal split to human-powered and transit modes. Modal split is the suggested metric to gauge progress over time. The following provides an overview of the key recommendations all of which align with the Transportation Demand Management (TDM) strategies in the Transportation Master Plan. In addition to providing mobility options, the TDM strategies include a range of policy and operational approaches for reducing the reliance on single occupancy vehicles.

PATHWAYS

Active transportation is encouraged in the plan through the compact land use patterns of the Campus Districts and by recommended improvements to campus pathways. Major features include the Infinite Loop and the Green Links, both of which connect the Districts and provide inclusive access throughout the campus. Other improvements include enhanced crossings and pathways to create a comprehensive and well connected network.

BICYCLE CIRCULATION

Bicycle circulation is promoted by means of a comprehensive network of campus bike lanes, paths, and shared roadways that connect with the town and regional trail networks. The routes, including portions of the Infinite Loop and facilities supporting the regional bike share program are also integrated into the framework. Bike share stations are proposed at the Campus Commons as well as at other major campus destinations.
TRANSPORTATION

Transit use is facilitated by investment in the Multi-Modal Transit Facility (MMTF) in the North Academic District. The MMTF is the planned terminus for campus transit services as well as those that extend into the surrounding community. Other transit hubs are proposed in association with various segments of the Infinite Loop and the Campus Commons; the intent is to improve the user experience by locating major transit hubs where services and amenities are possible.

Pending coordination with Blacksburg Transit, major transit hubs are proposed in conjunction with the following campus centers in addition to the North Academic Commons at the MMTF:

- Alumni Mall at the Integrated Design Building
- Creativity & Innovation District Commons
- Global Systems Science Commons
- 21st Century Living-Learning District Commons

AUTONOMOUS VEHICLES

Autonomous vehicles are accommodated in the Master Plan by means of a supporting pathway network. Autonomous vehicles provide the opportunity for specialized transit services and connectivity. For example, connections between Hitt Hall and the Intelligent Infrastructure Fusion Lab and the Smart Design and Construction Village are possible via the Smart Link portion of the Intelligent Infrastructure Corridor along the Perry Street Extension.

LAND USE

In addition to the aforementioned mobility strategies, the land use and housing recommendations of the Master Plan offer opportunities to reduce transportation-related emissions. The Plan’s compact land use pattern facilitates human powered circulation, especially for those who live on campus. The proposed increase in campus housing (40 percent of the undergraduate population) also reduces the need for auto use and transit services.
Energy and Emissions

The Virginia Tech Climate Action Commitment (VTCAC) and Sustainability Plans set out the following goals relative to energy and emissions:

- Emissions Goal: reduce emissions to 80 percent of 1990 levels by 2050
- Renewable Energy Goal: informal goal to provide 10 percent renewable energy
- Fuel Source Goal: 80 percent natural gas; 20 percent coal

The projected population growth and increases in total campus square footage present challenges to meeting these energy consumption and emissions reduction goals. The challenge is complicated by potential increases in energy intensive research lab space.

In response, a series of passive and active energy reduction, fuel source and renewable energy strategies are required.

Active energy and emissions reduction strategies include transitioning the power plant fuel source from coal to natural gas and the possibility of constructing a new power plant in the Smart Design and Construction Village. The new plant, known as the Smart Energy Park, offers the opportunity to build an efficient state-of-the-art natural gas facility associated with the smart grid and intelligent infrastructure research objectives. Incorporating supplemental renewable energy such as solar, wind, or geothermal also provides educational and research opportunities. Virginia Tech’s focus on intelligent buildings and infrastructure, coupled with its strengths in engineering and architecture provide opportunities for
integrating visible sustainability initiatives and technologies that reduce energy use and emissions. In response, it is recommended that the University consider the following strategies:

› Building Utilization: Utilize existing building space efficiently, recognizing the connection between space, energy, and emissions. All campus space consumes energy and, therefore, contributes to total emissions. This requires a new mindset with regard to the true cost of space.


› Solar Hot Water and Photovoltaics (PV): Incorporate solar hot water and photovoltaic technology in proposed buildings and existing building retrofits.

› Landscape (Shade) Strategy: Deliberately plant trees to reduce the heat islands adjacent to buildings, in gathering areas, and on the east and west facades of buildings.

› Mobility: Emphasize pedestrian, bike and transit mobility with the goal of shifting the modal split toward lower carbon intensive forms of transportation.

› Improve the Energy Performance of Existing Buildings: Reduce energy consumption when deferred maintenance issues are addressed. The energy usage intensity (EUI) of existing buildings needs to be decreased or stabilized as existing buildings and systems are remodeled.

› Establish Target EUI for New Construction: Establish EUI targets for all proposed building types in support of energy and emissions planning objectives. Consider net zero building opportunities as appropriate.
Phasing & Utilities

Implementation of Master Plan recommendations relies on a strong understanding of project phasing and utility needs.

This chapter lays out the high-level phasing strategy for proposed development, illustrating the pace of overall development. It also reviews appropriate locations for the expansion of critical infrastructure capacity.

Proposed Development Phasing

Proposed developments are phased to achieve programmatic goals while balancing capital planning considerations. Short term developments either already have funding allocated or are currently being reviewed for inclusion in upcoming capital outlay plans.

Over the next five years, approximately 1,093,000 gross square feet (GSF) of development is proposed, accompanied by 219,000 GSF of demolition. The resulting net gain of 874,000 GSF represents an 8.2% expansion of development on campus. The graphic to the right illustrates the net gain in GSF for subsequent five-year increments, the largest of which is the 1,615,000 GSF projected to be completed 10-15 years from today.

In 2047, once all Master Plan projects are complete, Virginia Tech will have added 6,211,000 GSF of development, an increase of approximately 58%. Of course, as funding, programmatic, and operational conditions change over the coming years, the University will continue to review projected completion dates and adjust the development phasing accordingly.
NET GAIN:
874,000 GSF
EXISTING CONDITIONS
(2018):
10,709,000 GSF
FULL BUILD-OUT
(2047):
16,920,000 GSF

2018 - 2022
NET GAIN:
874,000 GSF

2023 - 2027
NET GAIN:
1,114,000 GSF

2028 - 2032
NET GAIN:
1,615,000 GSF

2033 - 2037
NET GAIN:
1,186,000 GSF

2038 - 2042
NET GAIN:
553,000 GSF

2043 - 2047
NET GAIN:
872,000 GSF

FULL BUILD-OUT
(2047):
16,920,000 GSF

PROPOSED DEVELOPMENT PHASING
FIVE-YEAR INCREMENTS
Proposed Utility Plants

MODULAR (SHORT TERM) CHILLED WATER PLANTS

As chilled water demand increases due to upcoming development projects, additional capacity will be needed. Modular chilled water plants, roughly the size of a semi-trailer, can be installed as a grouping in the near term to avoid funding and siting concerns associated with more permanent facilities. Because short-term development is largely projected to occur in the Creativity and Innovation District, proposed chilled water capacity must be proximate to this location. Therefore, the existing surface parking lot at Washington Street and Beamer Way is noted as a potential location, pending further study.

CHILLED WATER PLANT 1

Eventually, demand will exceed even the added capacity of the modular chilled water plants, and a permanent facility will be required—likely by the year 2028. Again, because continued development will largely occur in the eastern portions of campus, the Washington-Beamer surface lot could serve as a possible location. In this scenario, the permanent plant could be constructed adjacent to the modular plants. Once the permanent plant is operational, the modular plants could be removed and replaced with a parking structure to offset the parking spaces displaced by the permanent plant.

CHILLED WATER PLANT 2

As the campus continues to expand, an additional chilled water plant will be needed. This long-term facility should be located near the area of campus where development is most pressing. Therefore, two possible locations are suggested in the Master Plan. Option A, an expansion of the existing Southwest Chiller Plant, should be selected if development pressure is strongest in the Life Sciences & Technology District. Conversely, if the 21st Century Living-Learning District is experiencing more rapid development, Option B, which integrates a plant into the proposed parking garage, should be considered.

ENERGY PLANT

In addition to chilled water demand, increased campus development will also require additional energy capacity. Siting a new energy plant in the Smart Design and Construction Village places this large facility in an area where it will not detract from the character of the core campus while simultaneously providing the opportunity for research and innovation related to the programming of the Smart Village. Should distribution costs make this location unviable, a second, less preferred location exists north of the Life Sciences & Technology District the proposed research facilities and Smithfield Road.
APPENDIX 01: HISTORIC RESOURCES SURVEY

Virginia Tech celebrates the legacy of its historic resources and recognizes the importance of properly managing these resources for future generations.

**Categories and Definitions**

Three categories are defined: Historic, Legacy, and Legacy Contributing.

**HISTORIC REGISTER**

The resource is listed on the Virginia Landmarks Register, National Historic Register or is a National Historic Landmark. The resource is of significant architectural or cultural value and the University is dedicated to servicing and maintaining it. Character defining features, such as historic exterior, interior, or landscape elements, or elements of historic significance, shall be preserved, restored or maintained. Proposed additions or alterations shall comply with the Secretary of Interiors Standards for the Treatment of Historic Properties and Guidelines.

**LEGACY**

The resource is not listed on the Virginia Landmarks Register or the National Historic Register, but has significant architectural or cultural value to the University, and as such, the University is dedicated to servicing and maintaining it, unless there is a significant and compelling reason to do otherwise. Character defining features include exterior elements which establish a basis for campus design standards or locus specific and adapted Collegiate Gothic architectural language, significant interior spaces, landscape features, or site placement which establish a basis for campus landscape structure, or specific cultural historical value.

**LEGACY CONTRIBUTING**

The resource is not listed on the Virginia Landmarks Register or the National Historic Register, but adds architectural or cultural value to the University, and as such, the University is dedicated the servicing and maintaining it, unless there is a significant and compelling reason to do otherwise. Character defining features include exterior elements which reinforce the basis for campus design standards or locus specific and adapted Collegiate Gothic architectural language as set by Legacy structures, landscape features, or site placement which reinforce the basis for campus landscape structure as set by Legacy structures, or the resource contributes to the overall cultural historical value of the University.
Blacksburg Campus

The Historic Resources Survey identifies several buildings on the Blacksburg Campus that contribute to the historic legacy of the campus due to their age, quality, or style. These facilities include:

**HISTORIC REGISTER**
- Lane Hall
- Solitude

**LEGACY**
- Burruss Hall
- Henderson Hall
- Liberal Arts Building
- War Memorial Chapel
- War Memorial Gymnasium

**LEGACY CONTRIBUTING**
- Campbell Hall
- Davidson Hall
- Eggleston Hall
- Hillcrest Hall
- Hutcheson Hall
- Norris Hall
- Patton Hall
- Price Hall
- Sandy Hall
- Williams Hall

**HISTORIC RESOURCES: BLACKSBURG CAMPUS**

- Historic Register
- Legacy
- Legacy Contributing
Kentland Farm

Kentland Farm, located approximately eight miles west of the Blacksburg Campus on New River, is part of the College of Agriculture and Life Sciences College Farm Operation. Facilities at Kentland Farm identified as historic resources include:

HISTORIC REGISTER
› Manor House
› Smoke House

Shenandoah Valley AREC

The Shenandoah Valley Agricultural Research and Extension Center (AREC) is located about 100 miles northeast of Blacksburg along the Interstate 64/81 Corridor. Facilities at the Shenandoah Valley AREC identified as historic resources include:

HISTORIC REGISTER
› Brick Dwelling
› Log Bathroom Building
› Main Barn
› McCormick Museum
Virginia Tech’s campus can serve as a national showcase for innovative and holistic stormwater management.

This comprehensive strategy organizes the Virginia Department of Environmental Quality’s (DEQ) best management strategies (BMPs) into stormwater management zones—Urban, Transitional, and Rural—aimed at shaping the visual character of selected improvements (refer to Landscape Framework of this report).

DEQ’s BMPs include:

1. Rooftop Disconnection
2. Sheetflow
3. Grass Channel
4. Soil Amendments
5. Vegetated Roof
6. Rainwater Harvesting
7. Permeable Pavement
8. Infiltration
9. Bioretention
10. Dry Swale
11. Wet Swale
12. Filtering Practice
13. Constructed Wetland
14. Wet Pond
15. Extended Detention Pond
BMP Matrix and Precedents

The matrix seen here indicates the BMPs most appropriate for each management zone. Detailed information about each BMP is available in the Stormwater Management Plan included in the separate Technical Appendix of the Master Plan.

The following pages illustrate precedent images highlighting built applications of BMPs similar to those in this matrix and describe considerations for aligning each BMP's
Rooftop Disconnection

**SUMMARY**
Runoff directed towards pervious areas rather than storm sewer system.

**APPLICATION**
In urban settings, this BMP takes the form of linear planters along building edges.

Soil Amendments

**SUMMARY**
Tilling and amending of compacted soils with compost.

**APPLICATION**
The regeneration of existing planting beds through soil amendment can introduce infiltration in an otherwise compacted landscape.
Rainwater Harvesting

SUMMARY
Intercepts, stores, and retains roof water for future use.

APPLICATION
Can be above ground to showcase intervention or below ground to increase capacity while preserving active landscape uses.

Vegetated Roof

SUMMARY
Evapo-transpiration of rooftop plantings reduces runoff rates.

APPLICATION
On roofs with public access, stormwater management is integrated with amenities like seating and gathering spaces.
**Infiltration**

**SUMMARY**
Temporary surface or underground storage allows incoming runoff to exfiltrate into underlying soils. Not permitted by DEQ in areas of shallow karst geology.

**APPLICATION**
Specially designed landscape beds mix aesthetic amenity with porous substrates to achieve infiltration.

---

**Permeable Pavement**

**SUMMARY**
Porous paving units allow infiltration through paved areas. Challenges include maintenance and sensitivity of regional karst topography.

**APPLICATION**
Due to maintenance costs, this BMP is best reserved for high priority, high traffic areas where other BMPs are not appropriate.

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*Image Credit: Stephen Stimson Associates*

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*Image Credit: Unilock*
**Bioretention**

**SUMMARY**
Shallow landscaped area designed to mimic a forest ecosystem; must have impervious liners and underdrains.

**APPLICATION**
More appropriate in areas with sensitive subsols, these interventions remain wet after large rains to leverage stormwater for visual interest and ecological services.

**Dry Swale**

**SUMMARY**
A linear bioretention facility.

**APPLICATION**
Best used along major circulation routes and roadways, dry swales often utilize stone to fortify low points.
Wet Swale

SUMMARY
A linear combination of a swale and a wetland.

APPLICATION
Designed as landscaped runnels and often incorporating a series of weirs to slow water flow, urban wet swales become architectural features in the landscape.

Filtering Practice

SUMMARY
A sand filter with a turf surface.

APPLICATION
Utilizing underground filtration, these urban features are able to support more active lawn uses above.
Rooftop Disconnection

**SUMMARY**
Runoff directed towards pervious areas rather than storm sewer system.

**APPLICATION**
Transitional rooftop disconnects are similar to their urban counterparts and are associated with building edges and walkways.

Sheetflow

**SUMMARY**
Runoff from impervious and turf areas drains through native vegetation and undisturbed soils.

**APPLICATION**
Utilizing wider stretches of open landscape, sheetflow interventions terminate in pastoral waterways during and after rain events.
**Grass Channel**

**SUMMARY**
Linear turfgrass swale slows and filters runoff.

**APPLICATION**
Transitional grass channels should be more open and natural than their urban counterparts, while still maintaining a low-profile appearance.

**Vegetated Roof**

**SUMMARY**
Evapo-transpiration of rooftop plantings reduces runoff rates.

**APPLICATION**
Rooftops in transitional zones may have fewer active uses, allowing vegetated roofs to cover more area and provide additional evapo-transpiration surface area.
**Rainwater Harvesting**

**SUMMARY**
Intercepts, stores, and retains roof runoff for future use

**APPLICATION**
In transitional settings, more room is available for above ground interventions, saving on installation and maintenance costs.

![Rainwater Harvesting System](Image Credit: BMT WBM)

---

**Permeable Pavement**

**SUMMARY**
Porous paving units allow infiltration through paved areas. Challenges include maintenance and sensitivity of regional karst topography.

**APPLICATION**
Transitional applications of permeable pavement include areas with large paving surfaces, such as parking lots.

![Parking Lot with Permeable Pavement](Image Credit: NGE)
**Bioretention**

**SUMMARY**
Shallow landscaped area designed to mimic a forested ecosystem; must have impervious liners and underdrains.

**APPLICATION**
Transitional bioretention BMPs take on a more pastoral feel than their urban counterparts and can incorporate recreational trail systems.

---

**Dry Swale**

**SUMMARY**
A linear bioretention facility.

**APPLICATION**
In transitional areas, dry swales form parkways associated with roads and trails.
**Wet Swale**

**SUMMARY**
A linear combination of a swale and a wetland.

**APPLICATION**
Transitional applications utilize more natural plantings than urban swales, but still provide visual and physical access.

---

**Filtering Practice**

**SUMMARY**
A Sand filter with a turf surface.

**APPLICATION**
In transitional areas, these BMPs generally have greater surface area and can utilize less structured filters.
Wet Pond

SUMMARY
Permanent pool of standing water for gravitational settling.

APPLICATION
Transitional wet ponds can be incorporated with building and open space designs to create serene landscape amenities.

CALS Children’s Library
Little Rock, AR
Image Credit: Tim Hursley
**Grass Channel**

**SUMMARY**
Linear turfgrass swale slows and filters runoff.

**APPLICATION**
Rural grass channels take on a very natural appearance and incorporate native planting palettes.

---

**Sheetflow**

**SUMMARY**
Runoff from impervious and turf areas drains through native vegetation and undisturbed soils.

**APPLICATION**
Rural areas on campus are prime candidates for sheetflow intervention through the preservation and enhancement of existing natural areas.

*Wenying Park*  
*Datong, China*  
*Image Credit: AECOM*
**Wet Swale**

**SUMMARY**
A linear combination of a swale and a wetland.

**APPLICATION**
As with many other rural BMPs, wet swales can take the form of larger landscape elements on the campus periphery.

**Constructed Wetland**

**SUMMARY**
Designed to mimic a natural wetland ecosystem.

**APPLICATION**
Most appropriate in low-lying areas associated with existing BMPs and water bodies such as the Duck Pond.

**Mill River Park**
Stamford, CT
*Image Credit: Sahar Coston-Hardy*

**Shanghai Houtan Park**
Shanghai, China
*Image Credit: Peter Vanderwarker*
**Extended Detention Pond**

**SUMMARY**
Temporary (12-24 hour) detention of runoff regulated by undersized outlet structure.

**APPLICATION**
These flexible BMPs can remain wet for up to a day, but eventually drain to reveal naturalized landscape plantings.

---

**Wet Pond**

**SUMMARY**
Permanent pool of standing water for gravitational settling.

**APPLICATION**
When combined with pedestrian areas, ponds can serve as both management tools and gathering areas.
Beyond Boundaries
2047: The Campus Plan
positions Virginia Tech as
a premier global institution
of higher learning, research,
and innovation.
## THE BLACKSBURG CAMPUS PLAN: EXISTING & PROPOSED FACILITIES

### NORTH ACADEMIC DISTRICT
1. Bishop-Favrao
2. Burchard Hall
3. Burreuss Hall
4. Davidson Hall
5. Derring Hall
6. Durham Hall
7. Future Development Site
8. Future Science Building
9. Future Science Lab
10. G. Burke Johnston Student Center
11. Global Business Analysis Complex
12. Goodwin Hall
13. Goodwin Hall Expansion
14. Hahn Hall (north wing)
15. Hahn Hall (south wing)
16. Hahn Hall Expansion
17. Hancock Hall
18. Hitt Hall
19. Holden Hall
20. Intelligent Infrastructure Fusion Lab
21. Kelly Hall
22. Lavery Hall
23. McBryde Hall
24. Multi-Modal Transit Facility
25. New Classroom Building
26. New Holden Hall
27. New Randolph Hall
28. Norris Hall
29. North Academic Commons (Cowgill)
30. Pamplin Hall
31. Patton Hall
32. Perry Street Garage
33. Robeson Hall
34. Undergraduate Science Lab
35. Whitemore Hall
36. Williams Hall

### LIFE SCIENCES & TECHNOLOGY DISTRICT
37. Corps Leadership & Military Science
38. Future Academic
39. Future Engineering Lab
40. Lane Hall
41. Lane Hall Expansion
42. Liberal Arts Building (YMCA)
43. Major Williams Hall
44. Moss Arts Center
45. New Cadet Hall
46. North Chiller Plant
47. North End Center
48. Pearson Hall

### STUDENT LIFE DISTRICT
49. Power House
50. Shanks Hall
51. Surge Space Building
52. Torgersen Bridge
53. Torgersen Hall

### CREATIVITY & INNOVATION DISTRICT
54. Architecture and Urban Studies
55. Armory
56. Bookstore
57. CID Commons
58. CID Garage
59. CID Living-Learning Community
60. Donaldson Brown (Honors College)
61. Faculty Club @ Donaldson Brown
62. Henderson Hall
63. Integrated Design
64. Media Building
65. Music and Arts Complex
66. Newman Library
67. Theater 101
68. Vignette Square (P3 Building)

### ATHLETICS & RECREATION DISTRICT
69. Ambler-Johnston Hall
70. Barringer Hall
71. Campbell Hall
72. Cochrane Hall
73. Dietrick Hall
74. Eggleston Hall
75. Harper Hall
76. Johnson Hall
77. Lee Hall
78. Miles Hall
79. New Hall West
80. New Owens Hall
81. New Residence Hall East
82. New Slusher Hall
83. Newman Hall
84. O’Shaughnessy Hall
85. Payne Hall
86. Peddrew-Yates Hall
87. Pritchard Hall
88. Smith Career Center
89. Student Services Building
90. Vawter Hall
91. War Memorial Gym

### 21ST CENTURY LIVING-LEARNING DISTRICT
145. Soccer Field Enclosure
146. Tennis Court Development Site
147. Weaver Baseball Center
148. Women’s Softball Field

### AUTONOMY STUDY PARK & SMART DESIGN AND CONSTRUCTION VILLAGE
164. High Bay Facility
165. Kroehling Foundry
166. Kroehling Foundry Expansion
167. Mining and Minerals Engineering Lab
168. Multi-Disciplinary Engineering Building
169. Smart Energy Park
170. UVa Testing Facility
171. Village Housing

### OAK LANE
172. Existing Greek Housing
173. Proposed Greek Housing

### CENTRAL SPINE
174. Solitude
175. The Grove (President’s House)
176. War Memorial Chapel
177. Wright House

### STERRETT DRIVE
178. Building 270-J
179. Fleet Services Building
180. Grounds Building
181. Public Safety Building
182. Southgate Center
183. Sterrett Center
The Student Life Village
A new model for residential life
THE STUDENT LIFE VILLAGE PLANNING REPORT

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Virginia Tech Executive Leadership Group

Cyril Clarke | Executive Vice President & Provost
Dwayne Pinkney | Senior Vice President and Chief Business Officer (former)
Chris Koons | Interim Senior Vice President and Chief Business Officer & Vice President for Campus Planning, Infrastructure, and Facilities
Frank Shushok | Vice President for Student Affairs
Ken Miller | Vice President for Finance
Lynsay Belshe | Vice President for Enterprise, Administrative and Business Services

Consultant Team

Sasaki | Lead Consultant
VHB | Mobility and Land Development
Introduction
The Student Life Village is a 5000-bed residential district conceived of as an affordable solution to enable Virginia Tech to advance broader institutional goals.

**Strategic Framing**

The Student Life Village (Village) Master Plan ensures Virginia Tech is positioned with a long-term strategy to expand and enhance on-campus residential living to be competitive and prosper well into the 21st century. The Village will create new housing inventory and meet growing demands for affordable on-campus living-learning programs as well as offer the flexibility to refurbish and modernize existing legacy on-campus residential facilities.

**Thriving**

The Student Life Village (Village) Master Plan ensures Virginia Tech is positioned with a long-term strategy to expand and enhance on-campus residential living to be competitive and prosper well into the 21st century. The Village will create new housing inventory and meet growing demands for affordable on-campus living-learning programs as well as offer the flexibility to refurbish and modernize existing legacy on-campus residential facilities.

**Keeping it on campus**

On-campus housing is a critical part of the VT experience. Living on campus catalyzes the formation of a thriving student community, especially in the first-year, but opportunities to stay on-campus should be available to students at any point in their educational career. On-campus housing allows the university to integrate residential life with other academic and social missions in “living-learning communities.” It enables students to thrive by giving students close proximity to campus amenities, social life and support resources.

**Staging**

The Student Life Village will be implemented in phases to ensure residential operations may grow at a pace to appropriately support the new infrastructure. A phased approach will ensure the university’s financial resource may be invested strategically while building revenue to stimulate future development. As the campus’ total housing inventory increases, space will be freed up to pursue renovations on legacy housing stock.
**Affordability**

The Student Life Village must be a cost-effective initiative for the university, and it must be a cost-effective choice for students. Affordability is a key principle and core consideration in every planning decision and explains many of the strategies adopted by the Village plan. The location is intentional to allow for design and construction methods that focus on 40-year life products with flexibility and optionality to replace and renew economically in the future.

**Design**

Virginia Tech has a long-standing tradition of pairing locally quarried dolomitic limestone, affectionately known as “Hokie Stone”, with collegiate Gothic architecture. This pairing has been codified in the Campus Design Principles, and applies to all buildings in the core of campus. However, this cladding, and its structural armature, are large, long-term investments, not in keeping with the vision of the Student Life Village as an affordable and 40-year lifespan, consumable residential product. To meet the challenge of affordability, the Student Life Village will adopt simple architectural forms that can be constructed using low-cost construction techniques like stick-built framing.

**Distinctiveness**

The land bank formed by the Virginia Tech Golf Course and the Special Purpose Housing at Oak Lane, a small residential district reaching the end of its useful life-cycle, was selected for striking a balance between proximity to the core campus and visual distinctiveness from it. This land bank is large enough to sustainably and comfortably accommodate 5000 beds of residential development. Site development and mobility infrastructure decisions all occurred in the context of the core tension between needing the Student Life Village to be close to core campus for connectivity and integration goals, but being unable to construct Hokie Stone collegiate Gothic buildings as an affordable and consumable residential product. This meant the Student Life Village would have to fall outside of a “demarcation line”, a boundary that separates the Gothic core from other districts of the campus that have complementary, yet distinct architectural character.
04 Principles

While affordability and distinctiveness pose challenges for the planning of the Student Life Village, they create unique opportunities. The planning of the Student Life Village follows 8 principles which are discussed in detail in chapter 2:

05 Advancing Student Life

The Student Life Village is a strategic initiative that enables a number of other student life goals to be realized within a broader campus context. It will become part of a complete community that includes existing on-campus housing and amenities.

Enrichment and Amenities

The Student Life Village will augment Virginia Tech’s high-quality student life offerings with a well-being themed residential district that provides amenities, public spaces and living-learning programs to attract and enrich both on and off-campus students.

Student Retention

The Student Life Village will create better connectivity to the curricular, extracurricular and social activities of the campus beyond the first year by providing affordable on-campus housing options appropriate to the needs of upper division students.
The Student Life Village Planning Report is a vision for a new model of on-campus housing at Virginia Tech’s Blacksburg campus. It provides an actionable guide intended to be used by Virginia Tech stakeholders, consultants and contractors as they advance the design and implementation of this development project. This report documents the decisions, ideas and opportunities identified during an eight-month-long planning process that engaged Virginia Tech’s staff, faculty and student communities.

This report is both descriptive, informing the reader of knowledge gathered and decisions made during the planning process, as well as aspirational, identifying opportunities for future study. It is not a construction document, but a guide to coordinate future design, engineering, construction and implementation activities.

To collaboratively produce an actionable plan that campus stakeholders can use to imagine and implement the development of a new on-campus student community.
The Student Life Village planning process was divided into three phases. Each phase included work sessions with three different Virginia Tech advisory groups consisting of interdisciplinary leaders from across the university.

**INTRODUCTION**

**THE STUDENT LIFE VILLAGE PLANNING REPORT**

The Student Life Village planning process was divided into three phases. Each phase included work sessions with three different Virginia Tech advisory groups consisting of interdisciplinary leaders from across the university.

**THE PLANNING PROCESS**

**PHASE 1: DISCOVERY**

The Student Life Village planning process was divided into three phases. Each phase included work sessions with three different Virginia Tech advisory groups consisting of interdisciplinary leaders from across the university.

**PHASE 2: CONCEPT ALTERNATIVES**

**PHASE 3: DEVELOPMENT & DOCUMENTATION**

**WORK SESSIONS**

**EXECUTIVE LEADERSHIP GROUP**

Consisting of institution-wide leadership, the Executive Leadership Group connected broader strategic goals of the institution with the goals and vision for the Student Life Village project.

**LEADERSHIP GROUP**

Consisting of departmental leaders, all members of the Leadership Group were also coordinators of Technical Advisory Groups. The Leadership Group consulted on strategies to enable the Village to meet the goals of the institution within parameters of budget, site, institutional resources and infrastructure.

**TECHNICAL ADVISORY GROUPS**

Consisting of a broad cross-section of Virginia Tech staff with interdisciplinary expertise and first-hand experience of the technical and operational components of VT’s on-campus student housing and infrastructural systems, the Technical Advisory Groups consulted on how to actualize the strategies set forth by the Leadership Groups. The Technical Advisory Group was further subdivided into 6 disciplinary groups:

- **BUSINESS AND FINANCE**
  Consulted on issues of financing and phasing the project.
- **BLUE-GREEN INFRASTRUCTURE**
  Consulted on green spaces, stormwater and recreation.
- **CONSTRUCTION AND TECHNOLOGY**
  Consulted on construction techniques, implementation strategies and information infrastructure.
- **ENERGY**
  Consulted on thermal energy delivery and electrical systems.
- **PROGRAMMING AND STUDENT LIFE**
  Consulted on the specific activities, facilities and features of housing and student life amenities.
- **MOBILITY AND ACCESSIBILITY**
  Consulted on pedestrian and vehicular mobility and accessibility of grounds and facilities.

**ADVANCED CONCEPT**

The advanced concept defined the land-use and spatial plan for the Village with considerations about program, buildings, landscape design and operations. The advanced concept was presented to the advisory groups before the documentation phase.

**KICKOFF**

The consultant team met with each advisory group to identify key project goals and constraints.

**FINDINGS**

The consultant team presented analyses on the planning site, creating a guide and set of strategies to inform the planning process.

**THE CHARRETTE**

The consultant team met with the advisory groups in a two-day charrette to review four concept alternatives. The conversations surrounding the concept alternatives informed the development of an advanced concept.

**ADVANCED CONCEPT**

The consultant team met with the advisory groups to solicit feedback on the draft planning report.

**FINAL PRESENTATION**

The consultant team presented the final planning report to the advisory groups and other members of the Virginia Tech community before final submission.
INTRODUCTION

THE STUDENT LIFE VILLAGE CHARRETTE

The Student Life Village Charrette was a two-day event held on October 28-29, 2021 that engaged all advisory groups as well as other Virginia Tech students, faculty and staff in a collaborative and interdisciplinary discussion surrounding four concept alternatives for the future Student Life Village.

DAY ONE: CONCEPT ALTERNATIVES

On day one, the advisory groups gathered to review the four concept alternatives prepared by the consultant team. The concept alternatives each demonstrated a different set of priorities and variables. The participants were mixed into four interdisciplinary and interdepartmental groups and rotated between each of the four concepts in stations. The discussion at each station helped the participants identify, prioritize and visualize trade-offs between different Village goals and pre-existing constraints.

MORNING OF DAY TWO: SYNTHESIS

On the morning of day two, the consultant team synthesized the feedback and priorities identified in day one and distilled a single concept that addressed five key principles:

1. Keeping the Village connected to the academic core via an accessible route that is as expedient as possible within site constraints.
2. Creating a centralized hub of amenity functions that is easily accessible to non-Village residents.
3. Creating a centralized green space that preserves existing landscape character, heritage trees and views for enjoyment by the entire Village.
4. Locating dining facilities such that they function both as a destination for non-Village residents and are positioned on the accessible route to and from core campus.
5. Phasing the Village such that each phase is buffered from the next by green space and that at least 3000 beds are constructed before any existing Oak Lane residences are demolished.

AFTERNOON OF DAY TWO: SYNTHESIZED CONCEPT

On the afternoon of day two, the consultant team presented the synthesized concept to the advisory groups. Each of the six disciplinary Technical Advisory Groups met to review the synthesized concept. The comments made on the synthesized concept were used to refine the plan over the following month.
INTEGRATION WITH “BEYOND BOUNDARIES 2047”

This planning document integrates with, and in some cases supersedes, plans outlined in the 2018 Campus Plan entitled “Beyond Boundaries 2047.” This was Virginia Tech’s most current campus plan at the time of publication and reflects a number of strategies which are adopted or modified in the Student Life Village Plan.

THE WESTERN PERIMETER ROAD

The Western Perimeter Road was proposed in the 2018 Campus Plan to better connect traffic exiting highway 460 on Prices Ford Road and Southgate Drive to the commuter parking lots on the west edge of campus and divert traffic from West Campus Drive and Duck Pond Drive. The Student Life Village plans for an alternative traffic configuration.

21ST CENTURY LIVING-LEARNING DISTRICT

The 21st century living-learning district was a proposed residential district in close proximity to the core of campus, following established campus design principles. The Student Life Village Plan tables this proposal and addresses many similar goals for living-learning and well-being in on-campus residential life.

LIVING-LEARNING FOR THE GLOBAL BUSINESS AND ANALYTICS COMPLEX (GBAC)

Housing previously proposed for the living-learning component of GBAC will now be directly integrated into phase I of Village construction alongside other living-learning programs and enrichment amenities.

THE INFINITE LOOP

The Student Life Village will benefit from increased connectivity, accessibility and recreational amenities introduced by the Infinite Loop project. While not directly on the loop itself, the Village plan includes paths which will connect to the loop.

MULTI-MODAL TRANSIT FACILITY (MMTF)

The Student Life Village’s residents will introduce a large demand for public transit to and from core campus. The completion of a proposed Multi-modal Transit Facility (MMTF) in the north academic district will be critical for handling the increased volume of transit.

THE PERRY STREET EXTENSION

The Student Life Village plan relies on the completion of the Perry Street extension, a spur road linking the north academic district’s Perry Street with Duck Pond Drive and Oak Lane in a way that bypasses flood hazard areas. Existing roadways will be insufficient to support the bus traffic from the Village to the Multi-modal Transit Facility (MMTF) on North Campus, a critical component of the Village’s mobility goals.

THE AGRICULTURAL BELT

In the 2018 Campus Plan, an agricultural belt was identified, in concert with the Western Perimeter Road, as a westward development boundary for the core campus to preserve the agricultural legacy and rural character of the VT campus. The Student Life Village maintains the Agricultural Belt to the south of the project site, but does utilize the portion of agricultural land identified to the northeast of existing Oak Lane.

THE CENTRAL SPINE

The 2018 Campus Plan identified the Stroubles Creek corridor as a high priority for conservation while recognizing the need for connectivity to future research districts west of Highway 460. Likewise, the meadows west of The Inn at Virginia Tech were slated for conservation as a drainage corridor and unique landscape on campus while providing a northward connection across Prices Fork to the future Glade Road District. Both initiatives remain possible within the land-use framework of the Student Life Village and will benefit its strategic goals.
INTRODUCTION

THE STUDENT LIFE VILLAGE PLANNING REPORT

PLANNING STUDY AREA
The planning study area includes Virginia Tech’s existing 600-bed Oak Lane community and the 9-hole Virginia Tech Golf Course.

SITE SELECTION
The planning study area was selected in response to four core criteria for development:

CAPACITY
The area is large enough to support the facilities and infrastructure necessary for a 5000-bed community at a scale consistent with its surroundings.

PROXIMITY
The area is near the north academic core of campus and maintains additional proximity to the life sciences and technology district and south campus student life district.

POTENTIAL
The site’s current residential offerings are approaching the end of their useful life cycle, providing an opportunity to increase the development potential of this site. The golf course has long been identified as a land bank for campus development, including in the 2018 Campus Plan.

DEVELOPABILITY
The land is lightly developed with no large obstructions to development. No major topographical, hydrological or geotechnical problems are currently known. Existing housing will be reaching the end of its lifespan in sync with new construction proposed in this plan.
INTRODUCTION

THE STUDENT LIFE VILLAGE PLANNING REPORT

PLAN SUMMARY

The Virginia Tech Student Life Village Planning Report establishes a vision for a vibrant and diverse residential district. Envisioned as a new model for living and learning, the Student Life Village features the amenities and services necessary to support a population of 5000 students including dining, enrichment and well-being facilities (indoor and outdoor) that act as a destination for the entire Virginia Tech community.

The plan is the result of an interdisciplinary process that balanced a variety of needs. Dominant in shaping the plan was a commitment to accessible pathways and respect for existing topography and iconic landscapes. The development is at a scale similar to the core campus, with quads and other gathering spaces which organize social life and community structure. The plan takes cues from the local landscape that result in a unique and organic layout. Maintaining existing drainage patterns, high-value heritage trees and areas of rugged topography free from development begins to carve out the shape of development.

The Student Life Village is conceived of as an integral part of the Virginia Tech campus, augmenting its student life and enrichment programs. Within the campus it will be a distinct district with new opportunities to innovate in well-being, living-learning experiences, building technology, and sustainability. Ultimately this report outlines a new model for residential life that remains true to the Hokie Spirit.
PHASING SUMMARY

The Student Life Village requires significant capital investment that cannot be completed in a single phase of work. Implementation of the Village, therefore, is proposed to fall in three phases. Each phase builds a revenue source for investing in future phases. Phase boundaries should be revisited to respond to the availability of resources in the design and implementation process.

PHASE I
- 1,752 BEDS IN 4 RESIDENTIAL QUADS
- PHASE I DINING
- WELL-BEING AND ENRICHMENT WING
- VOLLEYBALL ARENA
- INTERFAITH CHAPEL
- TRANSIT PLAZA
- VILLAGE TRAIL
- ECOLOGICAL BUFFER REFORESTATION

PHASE II
- 1,384 BEDS IN 3 RESIDENTIAL QUADS
- STUDENT LIFE COMMONS
- REC COURTS AND FIELDS
- CENTRAL GREEN
- OPERATIONS CENTER

PHASE III
- 1,864 BEDS IN 4 RESIDENTIAL QUADS
- PHASE III DINING
- TRANSIT PLAZA
- ECOLOGICAL BUFFER RESTORATION

To minimize infrastructure burden, phase I uses the existing Oak Lane loop and a new connection to Prices Fork Road to provide two means of ingress. Critical pedestrian connectivity is established with the construction of the Village Trail. Dining, well-being and enrichment programs are introduced with Phase I Dining found north of the Transit Plaza which will act as a hub for transit connections. The dining facility will also benefit existing Oak Lane residents. The plan recommends constructing above-ground stormwater infrastructure, in fall, as part of phase I.
Phase II adds an additional 1384 beds in 3 quads. The Gateway to the Village is completed with the construction of the Student Life Commons, a well-being, recreation and enrichment building south of the Transit Plaza. In this phase the central green is completed adding the southern part of the Village Trail at this location.

Phase III adds an additional 1864 beds in 4 quads by redeveloping the existing Oak Lane Community for a net increase of approximately 1200 beds. A smaller satellite dining facility and plaza anchor this final phase. Additional ecological buffer restoration should occur following demolition of parking and housing in the buffer zone.
Planning Principles

02
The Student Life Village will represent a unique take on the Virginia Tech identity, embedding Hokie Spirit in its planning and design.

Landscape Experience

The Hokie landscape experience is characterized by a nested hierarchy of open spaces, each of which connects to a different scale of campus life. The Student Life Village is likewise structured as a carefully orchestrated series of walkable, accessible open space experiences, from a central green, corollary to the core campus’ Drillfield; to vibrant neighborhood greens, crossroads of daily residential life; and intimate quadrangles nestled between buildings. Like the core campus, the Student Life Village creates an experience of bucolic landscapes, near and far, which reaffirm Virginia Tech’s identity as a land-grant university embedded in agricultural and rural heritage. Whether catching glimpses of the distant hills framed by gabled roofs, or meandering through groves of trees up to three-centuries old, the Village will have a rich sense of place empowered by its respect for the landscape.
Hokie Stone

Hokie Stone is a material not only symbolic of Virginia Tech’s architectural identity, but its connection to the local mountain landscape, the literal bedrock upon which this community is built. Driven by an imperative for an affordable and short-term housing investment, the Student Life Village’s buildings will not use Hokie Stone as a cladding, but will continue to evoke this material’s connection to the landscape through strategic use in site walls and furnishings emerging from the rolling hills. The selective use of Hokie Stone in the landscape will ensure this venerable character-defining material provides a visual connection to campus, and reflects the importance of the land.

Place-Making

The Village will include design features and elements that reflect the character and image of the Virginia Tech campus, beginning with its human scaled, 4-story buildings organized into quadrangles. With gabled-roofs and subtle shifts of elevation that follow the natural topography, these buildings will have a familiar residential form and intimate scale that still enables a pedestrian-friendly and accessible district. Responding to the native topography, buildings take on an organic layout that creates nooks and nodes of complexity out of simple forms. Even with different materiality, this scale and massing of the Village will feel very much like that of the core campus. That connection will be augmented by use of Virginia Tech standards like banners, signage and wayfinding, light fixtures, street furnishings and plant selections, while leaving open opportunities for the student community to create and express their own identities.
Virginia Tech is committed to ensuring all students have access to the spaces and infrastructure they need to thrive in their academic career, regardless of gender identity, orientation, ethnicity, race, age, physical abilities, socioeconomic background or national origin. Further, the Student Life Village embraces the principle of inclusivity, meaning spaces support a diversity of identities without stigmatizing or disadvantaging individuals or groups. In the spatial planning of the Village, Diversity, Access and Inclusion means:

- Primary routes of pedestrian circulation occur at grades less than 5% so that everyone can access the Village’s buildings and amenities via the same pathways.
- Primary building entrances are located along accessible routes so that everyone can participate in the same shared entry experience.
- A high proportion of housing units are single-occupancy, providing opportunities to accommodate diverse medical and mobility needs without stigma as well as encourage upper-division student retention and multi-generational living-learning programs.
- Flexible spaces are provided in each residential building for identity and affinity groups to create, collaborate and express themselves as they see fit.
- A diversity of unit types is provided within shared quads and neighborhoods to suit a wide spectrum of housing needs and price-points.
- Housing blocks and bathrooms are gender inclusive.
- Shared public spaces and the single “Gateway” to the Village spatially reinforce a sense of belonging to the same community. These spaces are designed to promote spontaneous encounters between students.
- An interfaith chapel provides a technology-free space for diverse spiritual, meaning-making and religious expressions.
Virginia Tech's Well-Being Initiatives are based on the five-dimensions of well-being: career, social, financial, physical and community. They emphasize a holistic approach that includes mental health, physical fitness, spiritual and identity expression, physical health, nutrition, financial stability, social support and emotional wellness.

Indoor and outdoor spaces are designed to diversify Virginia Tech's well-being facilities. Outdoor spaces support a spectrum of activities from team sports to personal reflection. Indoor well-being spaces are intended to maximize flexibility and accommodate a range of well-being practices like group fitness, meditation, art therapy or new practices as they emerge.

The technology free zone at the Interfaith chapel and surrounding landscape provides students an opportunity to unplug and practice mindfulness on a daily basis.

Well-Being is embraced by the spatial design of the Village through measures like:
- Ecological buffer spaces to reduce traffic noise, promote better sleep and improve air quality.
- An emphasis on walking, cycling and personal mobility infrastructure encourages healthy mobility choices and reduces noise, air and light pollution from single occupancy vehicles.
- An engaging pedestrian network including parks, amenity buildings and a number of “stepping stone” landmarks that make active mobility journeys pleasant and more mindful.
- Hubs and gateways which funnel Village residents together in shared gathering spaces to promote spontaneous encounters and allow neighbors to support each other.
- Shared residential bathroom clusters, communal kitchens and student lounges which give communities causal means of checking in on their neighbors’ emotional and physical health.
- Buffers between phases of work that mitigate exposure of Village residents to air and noise pollution from future construction activities.

Well-Being Connectivity & Mobility

Village residents need to be well connected to academic and amenity destinations outside the Village. Additionally, non-residents will need connectivity into the Village to join the Village residents in the use of new dining, well-being and recreational amenities and programs. The Student Life Village will be located outside the historic core of the Virginia Tech campus. This will create a high number of trips between the Village and core campus destinations every day. Virginia Tech’s commitment to a safe, healthy and climate-conscious transportation system means a reduction in reliance on single occupancy vehicles for daily mobility needs.

To prioritize personal mobility choices like cycling, walking, and e-mobility, while maximizing connectivity to the core campus, is necessary to make paths as expedient as possible and structure the Village in a way that prevents students from making redundant trips or “back-tracking” during their daily routine. The Gateway to the Village which contains dining, well-being and enrichment spaces is strategically located to be on-the-way for students going to, or returning from, the core campus. Breaking the pedestrian mobility journey up with a series of destinations like these also reduces the perception of distance. The paths of travel will be as flat and straight as possible within existing site constraints.

Transit mobility will be promoted with express bus routes planned directly from the Village to the Multi-Modal Transit Facility (MMTF) in the North Academic District. Transit stops are also strategically located to correspond with dining and well-being destinations that attract non-residents.

As the use of virtual learning technology expands, connectivity also means digital connectivity. The Village will provide indoor and outdoor Wi-Fi access and flexible use learning spaces to enable learning to happen anywhere and anytime.
A Destination

The Student Life Village will be an entirely new residential district for the Virginia Tech campus with dining, well-being, recreation, event and learning spaces open to the entire Virginia Tech community. As a destination, the Village will encourage diverse encounters between on-campus and off-campus students, faculty and staff allowing the Village to feel like part of the broader campus community.

The design of the Village will need to successfully leverage those features that make it a unique destination on campus, while maintaining the Hokie Spirit. Its landscape will become the context of new recreational opportunities that take advantage of heritage trees, complex topography and bucolic views. Programming of student life facilities will augment the offerings of the campus with flexible indoor and outdoor event spaces.

Flexibility

Change is inevitable, so the Student Life Village Plan is created to maximize Virginia Tech’s ability to adapt to an unknown future. This plan provides a framework to make sure development is well coordinated without restricting future evolution.

- The decoupling of phases using open spaces allows the possibility for each subsequent phase to be developed without overly impacting the completed phases.
- Phased implementation allows development to be calibrated to financial resources and changing demographic needs. Phased implementation means a phased end of life which allows the institution to better manage the transition of housing to future solutions.
- MEP Infrastructure is laid out so that it forms a complete system at the end of each phase. Completed phases will not need to wait for future phases to achieve full functionality. The system changes to absorb new phases.
- Multi-purpose well-being and enrichment spaces are intended to adapt to a variety of programs. Purpose-built spaces are limited as much as possible.
- A mix of housing units and types ensures near infinite configurations of residential communities that can nimbly adapt to changes in participation in living-learning, fraternity and sorority life and other residential programs as well as different ratios of class years.
Affordability

A commitment to inclusivity also means a commitment to affordability in the housing that Virginia Tech offers its students. Conscientious of limited resources, the Student Life Village plan takes a number of measures to reduce investment costs without compromising well-being and safety. Affordability is not about cutting corners, but making sure that limited resources are creatively focused on the things that affirm Virginia Tech’s values.

- Working with the topography, not against it, the Village plan limits the amount of investment that will be required for regrading, cutting and filling.
- An emphasis on active mobility and transit reduces the investment and land dedicated to parking and road infrastructure.
- Structuring the Village around a single dominant hub improves economies of scale for both construction and operation.
- Re-utilizing existing roads, parking and infrastructure, wherever possible, limits the initial infrastructure burden of the project.

- Conceiving of building massing at 4 stories or less ensures that future contractors can use the most cost-effective structural framing systems available at the time of construction.
- Adopting a simple massing strategy, and focusing architectural interest at gateways and main entrances, ensures that investment in materials and detailing can be focused on those places where they will be most communally visible.
- Taking advantage of the site’s native topography, heritage trees and existing landscapes reduces the cost burden of landscaping.
- Laying out buildings in quads of 400-500 students reduces the number of infrastructural connections and improves economies of scale for both construction and operation.
- Tactical investments in high energy performance, alternative energy and divestments from fossil fuels will create long term reductions in operating costs when balanced against the 40-year life-cycle of the consumable housing product.

Sustainability

Coming on the heels of Virginia Tech’s bold 2020 Climate Action Commitment, the Student Life Village will be a perfect opportunity to demonstrate the University’s continued focus on sustainable built environments. At a planning scale, the structure of the Student Village seeks to:

- Actively encourage use of alternative mobility and public transit choices to replace single occupancy vehicles.
- Conserve high value trees and landscapes to improve thermal comfort, reduce wind exposure and allow the plant-soil system to continue sequestering carbon.
- Maintain existing landscape hydrology and use vegetation enhanced stormwater infrastructure to address drainage needs in a way that adds ecological and aesthetic value.
- Distribute infrastructure efficiently and work with native topography to minimize the energy expended on site development.

Operationally this plan recommends working with the student community to:

- Adapt user culture surrounding thermal comfort, lighting, water use and waste.
- Use low carbon food production and preparation methods.
- Maximizing east-west orientation of buildings to control solar gains and improve natural lighting.
- Maximizing solar generation potential on south facing roofs.
- Utilizing recycled and rapidly renewable materials and structural systems with low embodied carbon.
- Introducing high performance envelope systems.
- Conceiving of building massing at 4 stories or less ensures that future contractors can use the most cost-effective structural framing systems available at the time of construction.
- Adopting a simple massing strategy, and focusing architectural interest at gateways and main entrances, ensures that investment in materials and detailing can be focused on those places where they will be most communally visible.
- Taking advantage of the site’s native topography, heritage trees and existing landscapes reduces the cost burden of landscaping.
- Laying out buildings in quads of 400-500 students reduces the number of infrastructural connections and improves economies of scale for both construction and operation.
- Re-utilizing existing roads, parking and infrastructure, wherever possible, limits the initial infrastructure burden of the project.

- Tactical investments in high energy performance, alternative energy and divestments from fossil fuels will create long term reductions in operating costs when balanced against the 40-year life-cycle of the consumable housing product.

At a building scale, the Village plan provides opportunities for future designers to integrate sustainable building technologies and energy systems. These technologies will change over time, but some principles remain:

- Maximizing west-west orientation of buildings to control solar gains and improve natural lighting.
- Maximizing solar generation potential on south facing roofs.
- Utilizing recycled and rapidly renewable materials and structural systems with low embodied carbon.
- Introducing high performance envelope systems.
Virginia Tech believes learning does not stop at the classroom door and views all its facilities, indoors and out, as opportunities to advance educational and research missions. As a residential district, the Student Life Village adopts the principles of a “Living-learning Community” where co-curricular and extracurricular enrichment happen side by side with residential life. The Student Life Village plan:

- Allocates “enrichment” space in every residential block, as well as the amenity buildings where living-learning programs, flexible-use learning, collaborative study and co-creation can occur.
- Provides a flexible housing structure which can accommodate diverse and ever-changing living-learning communities.

The Student Life Village Plan also views the design and construction of new facilities as opportunities to showcase technological and social innovations and transform buildings and landscapes into teaching tools. Some potential opportunities include:

- Integrating autonomous vehicle technology into the transit system.
- Using smart infrastructure that allows Village residents to view real time sustainability metrics like energy use, water consumption and waste.
- Providing public spaces and shared facilities that emphasize Virginia Tech’s principles of community and social responsibility.
- Utilizing novel energy generation and delivery systems and providing opportunities for students to “go behind the scenes” and view these systems at work.
LAND USE PLANNING

The diagrams that follow describe how the land use plan emerged from an interdisciplinary and collaborative process that considered topography, accessibility, connectivity, viewsheds, hydrology, existing infrastructure and ecological conservation as drivers.

THE STUDY AREA

The area analyzed for land use planning includes the present-day Virginia Tech Golf Course and Oak Lane residential community. This area is far greater than what is necessary to develop 5000 beds of housing so the land use planning process focused on eliminating land that is unsuitable for development.

EXISTING LAND COVER

The existing land cover of the vicinity is characterized by the agricultural belt to the south, golf course landscaping on the north and east, and the lawns and ornamental plantings of the Oak Lane community. Existing trees on the highway buffer and between golf course fairways are mature, offering ample canopy coverage in some areas. Riparian landscapes line the Stroubles Creek corridor and around Duck Pond and are identified as a buffer for resilience and ecological health.
As a land grant university in a semi-rural setting, Virginia Tech’s agricultural landscapes are a keystone of its identity and heritage. This land use plan reaffirms an “agricultural belt” at the edge of campus and respects existing agricultural lands. This preserves scenic views from the highway toward campus while embedding the Village in a living agricultural landscape that is important to establishing a sense of place for the community.

The existing buffer between the Oak Lane community and adjacent high speed, high traffic roads is at places narrow. The land use plan calls for widening and enhancing the buffer in order to attenuate noise, protect the Village from cold northwestern winter winds, visually hide unattractive highway infrastructure and reduce particulate pollution and fumes entering the Village. The buffer will have additional benefits as a wildlife corridor and recreational amenity for the Village.
Land use planning for the Student Life Village was shaped by a tension between keeping the Village well connected to core campus yet physically and visually distinct so that alternative construction and operating models can be pursued without detriment to the core campus’s architectural consistency. View shadow analysis was used to identify the level of visibility of potential built development from various vantage points on the core campus. Proposed development areas are overlaid on the analysis. This analysis was aggregated to arrive at a demarcation line that separated the highest visibility areas from low visibility areas.

The steep hillside falling towards Duck Pond obscures views to the west.

The high point at the center of the site is highly visible, one of many reasons it will be conserved as a green space.

Visibility decreases in the western valley of the site.

The eastern valley of the site creates a clear view corridor.

The view shadow analysis informed the location of a proposed demarcation line which designates an approximate line beyond which any new construction will be highly visible from campus locations like the Duck Pond, the future Infinite Loop and West Campus Drive. To maintain the visual consistency of the core campus, Village development is planned west of this line where a new, yet complementary, architectural character will be less visible from the core campus.
HYDROLOGY AND FLOOD RESILIENCE

Flood events are increasing in severity and frequency and the future Village will be developed to limit the exposure of Village residents and built assets to flood risk. Areas in the floodplain and natural drainage corridors are unsuitable for development. Preserving the existing drainage patterns of the site as much as possible will increase the efficiency of stormwater management without expensive infrastructure. The use of intermediate green spaces will reduce the volume and velocity of stormwater leaving the development sites. Flood data is as of October 2020 and should be reviewed for updates at the time of design and construction.

ACCESSIBILITY AND SLOPE

Ensuring that pathway connections to and from the core campus are accessible was an early priority of the land-use planning process, requiring a detailed understanding of existing topography. To that end, a primary “Village Trail” of connectivity was threaded between areas of rugged topography in order to create a route that is naturally accessible or that can be easily regraded to create accessible slopes with a minimum of cost and disruption to the native landscape. Areas of dramatic slope were avoided for development as much as possible.
Conservation areas are set aside by combining the most topographically challenging land with areas dense in high value trees. These conservation areas are incorporated into the design of the Village’s open space network.

**HERITAGE TREES**

Parts of the study area have been undisturbed since Virginia Tech’s founding and have trees 200 years of age and older. On the western edge of the golf course, towering oaks, walnuts, and hickory remain well preserved. Other mature trees are associated with wind breaks and dividers between the golf course fairways and Prices Fork road to the north. Conserving some of these trees will add aesthetic and ecosystem values and save money on future landscaping.
VILLAGE STRUCTURE

The result of the land-use planning process was to establish the acceptable limits of Village development based on parameters of ecology, topography, heritage and views. This section reviews additional layers in the Village that begin to define circulation experience, community formation and the sequencing of phased development.

STEPPING STONES

The Village Trail is the main link connecting pedestrians to and from campus and thus will become a core part of the daily Village experience. To make this journey more engaging and reduce the perception of travel distance, the Village structure places key landmarks along the spine in a “stepping stone” pattern.
From the central green, Village residents will have access to the three neighborhoods, each of which is defined by its own “neighborhood green”. These green spaces will create opportunities to define the unique identities of each neighborhood and act as local gathering spots.
DIVISIONS BETWEEN PHASES
The Village structure has been strategically laid out to ensure that each phase of work is decoupled from the others by an ample buffer. This will allow construction activities in each subsequent phase to proceed with minimum disruption to completed facilities.

QUADRANGLES
Each neighborhood is further subdivided into a series of quadrangles (quads) each with about 400-500 residents. These quads are centered around a green space that provides outdoor enrichment and opportunities for residents to define their individual identities within the larger neighborhood.
LAND USE PLAN

RESIDENTIAL USES
- Residential Parcels
  (Land parcels for residential development)
- Residential Areas
  (Spaces for residents)

STUDENT LIFE USES
- Enrichment
  (Spaces for curricular and co-curricular activities, LLP programs, and student life)
- Dining
  (Spaces for dining services, mail and other residential support functions)

WELL-BEING AND RECREATION
- Recreation
  (Spaces for sport and leisure activities, wellness and recreation)
- Spiritual and Meditative
  (Spaces for interfaith spiritual and meditative activities)

SUPPORT USES
- Operations Center
  (Grounds and facilities maintenance, equipment and supply storage)

LANDSCAPES
- Central Green
- Neighborhood Greens
- Grove
- Landscape Theater

HARDSCAPES
- Plazas
- Parking

LAND USE PLAN

The Student Life Village land use plan carefully balances the eight planning principles with existing conditions of the site. It makes best use of the site’s existing assets and unique character. It achieves a logical, hierarchal structure in its neighborhoods and quads, while remaining organic and responsive to the native topography. It achieves accessibility and high standards of ecological stewardship, while limiting capital outlay for infrastructure and landscape.
The Student Life Village will be built on land that is lightly developed, lacking in the infrastructure necessary to support 5000 residents. Preparation of the land for development requires a well-coordinated strategy for investment in infrastructure. The Student Life Village adopts a multi-purpose infrastructure strategy, limiting infrastructure burden by combining different systems into shared corridors. With affordability in mind, existing infrastructure is integrated with new systems and/or used for interim solutions in the phasing plan.
Mobility

To be a destination, well-integrated with the academic and social activities of the university and accessible to all users, the Student Life Village requires a robust and well-considered mobility system.

An accessible, engaging and pedestrian-focused circulation experience that encourages Village residents to adopt active mobility and transit choices.

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STRATEGY

Accessibility
Pedestrian
Transit
Vehicular
Parking
ACCESSIBLE MOBILITY

The Village’s accessibility strategy adopts a universal design approach which seeks to make the mobility experience of all Village residents the same, regardless of mobility needs.

RECOMMENDATIONS

ACCESSIBLE PATHWAY NETWORK

The accessible pathway network encompasses most of the pedestrian paths in the Village core, meaning the primary circulation experience of all Village users will be the same regardless of physical ability. The accessible pathway network has been graded to less than 5% for its entire length to meet wheelchair accessibility requirements. This is intended to reduce physical effort and make journeys more expedient for all users of the network.

ACCESSIBLE ENTRANCES

The main entrances to all buildings are located along the accessible pathway network. Accessible entrances are the same entrances used by all Village residents so there is no stigmatization created by separate building entrances for different ability groups.

ACCESSIBLE PARKING

Accessible parking is provided within 250 feet of all accessible entrances along the accessible pathway network. In addition to formally marked and permitted ADA spaces, accessible parking will also provide parking for those with temporary health and life situations requiring special mobility considerations.

WINTER MAINTENANCE

Accessible pathways should be prioritized for winter maintenance. Snow should be cleared to form paths at or greater than minimum width. Care should be taken that plowing of roads and sidewalks does not unintentionally obstruct accessible curb-cuts and paths.

TRANSIT PLAZA

All transit stops, including the transit plazas, will comply with the ADA and be designed with all users in mind.

THE VILLAGE’S ACCESSIBILITY STRATEGY ADOPTS A UNIVERSAL DESIGN APPROACH WHICH SEeks TO MAKE THE MOBILITY EXPERIENCE OF ALL VILLAGE RESIDENTS THE SAME, REGARDLESS OF MOBILITY NEEDS.
PEDESTRIAN MOBILITY
Pedestrian Mobility: A high-quality pedestrian experience will be essential to the success of the Village. The plan identifies a hierarchy of pathway types and recommendations to enhance the pedestrian experience.

RECOMMENDATIONS

WAYFINDING
Provide clear, high-quality pedestrian wayfinding to ensure an easy pedestrian experience. Wayfinding should leverage the identities of Village neighborhoods and quads.

CROSSINGS
The plan minimizes roadway crossings to enhance the pedestrian experience. Where crossings are required, they should be situated for maximum visibility and minimum crossing distance with traffic calming features like speed tables.

E-MOBILITY
Transportation technology is rapidly changing with the broad advent of e-scooters, e-bikes, and related technologies. The plan is technology-agnostic, recognizing that personal mobility will evolve and should be accommodated in building and site designs.

WINTER MAINTENANCE
Winter maintenance of sidewalks and key paths is essential. Nature trails may be unmaintained.

ILLUMINATION
Illumination of the spine and paths will be important, with higher lighting levels provided along the spine. Nature trails are assumed to have no or minimal illumination.

MULTI-MODAL PATH
Primary loops of connectivity within the Village serving pedestrians and bicycles in dedicated lanes.

VILLAGE TRAIL
Connection between the Village and Core Campus with the capacity to expand in the future.

NEIGHBORHOOD PATH
Pathways connecting the spines to the residential quads.

PATHWAY
Local pathways for internal connections within greens and quads.

NATURE TRAIL
Low-volume trails for recreational experiences in conservation areas. Paving choices should reflect landscape design goals.

Coordinate connections and improvements to pedestrian pathways, along Prices Fork Road, external to this project.
BIKEWAYS

Biking will offer many Village residents an expedient means to reach on and off-campus destinations. The Village provides a through connection for cyclists traveling north and south on the street and a direct connection to the North Academic District via the Village Trail. Additional bikeways facilitate movement between residential and amenity buildings through a hierarchy of dedicated and shared lanes.

RECOMMENDATIONS

WAYFINDING

Provide clear, high-quality bike wayfinding that keeps bikes from entering pedestrian-only areas. Clearly demarcate bike and pedestrian modal splits with signage and changes in paving material or color.

WINTER MAINTENANCE

Do not use bikeways as a snow storage facility. Plow and de-ice bikeways as with other pedestrian facilities.

ADAPTIVE CYCLING

Bikeways should be accessible to users of adaptive bicycles, bicycles that meet the individual needs of the cyclist, including handcycles, recumbent bikes, trikes and more.

DEDICATED LANE

Cyclists have a dedicated lane either on a path or road. Where provided on the street bike lanes should be separated from traffic, or parking by a buffer marked with striping or flexible reflective delineators.

SHARED PATH

Cyclists use the same path as pedestrians and other devices.

SHARED LANES

Shared lanes allow cyclists to share the same lane as vehicular traffic. This is only proposed in the low traffic areas of Oak Lane where existing roadways are being reused and other bike facilities will be built near or adjacent to the roads.

Along the central street, bikes may either use the on-street bike lane for express traffic through the village or the adjacent shared “neighborhood path” for local or more leisurely biking.

Village bikeway network should connect to planned bikeways in the Infinite Loop project.
ISOCHRONES
Isochrones provide an understanding of the travel times between the Village and the North Academic District. Travel times are shown from Tech Square (Burchard Plaza).

By bike, a typical cyclist can reach the Village Gateway from Tech Square (Burchard Plaza) in under 5 minutes. All residences can be reached in 8 minutes or less.

PEDESTRIAN ISOCHRONE ANALYSIS
At an average walking rate, the Village Gateway can be reached from Tech Square (Burchard Plaza) in under 10 minutes. All residences can be reached in 20 minutes or less.

At just a 10-minute walk, the amenities found at the Gateway are easily reached by students attending classes in the north academic district. This will help increase mid-day utilization.

Graduate student housing will be placed in the 18-20 minute zone. Graduate students will have the option of adjacent long-term parking.

At just a 10-minute walk, the amenities found at the Gateway are easily reached by students attending classes in the north academic district. This will help increase mid-day utilization.

CYCLIST ISOCHRONE ANALYSIS
By bike, a typical cyclist can reach the Village Gateway from Tech Square (Burchard Plaza) in under 5 minutes. All residences can be reached in 8 minutes or less.
TRANSPORT MOBILITY

Integrating the Village into the existing transport network will be crucial to connecting Village residents to daily academic and student life activities and, in turn, allow the Village to be a destination for the entire Virginia Tech community.

RECOMMENDATIONS

USER EXPERIENCE
Virginia Tech will continue to work with Blacksburg Transit to ensure that students are able to conveniently use public transport with intuitive tools, signage, and service design.

STOPS
These should be one focal stop which will be served at all hours. Additional stops may be used during evenings and weekends.

SCHEDULES
Service will need to be frequent in the peaks of class schedules to accommodate student demand. Service should include late-night service.

SMART INFRASTRUCTURE
The transit plazas should offer maps with real-time arrivals in addition to links to Blacksburg Transit’s tracker and other information sources.

ACCESSIBILITY
All stops will comply with accessibility requirements, ensuring easy use by all.

TRANSIT PLAZAS
These provide a key nexus for transit at the Village and will include access to real-time information and sheltered waiting areas, integrated into adjacent facilities. The primary Transit Plaza will be at the Village “Gateway,” a complex consisting of Phase I Dining and the Student Life Commons. A smaller transit plaza will be constructed as part of Phase III, integrated with Phase II Dining.

AUTONOMOUS PODS
Virginia Tech is an innovator in transportation technologies and the Student Life Village will be a prime opportunity to field test low-speed autonomous vehicles that transport small numbers of passengers along the Village Trail and secondary spines. It is recommended that autonomous vehicles be used only as supplemental transport serving low-frequency, low-demand and localized routes as current autonomous pod technology would be overwhelmed by the Village’s full transit demands. Autonomous vehicles could be used to create additional intra-village transit connections between transit plazas and the Village neighborhoods.

EXPRESS ROUTES
These are high-frequency, limited-stop routes, likely going directly from the Transit Plaza to the MMTF in the North Academic District. These will operate mostly in the daytime and schedules should be tailored to class schedules.

LOCAL ROUTES
These routes provide additional access to individual neighborhoods. These will primarily operate at night and on weekends. These routes are especially important to accessing amenities, shopping off-campus and remote long-term parking facilities.

SMART INFRASTRUCTURE
The transit plazas should offer maps with real-time arrivals in addition to links to Blacksburg Transit’s tracker and other information sources.

ACCESSIBILITY
All stops will comply with accessibility requirements, ensuring easy use by all.

Ensure transit connectivity to the existing long-term parking lots to the southeast of the Village.
TRANSIT PHASING & FLEXIBILITY

In phase I, transit service will be both essential for its success and challenged by the in-process road network. The phase I proposal seeks to give transit providers maximum flexibility to design appropriate routes.

PHASE I TRANSIT PROPOSAL

The plan envisions transit service could be routed through the Inn parking area to avoid congestion associated with Prices Fork Road. Coordination with Blacksburg Transit should determine which route is more expedient. Alternatively, current Oak Lane service, aka, “Hokie Express” could be extended to the Transit Plaza and back track along Oak Lane and the Perry Street Extension.

TRANSIT PLAZAS

Transit plazas provide a key nexus for buses to reliably wait, load/unload passengers and change directions with minimal conflict with other vehicular traffic. They are designed to make the transit experience enjoyable for Village residents and functional for bus operators.

BRANDED LIGHTS & SIGNAGE

To create a sense of place, branded lights and signage along with informative signage displaying real-time bus schedules.

CENTRAL LIGHTING FEATURE

The central lighting feature acts as a beacon, prominently marking the Plaza’s location and acting as a central feature in the Plaza during events.

BUS BAY

Bus bays on either side of the Plaza reserve the flexibility for operators to design routes and schedules. A counterclockwise flow is assumed.

PLANTING BEDS

Planting beds and seat walls can be used to delineate pedestrian and transit zones during normal operations.

ARCADES

Arcades are integrated into the amenity building design as sheltered outdoor waiting areas and extensions of indoor student life programming.

INDOOR WAITING

Indoor spaces within the plaza should function as interior waiting spaces with signage displaying bus schedules and clear sight lines to the bus bays.

Local transit on the Perry Street extension direct to the MMTF.
VEHICULAR MOBILITY

The Village is envisioned to have public vehicle access at the periphery only, limiting vehicle-pedestrian interaction and discouraging unnecessary driving to and within the Village.

**DESIGN SPEED FOR ALL ROADS: 15 MPH**

**STREET WITH PARKING**
Mid-speed road with dedicated bike and pedestrian facilities and one side of parallel parking. Bike lanes should diverge around parking with a buffer to prevent dooring.

**STREET**
Mid-speed road with dedicated bike and pedestrian facilities. There should be separation between bicycle lanes and sidewalks.

**LOOP ROAD**
Low-speed road with on-street bicycle lanes.

**ROAD**
Roads that do not have dedicated pedestrian or bike facilities because they are adjacent to other facilities.

**EXISTING ROAD**
Existing roads or roadways that will be reused in the Village plan. Refurbish the roads as required to integrate into the new network. Add shared lanes (“sharrows”) to accommodate bike traffic.

To maintain affordability, the existing signaled intersection at Prices Fork Road will not be modified. The new street should be into the existing road slightly south of the intersection.
In order to minimize infrastructure investment in phase I, the Village will maximize use of existing roads. With phase II, the road network will be expanded to allow full access to the Village.

**RECOMMENDATIONS**

**SPEED**

Facilities should be low speed to discourage speeding and cut-through traffic. Design of streets should emphasize that the Village is a pedestrian-oriented zone.

**BICYCLES**

Bicycles should be accommodated in dedicated facilities wherever possible. Share-the-road signage should be included wherever dedicated bike lanes are not provided.

**ILLUMINATION**

Lighting is appropriate for streets where bicycle facilities are provided as well as adjacent pedestrian facilities. Lighting along the Loop Road may be minimal to reduce glare and promote a transition to the ecological buffer. Crossings should be well illuminated.

**BRIDGES AND CULVERTS**

Bridges and culverts are proposed on roads and pathways in the Village which pass over stormwater corridors or Stroubles Creek. These features will require additional investment but can add interest to the landscape and act as landmarks in the daily circulation experience. Culverts are earthwork features over the stormwater stream channel, designed to permit ample stormwater flow. They can be naturalized and protected from erosion through use of vegetation and rocks.

**WINTER MAINTENANCE**

Maintenance of the bike lanes will be essential to enabling bike mobility choices. Snow storage for roadway and bicycle facilities must be provided without relying on pedestrian pathways as a snow storage location.

In phase I and II the central portion of the existing Oak Lane road remains in use before being pedestrianized in phase III.
SERVICE ROUTES
Service routes will be important to delivering goods and removing waste from the Village. The strategy of service routes is to keep heavy traffic from entering the center of the Village.

RECOMMENDATIONS

SCHEDULE
Coordinate waste collection at hours when students are unlikely to be home to minimize disturbances. Coordinate major deliveries at times when pedestrian traffic in the Village will be low, generally early morning.

PARKING
A small number of parking spaces will be dedicated to service vehicles.

PRIMARY SERVICING
Large trucks serving the strong and Student Life Commons facilities through dedicated loading docks designed into the buildings. To reduce noise and conflicts with other traffic, these loading areas are located on the perimeter of the Village.

WASTE COLLECTION AND SECONDARY SERVICING
Waste collection trucks gathering garbage and recycling from waste collection points.

WASTE COLLECTION POINTS
Waste and recycling bins located in accessible yet discrete locations, usually in conjunction with parking lots. Consider the use of landscape features to conceal bins from view of residential buildings and outdoor gathering areas. One waste collection point has been identified for every two quads. Waste collection for amenity buildings would happen via the dedicated loading bays designed into each building.

UTILITY CARTS AND CARGO BIKES ONLY
Additional maintenance of the Village’s core facilities and landscapes should occur via small utility carts or cargo bikes that can safely ride on the Village’s wider pedestrian paths.

Phase I Dining will have the most dominant service needs in the Village. This side of the building balances access and discretion. There should be 3 or more truck loading docks.

Service vehicles do not have to cross the Transit Plaza to reach their destinations, but this route is still available if required.
EMERGENCY VEHICLE ACCESS

The creation of a pedestrian-first Village that respects existing topography and landscape means that emergency vehicles will need to be able to utilize pedestrian routes to access facilities. This should not come at the expense of landscape character and pedestrian comfort.

RECOMMENDATIONS

WINTER MAINTENANCE
Emergency access design solutions like reinforced turf require special winter maintenance considerations. Emergency vehicle routes must always be cleared of snow shortly after a winter storm. The fire marshal may require the use of snow stakes to mark the edge of access routes and any obstructions.

WAYFINDING
In the event of an emergency, first responders need to be able to clearly identify different buildings and routes. The use of directional signage and visible building names and numbers will be required.

BARRIERS
Some emergency access routes cross over pedestrian-first landscapes. General vehicular drivers in the Village should not mistake emergency access routes for roads. To discourage illegal use of emergency access routes, consider using removable and/or automatic bollards, especially at the Transit Plaza. Changes in paving material, street furnishings, vegetation, mountable curbs and signage can also help drivers clearly distinguish between vehicular and non-vehicular routes.

EMERGENCY VEHICLE ACCESS VIA ROADWAY

All roadway infrastructure is sized appropriately to accommodate emergency apparatus.

EMERGENCY VEHICLE ACCESS VIA PEDESTRIAN ROUTES

To limit the amount of roadways in the Village, additional emergency vehicle access is proposed via pedestrian routes. These routes are sometimes not of sufficient width to accommodate emergency apparatus. Features like permeable paving, grass pavers, reinforced turf or other solutions can be used to add width without major changes to the character of the landscape. Path intersections should be designed to account for apparatus turning radii. Dead end conditions will require turn-arounds. These have been integrated into seating terraces or plazas in the design.

Pedestrian Paving

Minimum width per fire marshal

Pervious paving, reinforced turf, grass pavers or other solutions to achieve required width for emergency apparatus.

WAYFINDING

In the event of an emergency, first responders need to be able to clearly identify different buildings and routes. The use of directional signage and visible building names and numbers will be required.

EMERGENCY VEHICLE ACCESS COVERAGE AREA

150' from access routes

COVERAGE AREA

Alternate hammerhead turn at dead end is incorporated as seating terrace in the design.
PARKING

To encourage active and transit mobility choices the Village is designed as an accessible, walkable community. Parking will be limited to the perimeter of the Village to avoid disrupting the pedestrianized core. Most spaces are allocated for accessibility and staff working in the Village. Some additional parking at the Phase I Dining, Student Life Commons and Interfaith Chapel lots can be used for visitors and events. The Student Life Village Plan does not provide any long-term parking for undergraduate residents. Long-term student parking will need to be made available off site in a location accessible by pathways and transit.

**LONG-TERM = 212 SPACES**
- overnight parking for access and medical needs, car-share programs
- live-in staff and graduate students

**DAY PERMITS = 287 SPACES**
- for staff, visitors and service providers staying in the Village generally no longer than a work shift.

**SHORT-TERM = 51 SPACES**
- for pick-ups, drop-offs and grab-and-go users standing for 15 minutes or less.

**FLEXIBLE LONG-TERM PERMITS: ADA ACCESS, MEDICAL, CAR-SHARE PROGRAMS, FAMILY NEEDS AND GRADUATE STUDENTS**
- 105 for health and wellness
- 105 for medical
- 80 for car-share programs
- 100 for family needs
- 100 for graduate students

**TOTAL PROPOSED INVENTORY: 550 SPACES**
- 315 EXISTING + 235 NEW

**DAY VISITORS**
- 80

**VISITOR ADA**
- 41

**SERVICE AND 20-MINUTE LOADING/UNLOADING**
- 47

**LIVE-IN STAFF**
- 119

**GRAB AND GO**
- 25

**PICK-UP / DROP-OFF**
- 12

**DAY STAFF AND FACULTY VISITORS**
- 119

**SOUTH STREAM LOT**
The south stream lot provides ADA and service access to the central green and Phase III Dining.

**NORTH STREAM LOT**
The north stream lot provides ADA and service access to the northwest quads.

**NORTH SERVICE LOT**
The north service lot provides live-in staff and service access to the northern quads.

**NORTH OAK LANE POCKET**
The north oak lane pocket provides a staff parking node on the north side of phase II.

**OAK LANE LOOP**
The oak lane loop is primarily for long-term resident parking.

**SOUTH OAK LANE POCKET**
The oak lane pocket is entirely for long-term resident parking.

To widen the ecological buffer, the outer ring of Oak Lane parking will be demolished but the inner ring will be reused.

**TOTAL PROPOSED INVENTORY: 550 SPACES**
- 315 EXISTING + 235 NEW
PARKING RECOMMENDATIONS

SMART PARKING
Increased use of technology could assist visitors to find a space and enhance enforcement as well as be an opportunity for testing technology with VTTI and other researchers. Parking space occupancy sensors would notify enforcement when a space was occupied and allow for automatic notifications when a time-limit is exceeded. Where visitor parking is allowed, the campus parking app can allow for easy season extensions up to the allowable time limit.

FEES AND GATES
Parking fees will need to be commensurate with the rest of campus to align expectations. Gates may be required for the standalone lots to limit illegal parking. The majority of the parking, as it will be on-street, will not be gated and require active enforcement. Some parking meters may be required but enforcement should be technology-focused to limit the burden on enforcement staff.

PERMIT POLICIES
Given the limited number of parking spaces in the Village, parking permits for the area should only be issued to staff whose primary place of work is within the Village. Resident parking permits should be issued to any faculty or staff residing within the Village as well as to students who qualify for an ADA permit. If sufficient parking is available, graduate students may be offered the opportunity to purchase parking in the Village. All other residents are expected to use remote resident parking zones.

ENFORCEMENT
Regular enforcement will be required, particularly at the beginning of the academic year, to establish behavioral norms. With the limited amount of parking, there is the potential for abuse of both short-term parking at dining and the Student Life Commons and resident-adjacent parking. Parking Services will need to work closely with the residents to determine if weekend enforcement is required or appropriate.

SHORT-TERM PARKING
Short-term parking will need effective enforcement to establish good behavior and discourage abuse. There will need to be different tiers of short-term parking with slightly longer parking, up to 20 minutes, allowed near the residences to allow unloading of groceries or other items and shorter parking, up to 5 minutes, for app-based pick-ups.

RESIDENT LOADING/UNLOADING - 20 MIN MAX
Village residents who do not have parking on-premises will still need spaces where they can load/ unload personal items, groceries, etc. A 20-minute time limit is recommended for these spaces.

GRAB-AND-GO DINING - 15 MIN MAX
To support increased demand for grab and go offerings, several spaces will be offered street side to allow off-campus students and professional delivery drivers to pick-up food quickly.

RIDESHARE, TAXI AND APP-BASED PICK UPS - 5 MIN MAX
Accommodation of these services throughout the Village will be important. The plan identifies pick up zones and VT may need to work with individual companies to enforce these zones so that only the acceptable locations show up as options on apps.

PARKING in this area needs to be removed for the Perry Street Extension and Village Trail. A small number of ADA and service spaces should remain in the Plaza.
**MOVE-IN DAY**

Virginia Tech has an orchestrated move-in day process that seeks to minimize traffic problems by assigning residents time-windows in which to unload their possessions. The Village plan provides for parking near, but not directly at, each residential quad for unloading personal items. The Village plan strongly advises against driving on pedestrian routes and quads during move-in day to avoid establishing bad habits and damaging landscapes/paving at a time when they will be seen by the greatest number of people.

**RECOMMENDATIONS**

**LOT PARKING**

On move-in day, most if not all lot parking spaces should be dedicated to move-in. On this day, most staff will need to park off-site.

**STREET PARKING**

Use traffic cones to designate the one-way traffic street parking pattern on the Village loop road.

**CART PATHS**

Designate cart paths to each residence with colored signage. When designing the pedestrian network consider this use-case and avoid bumpy paving, curbs and pavement notches which could obstruct cart movement.

**WAYFINDING**

Clear temporary signage, color-coding systems and path markers will be essential to a smooth parking and unloading process for residents.

**VEHICULAR ACCESS**

**CART PATHS TO RESIDENTIAL ENTRANCES**

Residents will not be allowed to drive straight up to building entrances. Carts should be used to move items between vehicles and building entrances along pedestrian pathways. The university may consider employing student helpers to expedite the process.

**MOVE-IN DAY PARKING CAPACITY 640 SPACES**

- phase I: 207 spaces for 1752 beds - move-in 9 time slots
- phase II: 188 spaces for 1384 beds - move-in 8 time slots
- phase III: 245 spaces for 1864 beds - move-in 8 time slots

**ONE-WAY TRAFFIC PATTERN ON VILLAGE LOOP ROAD**

The use of a one-way traffic pattern on the Village loop road during move-in days will add to the total number of available parking spaces on move-in day and thus reduce the number of time-blocks needed to move-in the full Village population.
PERSONAL MOBILITY PARKING
To encourage Village residents to choose healthy, sustainable and low-impact mobility modes like bikes, e-scooters and e-bikes means giving them secure and weather protected locations to lock their vehicles.

RECOMMENDATIONS

E-SHARE AND BIKE SHARE PROGRAMS
Work with app-based e-device sharing programs and VT’s own bike share program to designate device “round-ups” near building entrances, but out of the way of pedestrian and vehicular traffic.

INDOOR PARKING
Provide ample indoor, long-term/overnight bike, scooter and stroller parking at residences in the form of ground level rooms accessed from both the exterior and interior of the building via the resident’s RFID.

OUTDOOR PARKING
Provide outdoor racks capable of accommodating diverse lock types and two points of contact. Prioritize the public plazas and terraces for outdoor, short-term bike parking. Locate racks under awnings or free-standing shelters where feasible.

WINTER MAINTENANCE
Keep outdoor racks and the entrances of indoor parking rooms free from snow during winter maintenance. Avoid locating racks in common snow dumping areas like swales.

DIY BIKE REPAIR
Maintain both indoor and outdoor locations for DIY bike repair that include a bike pump (preferably electric) and tools tethered to a chain for theft prevention.

RECOMMENDED SPACE ALLOCATION

2500 SPACES

INDOOR RESIDENTIAL BIKE STORAGE - 1,250

OUTDOOR RESIDENTIAL BIKE PARKING = 630

AMENITY BIKE PARKING = 500

INDOOR STAFF BIKE PARKING = 120

This quantity is equal to the number of staff car parking spaces. In addition to providing secure indoor bike spaces, providing staff with showers and lockers can make alternative mobility choices easier.

Allocating bike parking along the street’s bike paths will be logical for visitors from outside the Village.
A resilient water system is essential to resident health and well-being. Robust stormwater management, adopting current best practices, will help protect Stroubles Creek and improve resilience to flood hazards.

Water delivery and stormwater management will work with the existing landscape for affordability and ecological stewardship.
DOMESTIC WATER

A sufficient and reliable supply of water will be required to accommodate the 5000 residents on this site.

RECOMMENDATIONS

MAINTENANCE ACCESS
Use roads and pathways to run pipes for ease of maintenance and to prevent redundant trenching.

DUAL-FEED
At least two points of connection to each quad should be used to reduce potential for water service gaps due to fault, repairs or emergencies.

PHASING

EXISTING
Based on public data, the existing domestic water main is located at Prices Fork Road. The capacity of this main to accommodate the increased load of the Village has not been verified in this planning process.

PROPOSED
Water supply piping should be laid out efficiently along roads and paths.

SCALABILITY
A challenge of the water system design is maintaining the right amount of pressure in early phases, while sizing the system large enough to accommodate increased loads in the future. Connecting to the main at two points provides the maximum control over pressure in the early phases.

REDUNDANCY
Connecting into the water main at two points also ensures redundancy which will allow continuity of water service during future construction activities as well as provide resilience to disasters and faults. While “completing the loop” in this way adds cost, it is recommended for long term reliability of the water system.

PHASE I WATER SUPPLY
In order to complete a loop in phase I, consider an interim tie-in to the existing Oak Lane water line until the full system is constructed.
SANITARY SEWER
Sanitary sewers should follow roadways for ease of maintenance access while working with the natural topography.

EXISTING MAIN
Based on public data, the existing sanitary sewer water main is located along the Stroubles Creek corridor. The capacity of this main to accommodate the increased load of the Village has not been verified in this planning process.

PROPOSED SANITARY LINES
New sanitary lines should follow topography as close as possible from building to existing mains while remaining in open and accessible locations.

SEWAGE WASTE HEAT EXCHANGER
A viable thermal energy strategy for the Village may include a sewage waste heat exchanger (SWHE). These devices use the ambient energy found in sewer mains to heat or cool buildings via a heat pump as part of an ambient low-energy loop. Positioning this device below the connection of the Village line to the existing main will allow the capture of waste heat from the entire Virginia Tech campus.

PHASING
PHASE I SANITARY SEWER
The existing route of the sanitary trunk line along Oak Lane should be reused for the Village. Engineers should verify if the existing pipe can support the loads of phase I and/or II in order to avoid disruption to the existing Oak Lane sanitary system during construction. If required, the line should be replaced in its existing location with the capacity to accept the full future design load of the Village. This replacement should happen in conjunction with refurbishments and improvements to Oak Lane and adjacent pedestrian facilities.
LANDSCAPE DRAINAGE

Large open spaces should direct stormwater away from buildings and pathways and via storm pipe or dry swales as appropriate for design and programming goals. Smaller enclosed open spaces like quads and terraces should utilize yard inlets connected to storm pipes. To assist drainage, avoid the creation of landscapes that are too flat.

STORM PIPE

In areas of high pedestrian traffic, storm pipe keeps drainage off of paths and lawns completely by conveying stormwater loads underground until they reach the stream channel. Storm pipe will also be used to direct roof drainage to the stream channel.

RECOMMENDATIONS

ACADEMIC/RESEARCH INTEGRATION

Virginia Tech has many research programs and public initiatives geared at studying, improving and raising awareness for water quality and flood resilience. Consider ways to engage research and stewardship efforts like the VT Stream Team, Stroubles Creek Coalition, Learning Enhanced Watershed Assessment System (LEWAS) Lab, and the Stream Research Education and Management (SiREM) Lab.

SPILLWAYS

Should retention infrastructure overflow, spillways provide a means of directing excess water towards the Stroubles Creek corridor.

PHASING

It is recommended to complete the wet pond and stream channels in their entirety in phase I. Future phases can then easily "plug in" to the existing infrastructure.
Conveying and retaining stormwater in above-ground facilities not only offers quality and quantity credits, but can add character to the design of landscapes, attract wildlife and provide ecosystem services.

**BLUE INFRASTRUCTURE**

Conveying and retaining stormwater in above-ground facilities not only offers quality and quantity credits, but can add character to the design of landscapes, attract wildlife and provide ecosystem services.

**RECOMMENDATIONS**

**VEGETATION**

Vegetation and natural plantings along bio-retention and conveyance infrastructure is aesthetically pleasing but adds maintenance. Vegetation should be deployed strategically in high-visibility, high-use areas. In other areas, sod is preferred for ease of maintenance. Species should be selected to align with maintenance capacities and resilience to stresses.

**MAINTENANCE**

Blue infrastructure is a gathering place for debris and sediments. Dredging will likely be required to maintain blue infrastructure but proper erosion control can reduce the frequency of dredging. Trash accumulation can be reduced through education of the Village residents as well as stewardship programs which encourage residents to clean up litter and increase their sense of responsibility for the well-being of the landscape.

**DRY SWALES**

Dry swales are slight depressions in the landscape, usually along roads and parking lots, that enable the infiltration of small loads while conveying overflow to storm pipe inlets.

**STREAM ZONE - GRASS SWALE**

Where the stream moves through developed and high-traffic areas with limited room for naturalization, it takes on the form of a wet grass swale.

**STREAM ZONE - NATURALIZED**

Wherever feasible, the stream can be naturalized with a meandering ripple and pool structure and vegetation enhancements that will reduce water velocity while improving quality.

**STREAM ZONE - STEP POOLS**

Where the stream falls down steep topography, step pools should be used to slow water down and prevent erosion. Step pools are created with a series of rock check dams which trap sediments and reduce water velocity. Step pool spacing is based on slope steepness.

**WET POND**

A wet pond is a permanently wet retention facility that is designed to safely accommodate fluctuations in water level. Wet ponds can be designed to mimic natural water bodies. The slopes of the edge of the wet pond will periodically fill with water and may take on the character of a wetland.

**VEGETATION**

Vegetation and natural plantings along bio-retention and conveyance infrastructure is aesthetically pleasing but adds maintenance. Vegetation should be deployed strategically in high-visibility, high-use areas. In other areas, sod is preferred for ease of maintenance. Species should be selected to align with maintenance capacities and resilience to stresses.
CIVIL PHASING

The design of the Village’s civil infrastructure permits phased implementation where in each phase is both a fully functional unit on its own, as well as a segment that will integrate into a future complete system.

RECOMMENDATIONS

DESIGN COORDINATION

In order to achieve a phased infrastructural system that works as a complete whole, design needs to be coordinated early on with designers considering the entire development site, not just the active phase of work.

ROAD REFURBISHMENT

Refurbishment of existing roads should be coordinated with the installation of new sanitary and water pipes to avoid redundant road resurfacing.

EXISTING INFRASTRUCTURE

Existing Oak Lane civil infrastructure needs to remain operational until commencement of phase III, if possible, phase I and II systems will connect to Oak Lane systems. This may require that some pipes are replaced in-kind with new pipes capable of handling increased loads.

BUILDING AHEAD

With the exception of stormwater facilities, the plan has been laid out to avoid the infrastructure burden of having to “build-ahead” in order to achieve fully functioning phases. The phase II site remains untouched by infrastructure serving phase I. Maintaining this in principle means working closely with the topography so that outflowing stormwater and sanitary pipes can reach their respective destinations without crossing the phase II area of work.

PHASE I

New road construction provides a path of ingress for domestic water from the north. Sanitary on the site’s east slope flows towards the existing main running north-south. On the west slope it flows towards the existing Oak Lane trunk line. Storm pipe follows a similar pattern with distinction between eastward flows to the eastern stream channel and westward flows to the western stream channel. Above ground stormwater facilities must be constructed in full during phase I. Electrical and telecom conduit banks should be laid in Phase I by following new pathway and read construction routes for site ingress.

Existing Oak Lane Domestic Water Supply
Existing Oak Lane Sanitary
Existing Sanitary Main
Existing Sanitary Trunk,
replacement may 
be necessary
Existing Oak Lane
Sanitary
Sanitary
Stream Channel
Stream Channel
Domestic Water Supply
Wet Pond
Existing Water Main
Existing Sanitary Main
Spillway
Phase II connects to phase I’s domestic water infrastructure with an independent loop that returns to the existing main at Price’s Fork Road. Crossing of the stormwater channel with new pipe needs to be carefully coordinated. Stormwater and sanitary follow roughly the same paths allowing for combined duct banks.

Phase III sees the removal of existing Oak Lane infrastructure and replacement with a water supply loop that builds off the phase II loop.
Information

With more and more education and research happening outside the classroom, robust information infrastructure is critical to the Village’s integration and connectivity goals.

Information technology will provide additional connectivity and integrate Village and academic life.
Telecommunications infrastructure includes Wi-Fi, Internet cable, cellular signals, voice over Internet phone and emergency communications networks.

**RECOMMENDATIONS**

**SHARED CONDUIT BANKS**
Telecommunications cabling can share trenches with other systems but must be ensconced in their own protected conduit.

**OUTDOOR WI-FI**
Indoor Wi-Fi may have the capacity to extend to adjacent outdoors spaces, but in most cases, wireless access points should be installed on building facades and light poles in order to extend the service reach.

**CELLULAR SERVICE**
To improve the reach of cellular communications, traditional, 4G and 5G cell sites may be located on buildings, light poles and other landscape structures in coordination with cellular service providers.

**VIRTUAL LEARNING**
Consider needs for specialized virtual learning technology to serve flexible learning spaces proposed in the amenity buildings.

**HARD WIRING**
At the time of building design, the university should consider whether hard-wired Ethernet connections and co-ax cable are still needed in student rooms or if investment should be focused on robust Wi-Fi speed and coverage area. Hardwiring will still be appropriate for devices like emergency phones and virtual learning, teleconferencing and VOIP systems.

**SWITCH AND CABLING CENTER**
A switch and cabling center for the Village would be most logically located in the Phase I Dining facility to receive cables directly from core campus before fanout.

**WI-FI COVERAGE PRIORITY**
The highest priority for Wi-Fi coverage will be residential buildings and immediate adjacent outdoor spaces, especially transit plazas and residential quads.

**WI-FI COVERAGE PREFERENCE**
With remote learning and research ever-increasing, using the outdoor landscape as an extension of the classroom can contribute to well-being and give Village residents more options for places to study. Wi-Fi coverage for the entire Village landscape should be pursued if in alignment with affordability goals.

**TECHNOLOGY-FREE ZONE**
The interfaith chapel and its immediate landscape are designated as a technology-free zone to encourage mindfulness and respect for its role as a spiritual sanctuary. Emergency call boxes, security cameras, access control devices and staff telecommunications should still be installed at the interfaith chapel.

**REDUNDANCY**
Consider the use of dual fiber feeds to each quad to reduce or eliminate service downtime in the event that one feed experiences faults or repairs.

**FLEXIBILITY**
Given the rapid change in telecommunication technologies, infrastructure should be planned with the capacity to be changed to newer systems in the future. At the time of design and construction, use of the most up-to-date standards can increase the longevity of the system.
Virginia Tech uses personal mag-stripe/RFID cards (Hokie Passports) to control access to facility entrances and distinguish between staff and student entrances. At the time of building design, the university should consider whether Hokie Passports are a viable substitute for brass keys to access individual residential units.

**SAFETY & SECURITY**

**PIXIE PASSPORTS**
Virginia Tech currently employs a number of safety and security information systems on the core campus. This plan assumes those systems would also be extended to cover the Village community.

**OUTDOOR EMERGENCY PHONES (BLUE LIGHTS)**
Blue lights are outdoor phone pylons that remain illuminated at all times and have direct voice connection to an emergency dispatcher. Work with campus safety to ensure appropriate blue-light coverage in the Village and along pathways connecting to the Village.

**INDOOR EMERGENCY PHONES (BLUE BOXES)**
Blue boxes are push-to-talk two-way speakers with direct voice connection to emergency dispatchers. At least one blue box is recommended in a central location of each building. Public buildings should have at least one blue box in common areas and another in staff areas.

**SECURITY CAMERAS**
Security cameras should be located at critical public areas and in close consultation with law enforcement. Monitoring protocols should be transparent and shared with students and staff prior to move-in.

**SIRENS AND LOUDSPEAKERS**
The core campus’ existing emergency notification sirens and voice annunciators may not be audible from the Village. If so, additional sirens and loudspeakers should be placed in the Village.

**SMART INFRASTRUCTURE**
Smart infrastructure is a general term describing infrastructure that integrates information technology and software to improve performance. Smart infrastructure is increasingly becoming the norm in the specifications of many infrastructure systems, but can also be an opportunity for Virginia Tech to test and demonstrate innovations in the field. Successful implementation requires coordinating with IT and network teams early in the design process.

**OPPORTUNITIES FOR SMART INFRASTRUCTURE**

- Consumption monitoring and reduction targets
- Smart leak / pressure drop identification
- Demand responsive transit
- Automated and app-based fare collection
- Transit signal priority
- Demand responsive pick-ups
- Waste monitoring and public reporting of waste reduction targets
- Remote real-time water quality and flow rate monitoring
- Real-time transit schedules
- Automated and app-based fare collection
- Smart Parking
- Automated parking enforcement
- Transit signal priority
- Collaboration with app-based e-scooter/e-bike providers
- Interactive walking and tour guides
- Consumption monitoring and reporting
- Peak-shaving
- Occupancy based demand response
- District demand allocation
- Automated envelopes
- Sensor operated lighting
- Collaration with app-based e-scooter/e-bike providers
- Interactive walking and tour guides
- Humidity monitoring
The landscape framework for the Student Life Village is responsive to the topography of the site and the heritage trees that define the existing fairways of the golf course. Where possible, existing trees are maintained and incorporated into the proposed open space structure. A network of accessible pathways further structures the land use plan and landscape framework for the Student Life Village.

A high point at the center of the Village’s central green provides sweeping views of the surrounding landscape and campus, including the iconic Burruss Hall, and will be an core place-making feature of the design.
“FOUND” LANDSCAPE

The existing golf course is a beautiful, undulating terrain with centuries-old trees framed by pasture land and Stroubles Creek. These existing landscape values should not be lost in the design and construction of the Village landscape.

RECOMMENDATIONS

CONSERVATION

Maintain the fairways and heritage trees where possible as character-defining features. Tree conservation protocols need to be written into construction documents so that site development, material storage and the movement of machinery does not permanently damage trees identified for conservation.

GRADING

Minimize grading to preserve the existing character and features of the site.

HIGH POINT

Leave the high point at the center clear as a platform for sweeping views of the campus landscape.

The existing high point of the landscape provides a vantage point from which to appreciate the surroundings and views back toward central campus. The golf course outbuildings should be removed.
The overall structure of the landscape in the Student Life Village is defined by the following areas, each of which is laid out in response to the topography and existing heritage trees of the site.

**THE CENTRAL GREEN**
The central green is the signature open space of the Student Life Village. Located at the highpoint of the site, the central green is analogous to the Drillfield as an overall organizing open space. Unlike the Drillfield, however, the central green occupies a highpoint, not a low point, in its surroundings.

**NEIGHBORHOOD GREENS**
Each phase of construction forms a neighborhood that centers around a green space. The neighborhood greens incorporate existing trees and topography in the areas between the residential quads. These areas will each have a unique character based on their native topography which begins to define the individuality of each neighborhood.

**QUADS**
A series of quads is proposed as the formal expression of residential development. The quad landscapes are envisioned as areas for passive recreation and outdoor gathering for the surrounding residential communities. Each includes open lawn areas, stormwater management zones, and patios located adjacent to the major lobbies of the residential buildings.

**PLAZAS**
Each phase of construction has a plaza to facilitate gathering and to provide locations for events and activities. In both phase I and II, the plaza is also a transit hub associated with the major public buildings and dining halls. These plazas can flexibly adapt to accommodate both transit and special events.
CENTRAL GREEN

The central green includes informal gathering lawns which adapt existing golf course fairways. The high point of the site is left clear as a gathering area and overlook from which to view the surrounding landscape. A central grove of mature hardwoods is formed from existing heritage trees and creates a quiet path for contemplation and passive recreation. The low-lying area of the site contains the Village’s central stormwater stream which provides opportunities for nature study and contemplation by the water’s edge.

NEIGHBORHOOD GREEN - PHASE I

Each neighborhood, corresponding with each phase of development will have its own green space that defines the identity of the neighborhood. Phase I’s neighborhood green is characterized by its grove of existing mature hardwood trees hugging a sloped landscape. Small picnic terraces for grilling, relaxing and social events are tucked into this grove. Paths meander through the green, hugging the contours.
**NEIGHBORHOOD GREEN - PHASE II**

Phase II’s neighborhood green is located along a slope that leads down to the phase II plaza. Switchbacks navigate the slope with accessible paths. An existing grove of golf course trees is preserved in the center of the site. The green meets the stormwater stream at the bottom of the site with a wooded buffer. The three main entrances to the three quads are all facing into this green, creating a space that will be active and dense with activity. Hardscaping will connect all three entrances with public gathering areas.

**NEIGHBORHOOD GREEN - PHASE III**

Phase III’s neighborhood green incorporates the existing bowl at the center of the Oak Lane community and is relatively flat compared to the other neighborhood greens. This allows for more active recreation programming to supplement that provided at the Village Gateway. An open lawn faces onto Phase III Dining’s outdoor dining terrace and can function as event space.
QUADRANGLE
The landscape of each quadrangle is a place for residents to express their own identity. To that end, the goal is to maximize flexibility and accommodate public activities surrounding the “Living-Learning Porches”, a multi-purpose space at the main entrance of each building which connects through to the quad. Where possible, quads should conserve existing trees. Roof drains should lead directly to storm pipes, but a local yard inlet and rain-garden is recommended for collecting stormwater falling on the quad landscape itself.

TRANSIT PLAZA & THE GATEWAY
The Transit Plaza provides a space where buses can wait for passengers and change direction of travel. Adjacent amenity buildings are lined with colonnades that act as bus shelters. The Plaza is a critical component of the transit system and will be a vibrant stop on students’ daily routines. It doubles as a flexible event space for the entire Virginia Tech campus. When in ‘event mode’, other uses can extend over the full width of the Plaza. The rise of the landscape to the west provides a natural outdoor theater from which to observe the Plaza’s events.
A well-designed landscape is one that can accommodate many different uses with the same spaces. These suggested outdoor programming ideas are only some of the possible uses to which the Village’s dynamic landscape could be devoted in the future.

- Nature Study
- Beach Volleyball
- Multi-Purpose Courts
- Basketball
- Field Sports
- In-formal Gathering
- Meditation and Spiritual Practices
- Grillig/Picnicking
- Outdoor Dining
- Flexible Event Space
- Landscape Theater
Section A
WEST CAMPUS DRIVE TO HIGHWAY 460

The Student Life Village is laid out in response to the topographic conditions of the existing golf course and Oak Lane residential area. In the east-west direction, an accessible multi-modal pathway connects the Village to the North Academic District crossing West Campus Drive at the Perry Street intersection. The accessible pathway moves through the proposed Transit Plaza of the Village and continues around the central green which occupies the highpoint of the site. The central green transitions from the highpoint downhill toward the west where an existing drainage swale is integrated as a site feature. As the Green continues to the west, it transitions up to the elevation of the existing Oak Lane area and beyond to the ecological buffer.
Section B
PRICE FORK ROAD TO THE POND

In the north–south direction, the topography in the area of the Student Life Village transitions from the elevation of Prices Fork Road up and over an existing hillock, at the base of which the proposed loop road is located. From there, the northernmost residential quads slope upward toward the highpoint of the site where the central green is positioned. From the central green, the topography transitions downhill toward the southernmost residential quads and beyond to the proposed stormwater management pond and Stroubles Creek.
LANDSCAPE PHASING

The phased nature of the Student Life Village’s development means there will be periods of time between phases when land is not utilized. Interim strategies for recreational, operational and educational uses of the landscapes should be explored.

PHASE I

In order to construct phase I, the existing Virginia Tech golf course will be taken off line. Only two fairways will remain unaffected by the development; they should not remain in use out of respect for the comfort and safety of the Village residents. Instead, the land could be dedicated as a nursery for growing trees at a low cost so that they are mature and ready to be transplanted into future phases of development.

This land could also be made available for short term vegetation, land and water quality research. Reforestation and enhancement of the ecological buffer should occur in or before phase I in order to ensure that a mature tree line has formed to protect future development.

Above-ground stormwater infrastructure needs to be constructed in phase I but finish landscaping can wait until Phase II.

PHASE II

To minimize capital outlay in phase I, the central green will not be completed until phase II. This space should be prioritized for landscape investments as it will become the Village’s iconic green space feature. Trees that have been cultivated in phase I can be moved to this landscape so that it has the appearance of mature age even shortly after completion.

THE MEADOWS

The meadows and green spine proposed as part of the 2018 Campus Plan should be completed only after the disruption of phase I’s road and pathway construction.
The way landscapes are constructed and maintained are part of the site's health of the local ecosystem.

**EMISSIONS AVOIDED THROUGH CONSERVATION**

The conservation of heritage trees for reuse in the Village’s new green spaces will reduce the embodied carbon footprint associated with growing, transporting and planting new trees on the site. The possible use of undevolved land in the period between phase I and II as a tree nursery will also reduce the transportation emissions associated with sourcing new trees for the landscape.

**SEQUESTRERED CARBON**

The conservation of the site’s most mature plant-soil systems ensures that carbon remains locked away in biomass rather than released to the atmosphere. The possible use of undevolved land in the period between phase I and II as a tree nursery will also contribute to the sequestration of additional carbon into the site’s plant-soil system.

**DEAD AND DECAYING MATERIAL**

Wherever possible, leaving dead and decaying material in place contributes to the long-term fertility of the soil and sends some carbon back into the site’s soil biomass rather than the atmosphere.

**LANDSCAPING WASTES**

Depending on how it is processed, landscape wastes can have large or minimal climate impacts. Aerobic decay of landscape wastes releases carbon which is preferable to anaerobic decay which releases the more potent greenhouse gas, methane. Landscape waste can be conventionally composted to recycle nutrients back into the soil or sent to bio-gas digesters where it is converted to a carbon-neutral fuel.

**SOIL HEALTH**

Healthy soils are a critical carbon sink. Erosion, fertility loss, compaction and pollution all reduce soil health and thus the ability of the soil to sequester and store carbon. Protecting soil health is a holistic effort that has two main components: prevention during construction and life-cycle maintenance:

- During construction heavy machinery has the potential to permanently damage soil health requiring that new soil be introduced at additional expense and extra fees.
- During life cycle maintenance confine traffic to designated routes to limit impact to soil. The Village site work requires a small amount of Cal- or Multi-cal soil should be relocated to fill sites as quickly as possible. If soil must be stockpiled, keeping it dry prevents nutrient leaching and compaction.

**TREE SELECTIONS**

Consider tree species, especially fast-growing hardwoods, that have high carbon sequestration potential. The department of energy provides resources on tree carbon sequestration potential in each climate zone. Select trees that are resilient to the local climate conditions and human disturbance to prevent the additional emissions associated with frequent tree replacement.

**MAINTENANCE**

Lawnmowers are sources of greenhouse-gas emissions. Programming of the landscape allows, designing low-mow lawns and meadows reduces the use of lawnmowers. Selecting plants well adapted to local climates and pests can limit the need for chemical fertilizers or pesticides. Consider the use of manual or electric landscape tools instead of gasoline engines.

**THE WET POND**

The wet pond, when properly maintained, has the potential to act as a carbon sink and wildlife asset for the Village. The most important measures are to control erosion to limit sediment deposit and turbidity of the pond and maintain proper dissolved oxygen levels to prevent the emission of methane. Features like cascade and riffles can contribute to aeration of the water while maintaining a natural appearance.

**THE ECOLOGICAL BUFFER**

The proposed ecological buffer will protect both human and non-human residents of the Village from deleterious noise, light and particulate pollution from the adjacent highway 460 as well as function as a wildlife corridor and area where native vegetation should be allowed to grow more thickly. It is recommended to leave dead and decaying wood in the ecological buffer to help restore soil health and build up a robust forest ecosystem that is resilient against invasive species and human disturbance. Early in the ecological buffer’s restoration and reforestation, active control of invasive species will be required.

**WILDLIFE CORRIDORS**

• Education and engagement early on is critical to creating a culture of stewardship. Keeping soils vegetated year-round prevents erosion and nutrient loss. Damaged planting areas should quickly be replaced or protected.

**WILDLIFE CONSERVATION**

The most common wildlife visitors to the Village will most likely be birds. Bird conservation efforts can be improved by adopting bird collision deterrents on glazed surfaces. Use of animal-proof waste bins is critical to avoid accumulation of pest species and prevent native fauna from ingesting waste and pollutants. The use of dark-sky association (IDA) compliant outdoor lighting and sensor activated lighting that is in off or low-light mode when users are not present.
The Student Life Village Plan works with the native topography as much as possible to maintain accessible routes and acceptable road grades with a minimum of cut and fill.

**GRADING STRATEGY**

A preliminary analysis shows that the site will require excavation in phase I in order to construct the Transit Plaza, Phase I Dining and adjacent parking and roads. Additional excavation will be needed for the pathways to climb the edges of the central green at an accessible slope. A large amount of fill will be required to construct the embankment to retain the wet pond to the south. In detail design, the engineering and design team should work to balance cut and fill and optimize for the least possible regrading.

**RECOMMENDATIONS**

### NATURALIZED REGRADING

Where possible, naturalized regrading is the preferred design strategy. Regraded slopes should be gentle and incorporate variations that mimic natural micro-topography.

### SEAT WALLS

If required, retaining walls should be low and subtle stone walls with caps that can double in function as seating. A portion of any seat walls, as with all site amenities, should be made accessible.

### DISPOSAL

In phases where there is more cut than fill and soil disposal is required, limit the distance soil needs to be hauled for disposal by coordinating with other projects. If appropriate within the landscape design, consider the use of extra soils to construct earthen berms at strategic locations.

### TREE PROTECTION

The roots of trees to be conserved should be protected during regrading. Soil around roots should not be excavated nor buried with additional soil. Cut and fill should not encroach on critical root zones whenever possible.

**EXISTING ELEVATION**

**EXISTING SLOPE**

**CUT AND FILL DIAGRAM**

A preliminary analysis shows that the site will require excavation in phase I in order to construct the Transit Plaza, Phase I Dining and adjacent parking and roads. Additional excavation will be needed for the pathways to climb the edges of the central green at an accessible slope. A large amount of fill will be required to construct the embankment to retain the wet pond to the south. In detail design, the engineering and design team should work to balance cut and fill and optimize for the least possible regrading.
Program

The Student Life Village will be more than a place to sleep. It will be a complete community, a home and place to extend the educational and social missions of Virginia Tech into students’ daily life. To create a Village that is both a complete home for its residents and a destination for the rest of the Virginia Tech community, requires a mix of programmed space for connecting, creating, collaborating and caring.

Program Overview

- **RESIDENTIAL**
  - 1,458,394 GSF
  - 5,000 Student Beds
  - 3,312 Residential Units
  - 1,250 Indoor Dining Seats
  - 385 GSF per bed

- **ENRICHMENT**
  - 282,300 GSF

- **DINING**
  - 76,550 GSF

- **WELL-BEING**
  - 81,600 GSF

- **SUPPORT**
  - 21,550 GSF

- **MISC.**
  - 6,950 GSF

Total: 1,927,344 GSF
Residential Program

As a residential district, the residential program is core to the Student Life Village’s goals. With affordability and flexibility as key principles, the program seeks to establish a framework in which many different residential communities can form and change over time. Affordability will mean finding a balance between resident privacy and space efficiency. Benchmark data from recent student housing projects in Virginia and the Carolinas were used to set a target for the residential space efficiency of the Student Life Village.

**BENCHMARKS**

Space efficiency of recent student housing projects in Virginia and the Carolinas

<table>
<thead>
<tr>
<th>University</th>
<th>GSF/Bed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Liberty</td>
<td>500</td>
</tr>
<tr>
<td>Duke</td>
<td>400</td>
</tr>
<tr>
<td>Clemson</td>
<td>300</td>
</tr>
<tr>
<td>NC State</td>
<td>200</td>
</tr>
<tr>
<td>UNC Chapel Hill</td>
<td>100</td>
</tr>
<tr>
<td>U of SC</td>
<td>300</td>
</tr>
<tr>
<td>Converse</td>
<td>400</td>
</tr>
<tr>
<td>UNC Charlotte</td>
<td>500</td>
</tr>
<tr>
<td>Wake Forest</td>
<td>300</td>
</tr>
<tr>
<td>Virginia Commonwealth</td>
<td>600</td>
</tr>
</tbody>
</table>

Mean: 369
Target: 300

**STRATEGY**

provide inclusive and diverse housing options for a student’s full educational career through a balanced and efficient mix of unit types
RESIDENTIAL TARGETS

These demographic targets for the residential community are provided to help guide the design and programming of buildings with the understanding that demographics change and the Village should be flexible enough to adapt to changes in program affiliation and student cohort distributions year to year.

**TOTAL BED TARGET**

The total bed count for the Village was proposed by Virginia Tech as a high target to ensure the University is positioned with options and flexibility to increase and modernize its on-campus housing. This will maximize the flexibility to accommodate current demand for living-learning programs and compensate for future loss of housing inventory on campus as existing stock is renovated.

<table>
<thead>
<tr>
<th>Academic Year</th>
<th>Target</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Year</td>
<td>1950 beds</td>
</tr>
<tr>
<td>Second Year</td>
<td>1450 beds</td>
</tr>
<tr>
<td>Third Year</td>
<td>950 beds</td>
</tr>
<tr>
<td>Fourth Year</td>
<td>400 beds</td>
</tr>
<tr>
<td>GRADS</td>
<td>250 beds</td>
</tr>
<tr>
<td>TOTAL</td>
<td><strong>5000 beds</strong></td>
</tr>
</tbody>
</table>

**TARGETS BY ACADEMIC YEAR**

The targets by academic year are goals that will never be perfectly met year to year. These targets emphasize the strategy of the Village residential program to retain students as they enter upper division years through living-learning programs and age appropriate housing choices.

**TARGETS BY RESIDENTIAL PROGRAM AFFILIATION**

Residential programs are communities of residents engaged in common missions, co-curricular and extracurricular activities and who work together to form a unique identity within the Village. The Student Life Village will take the bold step of having all students affiliated in a residential program of some kind to encourage community formation and long-term retention.

**FRATERNITIES AND SORORITIES**

The existing housing community at Oak Lane is composed mostly of fraternity and sorority residents and these residents need to be rehoused within phase II of the Village project in order to prepare Oak Lane for phase III development. The Student Life Village will provide flexible housing for fraternities and sororities in the same kind of spaces used by Living-Learning Programs (LLPs), such that, as fraternities and sororities ebb and flow, residential units can easily be rededicated to other programs.

**GRAD LIFE**

Graduate students will be the only group with purpose-built housing in the Village geared specifically towards the needs and community structure of older students.
UNIT TYPES

These unit types were developed to cover a diversity of living styles and needs for the Village. Architectural configurations are for demonstration only and variations within these types can be further explored through architectural design.

COMMUNITY DOUBLE
A community double is a double occupancy room without a private bathroom or kitchenette, most appropriate for students new to the Virginia Tech community, whose roommate will be a catalyst in the development of their social network. Bathrooms are located in shared clusters within the resident’s corridor.

COMMUNITY SINGLE
A community single is a single occupancy room without a private bathroom or kitchenette, most appropriate for upper division students and students who have medical needs. Singles will have two different sizes to provide a range of price points for students: standard and pod. Bathrooms are located in shared clusters within the resident’s corridor.

SUITE
A suite is composed of multiple single occupancy rooms connected to a shared corridor and bathroom(s). A suite is most appropriate for groups of friends who want to live together and who value the privacy of a bathroom shared between fewer students.

MICRO
A micro is a single occupancy unit with a space-saver bed, small kitchenette and private bathroom, suitable for graduate students and upper division students transitioning to independent lifestyles.

APARTMENTS (2 AND 3 BEDROOM)
Apartments have multiple large single occupancy rooms connected to a full kitchen and living space and private bathrooms. Apartments are most suitable for graduate students and adult staff. They are not envisioned for use by undergraduates in the Village.
The unit mix strategy provides mostly community style single and double occupancy units in order to maintain affordability and increase the amount that can be invested in attractive amenities and enrichment programs. This mix of units should continue to be refined to represent a balance of the needs of space efficiency and affordability with a desire to provide privacy and age appropriate living situations that will retain upper division students.

UNIT MIX BY PHASE

Phase I and II of work will concentrate on providing undergraduate housing to meet growing demand and free up space for core-campus renovations. Phase III will add graduate housing to the mix.

UNIT MIX AT FULL CONSTRUCTION

5000 beds

**DOUBLES**
- 2504 beds
- 736 beds
- 120 beds
- 192 beds
- 32 beds

**SINGLES**
- 1348 beds
- 488 beds
- 112 beds
- 424 beds

**SUITE**
- 528 beds
- 144 beds
- 56 beds

**POD SINGLES**
- 280 beds

**MICROS**
- 196 beds

**TWO-BEDROOM**
- 72 beds

**THREE-BEDROOM**
- 72 beds
BATHROOM STRATEGY
For unit types that do not have a proprietary bathroom, a “Cluster” bathroom strategy is proposed. Cluster bathrooms will include single-occupancy toilet and shower rooms along common wet-walls. This will save money on plumbing and reduce the total number of fixtures needed by improving the utilization rate of each fixture. These preliminary bed-to-fixture ratios are proposed as a starting point but can vary from building to building and as the Village evolves.

STAFFING STRATEGY
Virginia Tech’s housing staff system is currently undergoing changes to increase flexibility in community structure while advancing well-being goals. There are three kinds of residential staff:

- **STUDENT LEADERS**: Student leaders are enrolled students who receive a stipend and free housing in exchange for supporting the residential community. They live in the community in student housing units.
- **PROFESSIONAL COORDINATORS**: Professional coordinators are full-time adult staff who support student well-being and support daily life. Some professional coordinators need to live in the Village.
- **LLP STAFF**: Living-learning Programs require various staff roles depending on the nature of the program and can include program directors and faculty principals. Faculty principals live in the community.

**PRELIMINARY STAFFING RATIOS (STAFF PER RESIDENT)**
- Managing Directors for Well-being and Inclusion: 1:2000
- Coordinators for Well-being: 1:1200
- Coordinators for case management and administration: 1:2000
- Faculty Principals as needed
- Program Coordinators as needed
- Embedded Counselors: 1:2000
- Program Coordinators for case management and administration: 1:2000
- Experience VT Leader: 1:150
- Well-Being Leader: 1:150
- Diversity and Inclusion Leader: 1:150
- Coordinator for Experience VT: 1:2000
- Coordinators for experience and inclusion: 1:2000

**RESIDENTIAL SPACE NEEDS**
A large portion of residential space needs falls under circulation, utilities and support. This graphic provides a visualization of how the number of units translates to disproportional space needs based on their comparative efficiency.

**COMMUNITY DOUBLES**
- 2504 BEDS IN 1252 UNITS
- 338,040 GSF

**COMMUNITY SINGLES**
- 1628 BEDS IN 1628 UNITS
- 282,472 GSF

**SHARED BATHROOMS FOR COMMUNITY UNITS**
- 167,200 GSF

**SUITES**
- 528 BEDS IN 176 UNITS
- 155,760 GSF

**MICROS**
- 196 BEDS IN 196 UNITS
- 51,352 GSF

**APARTMENTS**
- 144 BEDS IN 60 UNITS
- 67,320 GSF

**CIRCULATION, UTILITIES & SUPPORT**
- 396,250 GSF
- 1,458,394 GSF
Dining Program

Dining at The Student Life Village builds on the successful model of existing “destination concept” dining facilities on the Virginia Tech campus. These facilities mix commercial franchises and unique serving venues to give students a diversity of options within a single marketplace setting.

BENCHMARKS

Space use and transaction efficiency of existing Virginia Tech “Destination Concept” dining facilities

<table>
<thead>
<tr>
<th>Dining Facility</th>
<th>Weekly Transactions per Seat</th>
<th>GSF of Space per Seat, including all back of house, support, kitchen and servery space</th>
</tr>
</thead>
<tbody>
<tr>
<td>WEST END MARKET</td>
<td>86.09</td>
<td>69.62</td>
</tr>
<tr>
<td>TURNER PLACE</td>
<td>64.94</td>
<td>53.61</td>
</tr>
<tr>
<td>OWENS</td>
<td>91.35</td>
<td>81.71</td>
</tr>
<tr>
<td>AVERAGE</td>
<td>80.79</td>
<td>68.31</td>
</tr>
</tbody>
</table>

September 2017 transaction data provided by Virginia Tech dining services.
SEAT NUMBERS AND SPACE NEEDS

Seat and space needs were calculated using Dining Services data from September 2017. This provides a rough, order-of-magnitude understanding of the space needs for dining in the Student Life Village, but additional demand analysis should be performed during architectural design phases.

CALCULATION

**WEEKLY TRANSACTIONS PER STUDENT**

\[
\text{WEEKLY TRANSACTIONS PER STUDENT} = 15.4
\]

**5000 STUDENTS**

\[
\text{5000 STUDENTS} = \text{WEEKLY TRANSACTIONS}
\]

**SEAT NUMBERS AND SPACE NEEDS**

\[
\text{WEEKLY TRANSACTIONS PER SEAT} = 80.79
\]

\[
\text{77,000 WEEKLY TRANSACTIONS} = 953 SEATS
\]

\[
953 \times \text{SPACE PER SEAT} = 65,099 \text{ GSF}
\]

**minimum dining space recommended to support the Student Life Village**

DINING SPACE NEEDS BY PHASE

Phasing dining spaces is difficult because of the large amount of fixed equipment. To accommodate the growth of the Village, while still having sufficient dining space at all phases, the Student Life Village will be equipped with a large dining facility in phase I and a smaller satellite facility in phase II. The surplus of dining room space needs experienced between the completion of phase I and II can become additional enrichment space and/or attract customers from outside the Village.

**PHASE I DINING = 48,450 GSF**

- 600 seats in the marketplace hall +
- 300 seats in the community room*

**PHASE III DINING = 28,100 GSF**

- 350 seats in the marketplace hall

**MARKETPLACE**

- Seating+Serve intermingled
- 24,600 GSF

**BACK OF HOUSE**

- including kitchen
- 13,250 GSF

**SUPPORT**

- 6,100 GSF

**COMMUNITY ROOM**

- 4,500 GSF

**MARKETPLACE**

- Seating+Serve intermingled
- 14,900 GSF

**BACK OF HOUSE**

- including kitchen
- 10,200 GSF

**SUPPORT**

- 3,000 GSF

**TOTAL DINING SPACE**

- 76,550 GSF
Well-Being Program

Well-Being is about more than fitness. A holistic approach to well-being includes emotional, social, physical and mental components. The Student Life Village emphasizes flexibility in its well-being spaces in order to allow residents to practice well-being in the way that makes sense for them. A focus on shared spaces, gatherings and spontaneous interactions also helps foster a sense of community which is critical to all aspects of human well-being.

BENCHMARKS

GSF of indoor recreation space per student at Virginia Tech and peer institutions.

<table>
<thead>
<tr>
<th>Institution</th>
<th>GSF/student</th>
</tr>
</thead>
<tbody>
<tr>
<td>Old Dominion</td>
<td>5.3</td>
</tr>
<tr>
<td>Texas A&amp;M</td>
<td>6.6</td>
</tr>
<tr>
<td>Virginia Tech</td>
<td>7.4</td>
</tr>
<tr>
<td>Clemson</td>
<td>7.7</td>
</tr>
<tr>
<td>George Mason</td>
<td>8.0</td>
</tr>
<tr>
<td>Michigan</td>
<td>9.0</td>
</tr>
<tr>
<td>UT Austin</td>
<td>9.8</td>
</tr>
<tr>
<td>NC State</td>
<td>10.6</td>
</tr>
<tr>
<td>Georgia Tech</td>
<td>12.0</td>
</tr>
</tbody>
</table>

NIRSA recommended 8.96 GSF/student

Existing needs: 1.56 gsf x 30,500 = 47,800 gsf

Village growth: 8.96 gsf x 3,770 = 33,779 gsf

47,800 gsf + 33,779 gsf = 81,579 gsf

Recommendation = 81,579 gsf

Virginia Tech currently provides 7.4 GSF of indoor recreation space for every enrolled student. To meet or exceed the NIRSA recommendation of 8.96 GSF/student while accommodating the increased population represented by the Village (net gain of ~3770 beds) would require building no less than 81,579 GSF of indoor recreation space.
INDOOR WELL-BEING SPACES

While most recreation spaces should be as flexible as possible, some purpose-built spaces were identified during the planning process. Additional space is allocated for support functions like staff and locker rooms.

- **INDOOR MULTI-PURPOSE FIELD**
  - 18,000 GSF

- **GATHERING & SPECTATOR SPACES, CIRCULATION AND RETAIL**
  - 12,300 GSF

- **MULTI-PURPOSE COURTS**
  - 8,500 GSF

- **WEIGHT AND CARDIO ROOM**
  - 7,000 GSF
  - at a NIRSA recommended 14 GSF/student

- **MULTI-PURPOSE ROOMS**
  - 19,500 GSF

- **SUPPORT**
  - 6,000 GSF

- **GAME ROOM**
  - 6,000 GSF

- **E-SPORTS ARENA**
  - 3,050 GSF

- **WELL-BEING OFFICES**
  - 2,000 GSF

**81,600 GSF**

**PHASING STRATEGY**

Well-being spaces will be needed to serve residents in all phases. A small amount is proposed in phase I to correspond with the construction of Phase I Dining, while the remainder will be constructed in phase II as part of the Student Life Commons. This will balance the level of amenity provided with the need to minimize phase I capital outlay. Well-being spaces which do not require access to specialized recreation staff or access to a locker room should be included in Phase I. This would include multi-purpose rooms, game rooms and the e-sports arena.

OUTDOOR WELL-BEING SPACES

The entire Student Village landscape provides a diversity of outdoor spaces for well-being practices, from the meditative, technology-free zone at the interfaith chapel, to active basketball, volleyball and sports fields. Connections between indoor well-being programs and outdoor recreation facilities are important. The volleyball arena is located near Phase I Dining to utilize the outdoor dining terrace as spectator area. Rec fields abut the Student Life Commons so that its indoor training and locker-room spaces can be used in conjunction with sports. See chapter 5 for more on outdoor recreational spaces.
**Enrichment Program**

Enrichment includes any space that integrates the university’s educational, social and developmental missions into residential life and helps accomplish the planning principle of Integration. Enrichment programs are what make the Village a “Living-learning Community.” Enrichment space is divided into two types: 1) Residential enrichment is located within residential buildings themselves and supports student socialization and Living-learning Programs within the residence; and 2) Shared enrichment space is located in amenity buildings and can be used for enrichment activities open to the entire Virginia Tech community as well as the Village’s own living-learning communities and other groups.

**BENCHMARKS**

<table>
<thead>
<tr>
<th>GSF of Enrichment Space per bed in different types of student life projects</th>
</tr>
</thead>
<tbody>
<tr>
<td>Typical upper division housing</td>
</tr>
<tr>
<td>0</td>
</tr>
</tbody>
</table>

**GSF/Bed**

- **MINIMUM = 50 GSF / BED**
- **= 250,000 GSF**

A minimum of 50 GSF/student of enrichment space was identified during the planning process. If the plan goes below this number, it compromises the mission of the Village project.

provide flexible spaces that can be routinely transformed to meet the needs of changing living-learning communities.
PURPOSE-BUILT SPACES

Some living-learning programs and enrichment activities will require purpose-built spaces. Things like maker spaces, workshops, music rooms, performance space, and technology labs require certain fixed infrastructure that is difficult to change throughout the day and needs a dedicated space.

FLEXIBLE LEARNING SPACES

Flexible learning spaces are spaces like classrooms and study lounges that can be adapted to move between formal curricular instruction, co-curricular collaboration, group study and informal gathering based on the time of day.

PURPOSE-BUILT SPACES

Some living-learning programs and enrichment activities will require purpose-built spaces. Things like maker spaces, workshops, music rooms, performance space, and technology labs require certain fixed infrastructure that is difficult to change throughout the day and needs a dedicated space.

AFFINITY SPACES

Affinity spaces are proprietary to the Village’s living-learning programs and would always be located within residential buildings themselves. Affinity spaces should be flexible enough that they can be furnished to meet the needs of a wide range of living-learning programs that change from year to year. These spaces should provide opportunities for individual expression and branding associated with residential programs.

GATHERING SPACES

Building gathering spaces include living-learning porches and multi-purpose rooms located at building entrances. These are not specifically dedicated to a single residential program but available to anyone in the building and their guests.
OTHER SPACE NEEDS

MAIL & RESIDENT SUPPORT = 7,000 GSF
Mail services should be located at dining facilities for both student convenience and proximity to loading docks. Mail is proposed to be included in both Phase I and Phase III Dining facilities so no residence is too far from a mail center. Mail centers may also be used as a support desk for students to address other housing and operational needs. The use of package lockers should be considered to handle large volumes of online shopping deliveries while minimizing labor costs to the university.

OPERATIONS CENTER = 14,550 GSF
Operations spaces support the maintenance of both facilities and grounds at a Village scale and are in addition to custodial space already included in the gross square foot calculations of the other programs. The Operations Center includes garages, repair workshops, warehousing, and offices/touch down space for operations staff.

THE INTERFAITH CHAPEL = 6,950 GSF
The interfaith chapel is a special purpose program to support all student spiritual, meaning-making and meditative practices. It should include general purpose assembly and sanctuary space.
Buildings

This chapter describes the basic building typologies required to create the student Village. It describes characteristics, including: building distribution, entry locations, general massing, and strategies for accommodating a range of student life programs. These typologies and characteristics are critical to the success of the Village, while still allowing for flexibility as the individual phases, projects, and specific programs are refined and scheduled.

GOALS

01 AFFORDABLE
The buildings must be constructed to achieve the highest value for the available resources. Materials and construction technology will be selected to meet this goal. This criterion supports the mandate of providing financially accessible housing for all Village residents.

02 HOKIE SPIRIT
The spirit of Virginia Tech must be manifest in the Village such that the community is an integral part of the larger campus environment. This spirit includes organizational principles, such as human scaled residential quadrangles as well as supporting iconography such as use of Hokie Stone in the landscape, campus standard elements and opportunities for seasonal and celebratory signage.

03 SITE RESPONSIVE
The existing site is a tremendous resource to help define the character of the future Village. The buildings will be arranged to respond to existing topography, heritage trees, views and accessible pathways. This responsiveness will tie the Village to the unique sense of place that is characteristic of the region.

04 HUMAN SCALED
It is important that this community of 5000 students is defined by human scale. All buildings must be responsive to human scale in terms of massing, fenestration and their role in shaping the size and character of open spaces including quadrangles, open spaces, pathways and roads. Residential forms should communicate a sense of home.
BUILDING TYPES

Three basic building types are proposed to support program objectives of the Student Life Village and to physically define the new student life environment.

RESIDENTIAL
The majority of the proposed buildings are student residences. These are distributed across the site and will provide the overall fabric of the Village and shape student communities.

AMENITY
Amenity buildings support non-residential student life programs, including dining and recreation. These buildings are generally larger than the residential building stock, fewer in number, and have a privileged location at mobility nodes. Each phase of development will be anchored by an amenity building so that amenity space grows in tandem with the growth of the Village population.

UTILITY
Utility buildings are positioned to maximize operational efficiency while remaining in the background of open space definition. These buildings will be practical while maintaining appropriately detailed public-facing facades.
RESIDENTIAL BUILDINGS

The following parameters should be met when designing the residential buildings. These are intended as an inclusive set and when addressed together will reflect the desired scale and character of these buildings within the Village.

PARAMETERS

- **SHORT SPANS**
  Reflecting the unit types, creating thin footprints, ample access to daylight, and allowing for a range of construction technologies including stick built.

- **FOUR STORIES**
  Maintains human scale and allows most floors to be easily accessible by stairs.

- **FLOOR-TO-FLOOR**
  Prioritize common areas for high ceiling heights will limiting floor-to-floor dimensions in residential areas for efficiency.

- **ROOF SCAPE**
  Utilize gabled roof profiles to provide a residential character and human scale. Where appropriate with programming goals and budgetary constraints, traditional and shed dormers can add additional interest to the roof-scape and conceal MEP equipment.

**SPACE USE FOR EXAMPLE RESIDENTIAL QUAD**

- **Total**: 151,203 GSF

<table>
<thead>
<tr>
<th>Category</th>
<th>GSF</th>
</tr>
</thead>
<tbody>
<tr>
<td>Residential Units</td>
<td>82,112</td>
</tr>
<tr>
<td>Circulation</td>
<td>18,800</td>
</tr>
<tr>
<td>Enrichment</td>
<td>18,650</td>
</tr>
<tr>
<td>Communal Bathrooms</td>
<td>16,650</td>
</tr>
<tr>
<td>Communal Closets</td>
<td>14,991</td>
</tr>
<tr>
<td>Utility</td>
<td>11,000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>POD SINGLES</strong></th>
<th><strong>SUITE</strong></th>
<th><strong>DULL</strong></th>
<th><strong>SINGLE</strong></th>
<th><strong>MICRO</strong></th>
<th><strong>STAFF APARTMENT</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>28 beds</td>
<td>72 beds</td>
<td>224 beds</td>
<td>116 beds</td>
<td>28 beds</td>
<td>2 beds</td>
</tr>
</tbody>
</table>

*The attics of each building (found within the gable roof) are envisioned as tempered space for horizontal utility runs and concealing mechanical equipment. This space is not reflected in this calculation.*
UNIT TYPES
The residential buildings will include a range of unit types designed in response to the range of communities represented, financial needs, and student development goals. These unit types include:

COMMUNITY DOUBLES, SINGLES AND PODS
These bedrooms, located off a common hallway, share lounge spaces, community bathrooms with privacy gradients, and are most suitable for first- or second-year students. Pods offer an option for students desiring private space on a tight budget.

SUITES
These units include bathrooms dedicated to their specific occupants. These are most suitable for second-and-third-year students, but are also able to accommodate first-year students.

MICROS
A micro is a single occupancy unit with a space-saver bed, small kitchenette and private bathroom, suitable for graduate students and upper division students.

APARTMENTS (2 AND 3 BEDROOM)
Apartments have multiple large single occupancy rooms connected to a full kitchen and living space and private bathrooms. They are envisioned for use by graduate students in the Village.

BLOCK TYPES
Blocks are conceived of as standard modules of four floors. Each floor is identical for maximum framing and plumbing efficiency. Bathroom clusters for community units are shown in light blue.

SHARED BATHROOMS: A, B & B-2
- TYPE A = 68 BEDS
  - 40 beds in 20 doubles
  - 28 beds in 28 standard singles

PRIVATE BATHROOMS: C, D & E
- TYPE C = 56 BEDS
  - 48 beds in 16 suites
  - 8 beds in 4 micros
- TYPE D = 48 BEDS
  - 48 beds in 48 micros
- TYPE E = 68 BEDS
  - 20 beds in 20 micros
  - 24 beds in 12 two-bedroom apartments
  - 24 beds in 8 three-bedroom apartments

MIXED BATHROOMS: F
- TYPE F = 96 BEDS
  - 40 beds in 20 doubles
  - 28 beds in 28 pod singles
  - 24 beds in 8 suites
  - 4 beds in 4 micros

Type F blocks are unique in that they mix units with and without private bathrooms. From a plumbing perspective this introduces inefficiencies, as Type F blocks are deployed sparingly to diversify unit type offerings within quads.
### DISTRIBUTION CONCEPT

Blocks are organized into quads to match the target distribution of unit types for each phase and ensure that no quad or neighborhood is dominated by a single type of unit. The proposed distribution of blocks and units by phase is as follows:

<table>
<thead>
<tr>
<th>Block Type</th>
<th>Block QTY</th>
<th>Singles</th>
<th>Pod Singles</th>
<th>Doubles</th>
<th>Suites</th>
<th>Micros</th>
<th>2 bed</th>
<th>3 bed</th>
<th>PHASE TOTALS</th>
</tr>
</thead>
<tbody>
<tr>
<td>A (68)</td>
<td>4</td>
<td>112</td>
<td>0</td>
<td>160</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>160</td>
</tr>
<tr>
<td>B (104)</td>
<td>7</td>
<td>280</td>
<td>0</td>
<td>448</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>528</td>
</tr>
<tr>
<td>B-2 (128)</td>
<td>2</td>
<td>96</td>
<td>0</td>
<td>160</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>256</td>
</tr>
<tr>
<td>C (68)</td>
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<td>0</td>
<td>0</td>
<td>96</td>
<td>16</td>
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<td>D (68)</td>
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<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
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**PROJECTED NUMBER OF BEDS IN EACH QUAD**

- PHASE I: 1752 beds
- PHASE II: 1384 beds
- PHASE III: 1864 beds

**Total**

- PHASE I: 1752 beds
- PHASE II: 1384 beds
- PHASE III: 1864 beds
MASSING STRATEGY

Building forms should be simple rectangular shapes and respond to the local topography of each specific site, stepping in parallel to the change in the elevation of the ground plane. Overall richness, scale, character and connection to the local environment will be established by this stepped massing. Subtle shifts in placement accommodate site conditions rather than through highly articulated volumes or complex shapes.

Section

This section demonstrates how the use of individual housing blocks joined by flexible “connector” spaces allows built form to navigate changes in grade with a minimum of cut and fill.

RESIDENTIAL ENRICHMENT AND IDENTITY

The identity of the residential communities will be established by their unique position and orientation within the overall Village district as well as in the enrichment spaces where Living-learning Programs (LLPs) will furnish and co-create spaces to suit their missions. The local character of the landscape, building orientation, entry placement and transparency to interior common spaces will be perceived by students walking among the neighborhoods and provide an enriched environment, community identity and individual orientation.

LIVING-LEARNING PORCHES

Enrichment activities center on a main entrance, called the living-learning porch, which contains the building’s primary vertical circulation and creates a space of interaction between the building’s living-learning programs, LLPs and the public. Aptly named a “porch”, these spaces are moments of interface between the indoors and outdoors, between the building and the Village. These spaces will be constantly shaped and reshaped by the LLPs as they exhibit their work and establish identity.

CONNECTORS

To maintain human scaled development, a dynamic rooftopscape and the granular texture of a Village, each residential block should appear as its own building. However, for ease of operations, economy of scale and to limit the number of vertical circulation and utility cores, several blocks will be linked together as a residential quad. Connectors are spaces between the blocks that allow the quad to read as individual units while functioning as a single building. These are also important spaces for carving out proprietary affinity spaces, chapter rooms and lounges specific to the activities of the living-learning programs.
FLOOR PLANS

Block types should be assembled into floor plans forming residential quadrangles or quads. While all four floors of a block should be identical for framing and plumbing efficiency, different blocks can be mixed within each quad to provide a diversity of unit types. Common spaces should be placed at the intersection of the residential block types providing central social spaces and formal opportunities for resolution of differing site-driven geometries. Building entries should be located at these intersections and be closely coordinated with the accessible pathway network. Careful attention should be given to maintaining the proper bed to plumbing fixture ratio across the blocks. These blocks primarily indicate student units and bathrooms; however, they need to be coordinated with the overall building floor plans to ensure proper distribution and inclusion of mechanical support areas.

GROUND FLOOR

The accessible entrance to the building, the Living-Learning Porch, acts as the vertical circulation core connecting the different levels of the quad’s east and west wings.

TYPICAL FLOOR

On a typical floor, connectors allow movement between different blocks and become a place for informal gathering and affinity spaces.
SUSTAINABILITY OPPORTUNITIES

The architectural design process should explore a number of opportunities to meet Virginia Tech’s climate action commitments and sustainability goals. Overall, buildings should be climate responsive, taking advantage of “free” energy available from the sun and wind.

ORIENTATION
To the degree possible with the topographical constraints of the site, residential rooms are oriented with windows facing north or south to optimize solar control.

DAYLIGHTING
Most spaces, especially the connector and enrichment spaces, will have ample daylighting, reducing demand on electric lighting and adding to winter solar gains.

PASSIVE VENTILATION
The public spaces and vertical circulation cores can be passively ventilated via heat stack effects and operable/automated fenestration for cross ventilation.

OUTDOOR THERMAL COMFORT
Quads will be well protected from wind and full of vegetation to keep the air cool. Variations in shady and sunny sides of the quads will allow users to adapt to seasonal change.

STORMWATER MANAGEMENT
Water falling directly on the quad should drain to a yard inlet set back from building surfaces. A “rain garden” can be planted around this inlet to mitigate loads on stormwater infrastructure and maintain cool evapotranspiration.

INDOOR AIR QUALITY
Building design should select for low VOC and allergen-aware materials and achieve high rates of ventilation and filtration, to promote indoor air quality and resident well-being.

EMBODIED CARBON
Embodied carbon is a measure of the amount of greenhouse gas emissions involved in the production, distribution and installation of building materials. High embodied carbon materials like concrete should be kept to a minimum in residential buildings. These buildings are not envisioned to have basements, minimizing the amount of concrete required in foundations. The 4-story design can be built with dimensional lumber framing, with low embodied carbon.

SOLAR PV
Roof-top solar PV panels take advantage of sloped roof structures to generate clean, cost-effective electricity.

SPACING
Buildings should be spaced far enough apart to permit direct winter solar gains and natural daylighting.

ENVELOPE DESIGN
A energy efficient and cost effective envelope will have R values in excess of code minimums and double glazed fenestration. Residential areas should have a window to wall ratio of no greater than 30%.

186 BUILDINGS
THE STUDENT LIFE VILLAGE PLANNING REPORT
AMENITY BUILDINGS

The following parameters should be met when designing the amenity buildings. These are intended as an inclusive set and when addressed together will reflect the desired scale and character of these buildings within the Village.

PARAMETERS

PERMEABLE FACADES
Indoor-Outdoor relationships - To provide connection and encourage engagement with interior programs.

GLAZING AND NATURAL LIGHT
Ample glass facades and clerestories to deliver daylight to the center of deep footprints and enhance general well-being.

SCALE
Utilize strategies to reduce the perceived size of the buildings into smaller components.

ROOF SCAPE
Utilize roof profiles to articulate building zones and provide scale, see above.

STREETSCAPE AND PUBLIC REALM
Design building facades as components of an articulated public realm and associated streetscape including utilizing arcades, porches, and trellises to support outdoor informal and programmed activities.

CLEAR FRONT AND BACK
Service and loading areas should be removed from public facing building frontage, while still providing space for ease of operations.
THE GATEWAY

Together the Phase I Dining, Student Life Commons and Transit Plaza form a gateway to the Village providing a common point of entry and exit for all residents that allows them to conveniently access amenities on their way to and from home and promotes spontaneous encounters between neighbors. The concept for the Gateway negotiates a change in topography from the north to the south of the site. Design of transit, landscape and both buildings should be approached as a comprehensive whole, even if components of the Gateway are constructed in separate phases.

Parking at the Student Life Commons is tiered to negotiate grade changes with a minimum of cut and fill. The Field House is envisioned to meet the campus’s current unmet demand for an all-season sports field. It is sized for indoor soccer but can be used for general athletics and large events. A staple of any fitness center, the Cardio and Weight rooms are envisioned as a central core of the Student Life Commons. The “Living Room” is an informal lounge that could be connected to retail spaces and act as a bridge between the athletics/recreation and enrichment uses of the Student Life Commons.

Multipurpose rooms on both floors can be used for wellbeing classes and enrichment activities. The “living room” is an informal lounge that could be connected to retail spaces and act as a bridge between the athletics/recreation and enrichment uses of the Student Life Commons. The Field House is envisioned to meet the campus’s current unmet demand for an all-season sports field. It is sized for indoor soccer but can be used for general athletics and large events.

Ground floor spaces facing the Transit Plaza would create an “indoor street” of cafes and grab-and-go retail. The main dining room would have multiple serving venues, punctuating a light-filled double-height seating space with mezzanines facing the volleyball arena and dining terrace to the west. The Field House is envisioned to meet the campus’s current unmet demand for an all-season sports field. It is sized for indoor soccer but can be used for general athletics and large events. The “Living Room” is an informal lounge that could be connected to retail spaces and act as a bridge between the athletics/recreation and enrichment uses of the Student Life Commons.

The Gateway is shown in “event mode” with food trucks and seating in the Plaza rather than buses. The Transit Plaza is shown in “event mode” with food trucks and seating in the Plaza rather than buses. The community room should be designed to flexibly transition from general dining use to private events. The Kitchen and other back of house spaces bridge the service entrance and the dining room where food will be served. The E-sports arena is envisioned to fill an existing gap in Virginia Tech’s recreational offerings with a flexible gaming space including room for spectators. The service entrance is tucked into the side of the building with 3-4 bays for food deliveries and waste pick-up.

PHASE I DINING (WELL-BEING AND ENRICHMENT WING)

SERVICE
THE GATEWAY

The Gateway reinforces the experience of a shared journey to and from campus by funneling visitors into a common gathering space. The Gateway has a highly visible façade that forms a streetscape looking toward campus. The design and landscape of this façade should receive special attention.

THE GATEWAY - SPACE USE

The Gateway buildings create a blend of dining, well-being and enrichment spaces that should function together as a whole in which each use provides positive adjacency to the next.

PHASE I DINING = 88,750 GSF

The Phase I Dining building would be used mostly as a dining space but also includes a wing for general-purpose well-being and enrichment spaces that supports phase I until the Student Life Commons is complete in phase II.

PHASE II: STUDENT LIFE COMMONS = 76,550 GSF

The Student Life Commons is dedicated to well-being and enrichment spaces for use by the entire Virginia Tech community. The Commons supplements existing on-campus recreational spaces and provides opportunities for holistic well-being programming with support offices, social spaces, multi-purpose rooms, indoor courts and an indoor field.

*Attic and basement utility spaces are not included in this calculation.
**Phase III Dining**
Phase III Dining will supplement the main, Phase I Dining with a smaller “marketplace” hall concept that offers a food option closer to the residents of phase II and III. It is critical to allowing food service capacity to grow in tandem with the Village’s growth. It will also act as a transit hub and anchor for events in adjacent outdoor spaces.

**Utility Buildings**
The following parameters should be met when designing the utility buildings. These are intended as an inclusive set and when addressed together will reflect the desired scale and character of these buildings within the Village.

**Parameters**

- **Simple Construction**
  Utilize simple, economical construction that easily addresses specific program needs.

- **Flexible Use**
  Able to accommodate changes in program without significant renovations.

- **Contribution to the Public Realm**
  Be discrete and unobtrusive, but still be designed to acknowledge their public presence and contribution to the community.

**The Operations Center**
The Operations Center will be a flexible, warehouse-like space with garage bays for service vehicles/utility carts, repair workshops, carpentry shops, storage and operations staff offices and touch down space. This facility likely will need to adapt to changing needs over time. A public plaza on the operations center’s street facade can be used for pedestrian/bike access and opportunities outdoor seating and amenities for the Village staff.
SUSTAINABILITY OPPORTUNITIES

Amenity buildings will have large spaces with high occupant loads. Tactical investments in sustainable technologies will have high returns for these buildings and they should be considered for certification programs like LEED or WELL.

PASSIVE VENTILATION
Clerestory windows, skylights and large curtain walls can be automated for passive ventilation and night flushing of the double and triple height spaces.

DAYLIGHTING
With deep floor plates proper daylighting of the amenity buildings will require use of large glazed surfaces and skylights and/or clerestories.

HEAT EXCHANGE
Dining spaces have a large number of occupants and appliances producing heat. Thus they are cooling dominated spaces, even in winter. Waste heat from these spaces can be used for heating-dominated residential buildings (see thermal energy).

ALL-ELECTRIC KITCHENS
Culinary grade electric kitchen appliances have advanced to the level where almost all of a dining hall’s menu items can be produced without the use of fossil fuels. Adopting these appliances will reduce the carbon footprint of the university food system.

FOOD WASTE RECOVERY
Food waste should be sent to bio-gas or composting facilities rather than conventional landfill.

INDOOR AIR QUALITY
Proper ventilation of kitchens is extremely important to maintaining indoor air quality. Indoor air quality will also be substantially improved with an all-electric set of kitchen appliances.

OVERHANGS & LOUVERS
Extensive curtain walls like those on the amenity buildings should have south facing overhangs to block the high-altitude mid-summer sun and east and west vertical louvers to control glare at dawn and dusk.

CURTAIN WALL
The large curtain walls needed to light the amenity buildings should have high performance specifications. Consider the use of a double skin, low-e glass and fritting.

REFRIGERATION HEAT RECOVERY
Waste heat from large refrigeration systems can be used to heat water for taps or exchanged via a heat pump loop (see thermal energy).

NOISE POLLUTION
Utility spaces and student spaces should be separated by assemblies with high acoustic ratings. The design should incorporate acoustic paneling, sound clouds and sound absorbing materials to improve acoustic comfort in large public spaces.
In overall texture and massing, the buildings of the Student Life Village should remain simple and contextually appropriate, a frame that accentuates the landscape and draws attention to student life and place-making activities.
OVERVIEW OF THE CAPITAL CONSTRUCTION PROGRAM

BOB BROYDEN
ASSOCIATE VICE PRESIDENT FOR CAMPUS PLANNING AND CAPITAL FINANCING

DWYN TAYLOR
ASSISTANT VICE PRESIDENT FOR CAPITAL CONSTRUCTION

AUGUST 29, 2023
Current portfolio:

- 16 authorized projects -- active and complete (w/in 1-year warranty phase)
- Total value of ~$1.1B
- Adds ~1.3M gross square feet (GSF) of new construction
- Renovates nearly 300K GSF of existing space
OVERALL PROCESS

Pre-Authorization
- 6-Year Capital Plan
- Budget Request
- Project Approval

Post-Authorization
- Schematic Design
- Preliminary Design
- Working Drawings
- Construction

Occupancy
- 1 year Warranty Phase

- Buildings and Grounds review & approval
OUR PROJECT MANAGERS--
THE “HUB”

- A/E Firm
- Builder
- Division of Engineering & Buildings
- Sustainability
- Equity & Accessibility
- Facilities Infrastructure
- Legal Counsel
- Finance
- Procurement
- Health & Safety
- Network Infrastructure
- University Planning
- University Building Official
- Facilities Operations
- Program

Project Manager
ENSURING DESIGN EXCELLENCE

Control Measures at each Phase of Design

Broad Stakeholder Input

Emphasize Partnership

Schematic Design - Preliminary Design - Working Drawings - Market Analysis - Construction Contract Awarded
ENSURING CONSTRUCTION EXCELLENCE

Competitive Sealed Bids “Design-Bid-Build”

Construction Manager at Risk

Design - Build
# (Progressive) Capital Construction Executive Summary

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<td>HITT Hall (Note 2)</td>
<td>$95.0</td>
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<td>Building Envelope Improvements (Note 3)</td>
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<td>Innovation Campus - Academic Building</td>
<td>$302.1</td>
<td>$226.3</td>
<td>299,723</td>
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<td>Undergraduate Science Laboratory Building</td>
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<td>Livestock &amp; Poultry Research Facilities (Ph 1) – Various Locations</td>
<td>$25.3</td>
<td>$18.2</td>
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<td>Life, Health, Safety, Accessibility, &amp; Code Compliance (Note 4)</td>
<td>$10.4</td>
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<tr>
<td>Mitchell Hall (Replace Randolph Hall)</td>
<td>$292.3</td>
<td>$239.3</td>
<td>285,500</td>
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<tr>
<td>New Business Building (Planning – Design Only)</td>
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<td>Football Locker-Room Renovations</td>
<td>$5.9</td>
<td>$4.1</td>
<td>4,200</td>
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<td>Phase I: Student Life Village (Planning – Design Only)</td>
<td>$18.5</td>
<td>TBD</td>
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<td><strong>TOTALS</strong></td>
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<td><strong>266,868</strong></td>
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**Legend:**
- **Design:**
- **Construction:**
- **SD:** Schematic Design
- **PD:** Preliminary Design
- **WD:** Working Drawings

**Notes:**
1. Non-Virginia Tech project
2. Multiple SPMs results in design/construction overlap (fast track)
3. Building Envelope Improvements include four (4) phases: 1) Lane Stadium (Scheduled to complete in spring 2024) followed by (2) Forgerson, (3) Hahn, and (4) Inn at Virginia Tech which are currently unscheduled
4. Life, Health, Safety Asst. & Code Compliance includes three (3) phases: (1) Derring Steps Elevator Towers (Scheduled to complete in December 2024) followed by Green Link Priorities 2 & 3 which are currently unscheduled
5. Estimated construction completion of Mitchell Hall is December 2027
Status

- Construction 60% complete

Next Actions

- Anticipated completion in summer 2024

Project Title | Total Project Budget (SM) | Construction Budget (SM) (Construct contract value) | New Const (GSPF) | Renovation (GSPF) | FY23 | FY24 | FY25 | FY26
---|---|---|---|---|---|---|---|---|---
Innovation Campus - Academic Building (Note 2) | $302.1 | $228.3 | 293,733 | |

Legend: Design | Construction
SD = Schematic Design | PD = Preliminary Design | WD = Working Drawings

Designer: Smith Group

Builder: Whiting-Turner
MITCHELL HALL
(Replace Randolph Hall)

CM at Risk – State Authorized

Status
- Project fully authorized for construction by General Assembly
- Working Drawings underway
- CMaR pre-construction services contract is underway

Next Actions
- Begin development of early enablement package
DISCUSSION
Why Does It Cost So Much?
Understanding the High Cost of Building a Better University

By Donald J. Guckert, P.E., APPA Fellow, and Jeri Ripley King, APPA Fellow
Planning, design, and construction organizations in higher education perform our services on the forward edge of an ever-changing world. We provide increasingly complex facilities under shortening timelines and proliferating code and regulatory requirements, while we address emerging technologies, expanding concerns about indoor air quality, and growing demands for the use of sustainable design and construction practices. Underpinning our efforts to meet these challenges, we continue to hear the same question echoed by our governing boards, administration, and customers: “Why does it cost so much?”

The answer is found in the myriad of details and choices that flow from the institution’s vision, values, strategic plan, stewardship responsibilities, total-cost-of-ownership analysis, risk tolerance, and the health and safety of the community.

A SENSE OF PLACE

Building designs are viewed as a way to enhance and preserve our institutional heritage, while providing an attractive environment in which to learn, discover, and live. We do not just build or renovate structures; we create a “sense of place.” The sense of place is what connects us emotionally to our institutions.

Our universities use the appearance of the campus and the experiential opportunities that the facilities offer as a competitive edge to attract the diminishing pool of incoming students, as well as faculty and staff. The appearance of the buildings and grounds influences prospective students and other visitors to campus and is used in online and other marketing efforts. Research from Washington State University and APPA’s own study, The Impact of Facilities on the Recruitment and Retention of Students, discovered that prospective students reach their decisions within the first ten minutes of walking on campus.

The appearance of our campus comes at a cost. In constructing a new building for the campus environment, we seek architectural designs that convey emotions and create reactions that may range from stimulating debates over the architecture to conveying notions of continuity and timelessness. Often the designs include prominent building entrances; buried utilities in tunnels and chases; hidden downspouts in interior walls; screened waste receptacles; discrete access for service vehicles; and extensive landscaping, courtyards, and wayfinding. These little extras add a lot to the quality of the built campus environment.

Land must be used carefully, balancing the need for buildings with gathering places, green spaces, and circulation. This drives us to optimize building footprints by building upward to conserve precious campus real estate. The resulting multiple stories require more costly foundations and structures designed to meet seismic and wind-loading standards. Stair towers and elevators consume project resources and decrease the percentage of assignable space. All these factors lead to a higher cost per square foot.

CODES, REGULATIONS, AND STANDARDS

Code requirements have a tremendous impact on cost. The type of occupancy determines the applicable code requirements. The large assemblies found in most university facilities dictate the highest level of life safety design, including stair towers, fire-rated corridors, fireproofing on structural members, fire alarm systems, sprinklers, and smoke evacuation systems. Even the grade of carpeting in a campus facility is selected to minimize concerns about flame spread.

In addition to codes, building design and construction must meet numerous legislative mandates, standards, and regulations. The list reads like alphabet soup: ADA, EPA, OSHA, ASHRAE, and the list continues. These requirements govern building designs, accessibility, removal of hazardous waste, asbestos, lead paint, stormwater runoff, construction dust control, noise control, and more. Then there are the building and occupancy permits, construction contracts, consulting agreements, testing and commissioning services, and requirements by donors and funding agencies that must be met and managed.

The type of facility and its occupancy also drives ventilation requirements. Labs require more ventilation than classrooms; classrooms require more ventilation than offices. Increased ventilation leads to upsizing HVAC systems, because outside air must be heated or cooled prior to being delivered to the finished space. Indoor air quality concerns and awareness, which were heightened during the pandemic, are driving investments in better air filtration systems and increased ventilation rates. The cost of these improvements has been profoundly felt on renovation project budgets, where much of the budget is consumed by HVAC costs.

INSTITUTIONAL AND STATUTORY REQUIREMENTS

Institutional and statutory requirements can drive up costs, too. Contractors are generally required to provide the highest industry coverage for insurance and bonding, and construct in accordance with industry standards. Architects are required to furnish professional liability insurance. Public owners must follow state procurement statutes, which generally increase design and bidding costs and often constrain the use of more cost-effective delivery approaches. Many institutions require contractors to pay prevailing wages, equating to union-scale.

An often-overlooked impact on cost is the institutional expectation that construction activities will be conducted with minimal disruption to campus life. The campus is a protected
environment that accommodates learning, social interaction, discovery, living, dining, recreation, and public service. As invited guests into this haven, contractors are required to conduct their activities in a manner that minimizes the impact on the institution’s primary missions.

Functioning campuses are not ideal construction sites. Project costs go up dramatically when universities restrict access to building sites, limit space for staging, require off-campus parking, enforce jobsite cleanliness, add fencing and protection, restrict construction vehicle movement, limit noise and hours of operation, and impose complex phasing schemes to accommodate academic calendars.

**TIME IS MONEY**

Demanding schedules are an inherent part of educational design and construction efforts. Often, we aggressively work toward the inflexible dates of academic calendars, residence hall occupancies, and athletic event schedules. In research environments, the need to be up-and-running is paramount, and faculty recruitment start-up agreements too often overpromise on the timing of lab and office renovations. When the education environment demands design and construction projects to be delivered on increasingly shorter timelines, this drives up the cost of construction and renovation projects.

In general, shortening the allotted time for construction will drive up costs. A five-month renovation will be unaffordable if it must be completed during the summer break. When bidding an aggressive schedule, contractors will increase their bids to reflect overtime payments to workers, incentive payments to vendors, reduced worker productivities, and contingencies to cover the risks of completing a project late.

Conversely, easing the five-month schedule to six months will yield savings. When there is extra time in the schedule, the contractor’s risk is reduced because it facilitates effective coordination among subcontractors, provides sufficient time for fabrication and delivery of materials and equipment, and offers other accommodations that result in a more cost-effective project delivery. This is especially true when market conditions are experiencing disruptive supply-chain conditions and shortages of available contractors and skilled trades workers.

**COMPLEXITY**

We build state-of-the-art research facilities, high-occupancy performance and athletic venues, heavily trafficked and technological learning environments, and living and social environments that must facilitate and heighten the user experience. The facilities we build are among the most challenging in the building construction industry.

Program activities dictate the need for classrooms, laboratories, meeting rooms, and offices. While grouping one type of activity per facility would reduce costs, our buildings rarely house only one type of activity. In addition, program activities must meet the functional requirements of the campus environment. For example, our classrooms and auditoriums, which demand larger column-free spans, are usually on the lower levels of a building.

The lower levels may then have to support upper floors that are designed to accommodate heavy floor loadings for books, furnishings, and lab equipment. Inverting these spaces, by placing the column-free classrooms on the upper floors and the heavy load-bearing spaces on the lower floors, would be more cost effective, but less functional in a campus setting.

Our facilities must provide healthy environments with adequate ventilation and filtration systems while accommodating a mix of functions and heavy traffic. To manage this, we install technically controlled complex building systems. These systems are designed for extreme conditions: the hottest and coldest temperatures, the highest and lowest humidity, and the strictest climate control for the highest occupancy.

In addition, we recognize that the design of a mechanical system represents the greatest opportunity for energy conservation and carbon reduction. Incremental investments in energy-efficient mechanical systems will yield a lower stream of future utility costs, so we pay a little more now to save a lot later.

**MAINTAINABILITY, SUSTAINABILITY, RELIABILITY, AND LONGEVITY**

Higher education, more than any other built community and commercial environment, constructs buildings to last beyond our lifetimes. Every institution envisions itself in existence into perpetuity. Making long-term investment choices separates higher education from the vast array of other building environments.

With many people using university facilities in frequent cycles throughout the course of extended daily operating hours, the components of our facilities must be of a quality to withstand heavy use and abuse. Our requirement for durability raises the price of doors, door hardware, carpeting, entranceways, floor tile, and restroom fixtures, but it lowers the future cyclical costs of maintaining and replacing lower-quality, less durable products.

The way we use our facilities demands that we construct utility
systems to high reliability standards. This often results in paying for system redundancies, backup generators, uninterruptible power supply (UPS) systems, and connecting to central utility systems.

Sustainability is another factor impacting construction costs within higher education. Facilities are being designed and constructed under governing sustainable design principles using materials certified as manufactured from renewable sources and building and system designs that utilize progressive methods and technologies to conserve energy and reduce waste streams. Pursuing Leadership in Energy and Environmental Design (LEED) certification brings positive recognition and validation sought by many institutions seeking to demonstrate their commitment to sustainability. However, this comes at a higher incremental cost.

In large part, our universities choose to make these initial investments because of the benefits they will provide in driving down the institution’s total cost of ownership over the life of the building.

TECHNOLOGY, SECURITY, AND INCLUSION

Advances in technology, increasing concerns about security, and efforts to provide more inclusive environments have emerged in recent years as contributors to the high cost of campus construction.

Institutions have moved from simply complying with the requirements of the Americans with Disabilities Act (ADA) to embracing universal design and inclusivity. Examples of going beyond legal and code requirements include adding hearing loops in public assembly spaces and providing gender-neutral restrooms and prayer rooms.

Issues with campus safety and security have risen over time to rank at or near the top of the list of concerns that parents have. In addition, research labs are requiring tighter security from a variety of threats. To help manage the safety and security of campus facilities, common campus security systems include card and biometric access, programmable locking systems, security cameras, motion sensors, and other technologies.

Technological investments in our built environments are bringing artificial intelligence, machine learning, and data analytics benefits to the operation of our facilities. Emerging and matured smart building systems are mitigating operational risks, enabling predictive maintenance practices, lowering energy consumption, and providing improved user experiences. Although the first costs are higher, the benefits from these technologies are providing a very attractive return on investment.

WHY DOES IT COST SO MUCH?

Construction costs mirror the values and aspirations of the institution. The initial cost of construction or renovation is but a small fraction of the total investment our institutions will make in staffing, operating, and conducting our mission within these facilities. The resulting high cost of construction is caused by the accumulation of investments in all the hundreds of incremental decisions that go into building a durable, productive, and stimulating environment that creates safe, healthy, enriching, and inspiring experiences for our faculty, staff, and generations of students.

YOUR HOUSE ON CAMPUS

Donald J. Guckert and Jeri Ripley King

“Y ou’ve got to be kidding! I could build a nice house for that amount!!”

How many times have we heard that the cost of a “simple” renovation would buy a high-end home in a nice neighborhood? Customers typically react with sticker shock over the cost of a campus renovation when they receive the initial project estimate. This is the point at which worlds collide, where the institutional construction world of the project manager meets the customer’s residential construction frame-of-reference.

Trying to justify the costs of institutional construction within a residential frame of reference is not easy. These two types of construction are a world apart. However, just for the fun of it, we wondered what would it take to renovate your house into a campus facility? Let’s suppose this facility is located on campus and you request that we renovate the living room into a classroom, the kitchen into a lab, and the bedroom into an office. Let’s take a walk through your house to see what we will need to do.

To begin with, we’ll need to make the facility safe
and accessible. We’ll add an elevator to the second floor, and an exit stair tower connecting all floors to the outside. To make this building look like it belongs on our campus, we’ll arrange for matching towers and give the building an identifiable look. Unfortunately, this will add considerable cost and space to the building, while not adding any space for program needs. After we widen the interior hallways and stairways for increased traffic and install a utility chase from the basement to the attic, we will actually reduce the amount of assignable space.

As a university facility, the house will fall under a different classification as far as building codes are concerned. This means we’ll need to replace the $20 battery-operated smoke detectors with a $20,000 fire protection system. This system, which includes a fire alarm panel, wired sensors, and sprinkler system, meets all the requirements of the local fire marshal. To inhibit the spread of flames and smoke from one room to another, we have to reconstruct the walls that separate the rooms from the hallway and make them fire-rated walls. This is not cheap! Neither are the solid doors mounted to the metal doorframes that we’ll use to replace the house’s hollow doors and wooden frames. For durability we’ll need to upgrade all the door hardware. Installing a new card access system will bring us into compliance with institutional policies pertaining to safety and security.

We know the budget for this renovation is limited. Before the money runs out, we need to look at the mechanical systems. By code, our lab, classroom, of-
Office, and restroom spaces require controlled outside ventilation that your house doesn’t have. The small air conditioning unit and gas furnace will have to go. With the big increase in filtered airflow, it wouldn’t keep up after the first five minutes. Our house will need dependable and code-compliant mechanical systems. For redundancy and efficiency, we’ll connect to chilled water and steam from our central utilities plant.

Finally, we move to the kitchen. To convert it to a lab, we’ll take out the $800 kitchen stove and hood, and replace it with a $35,000 variable-flow fume hood. Fortunately, we won’t need a strobic air fan for that hood; you don’t even want to think about that cost. Those kitchen cabinets will come out to allow for the built-in lab casework. The refrigerator will have to go, too. In its place will be a $15,000 environmental chamber.

We’ll open up the walls when we install the lab gases, electrical conduits, and corrosion-resistant plumbing. While we are inside the walls, let’s replace the wooden studs with more durable metal studs that resist fire and termite damage. To complete this “kitchen remodeling,” we’ll replace the vinyl flooring with a $10,000 epoxy floor, and the Formica counters with epoxy resin.

We’re going to need to remove the ceilings in order to increase the number of floor joists necessary to handle the increased weight of office, lab, and classroom furnishings and equipment. While the ceiling is open, we’ll install the circulating hot water system designed to serve the lab and restroom, and we’ll upsize the mechanical ductwork to meet the new airflow requirements. Speaking of airflow, that “whooshing” sound will be distracting in the classroom so we will need to put in sound-attenuation devices.

To meet institutional standards, the wooden windows will need to be replaced with metal, commercial-grade windows that have energy-efficient glazing. Similarly, the roof shingles will need to be replaced with slate, due to concerns about lifecycle maintenance and architectural consistency. While we’re on the roof, let’s screen the unsightly mechanical systems. Oh yeah, we can’t forget to do something about the pigeons.

Let’s look at the outside again, just for a minute. Only the front façade was bricked when your house was originally constructed, so we’ll need to install bricks on the other three sides. After all, your house is now on campus and our university is trying to project a certain sense of place.

At this point, we have more scope than budget. Money is running out, and there are more things we need to do to bring your house into compliance with our institutional standards.

What happened here? In trying to comply with the more stringent codes, reduce future operating costs, address aesthetic requirements, and meet programmatic needs, we exceeded the funds available for this renovation. For the money this renovation will cost, you really could build a nice house. But, not on our campus!

Don Guckert is vice president of APPA Advisors, a member service providing customized assessments of educational facilities organizations. He previously served as the associate vice president for facilities management for the University of Iowa and as director of planning, design & construction for the University of Missouri. Don is an APPA Fellow, professional engineer, a Past APPA President, and current dean and faculty member for APPA’s Institute for Facilities Management. He can be reached at dguckert@appa.org.

Jeri King is a retired assistant director of facilities management for the University of Iowa. She is an APPA Fellow, former APPA Vice President for Information and Research, recipient of APPA’s Meritorious Service Award, editor of Effective and Innovative Practices for the Strategic Facilities Manager, and coauthor of two award-winning Facilities Manager articles. She can be reached at jeriking@aol.com.
Background:

The university prepares an updated Six-Year Capital Outlay Plan (Plan) every two years as part of its normal financial planning processes. The Plan is a critical component of positioning the university for state support of Educational and General capital projects and for advancing high priority projects that may be funded entirely with nongeneral fund resources.

The state requires each institution’s Board of Visitors to approve the Plan prior to submitting requests through the state capital budget process. Virginia Tech’s delegated authority as a Tier III institution under the Higher Education Restructuring Act further requires the university, with Board of Visitor approval, to develop and maintain a capital plan that defines its capital needs.

The university sets a six-year planning period, identifying two lists of projects: i) a list of General Fund projects for submission in the state budget process and ii) a list of projects the university anticipates funding entirely through nongeneral funds.

The Plan is updated biennially to coincide with the state’s capital budget process. Typically, the state releases instructions for capital budget submissions in the summer of odd-numbered years. Based on that timetable, the university should be prepared to submit a plan to the state in June of 2023. At this time, the state has not yet provided instructions or specific guidance for the development of those requests.

The prioritized rankings of General Fund projects for both the University Division and the Cooperative Extension/Agricultural Experiment Station (CE/AES) are shown in Attachment A. The list of projects that call for entirely nongeneral fund support are listed in Attachment B. A brief description of each project is shown in Attachment C.

Approval of the Plan by the Board of Visitors does not approve funding or action for any of the projects listed in the Plan. The Board of Visitors must approve separately requests to initiate design and construction for a project listed on the Plan. To the extent the university determines that issuing debt is necessary to support the cash flow requirements of a capital project, the Board of Visitors must also approve the debt issuance.

Process to Identify and Select Projects for the Plan:

In preparation for the 2024-2030 Plan update, the university engaged with its deans and vice presidents to identify a comprehensive list of space and facility needs for the planning period and to select the highest priority items for funding.
The process identified 127 needs, which included nine duplicate requests, and are shown in Appendix 1 by senior management area with their priority ranking. The 118 unique needs were then filtered and grouped into the five subsets listed below. A description of the filtering process for the subsets is shown in Appendix 2.

Subsets:
1. Projects that do not meet the capital project threshold (i.e., expenditures of at least $3 million and/or at least 5,000 square feet) that may be addressed as operating projects (24 items);
2. Projects logistically beyond the six-year planning period that will be held until their precursors are underway (15 items);
3. Projects that must be referred for further planning to better define the program and/or funding plan (46 items);
4. Agency 208 projects that are “actionable,” meaning they can be executed in the six-year time horizon and have funding plans sufficient to meet the anticipated needs of the project, (28 items); and
5. Agency 229 projects that are actionable (5 items).

The lists of 33 actionable projects for Agency 208 and Agency 229 are then grouped by those that meet state qualifications for General Fund support and those that must be funded entirely with nongeneral funds or for which the university has developed an entirely nongeneral fund plan.

**Strategic Priorities for the Planning Period:**

The university established four strategic priorities to guide the needs identification for the planning period. The priorities include:
- Top 100 Global University,
- Facility Asset Management and Renewal,
- Student Experience and Success, and
- Alignment with state capital funding priorities.

**Planning Constraints:**

Estimated financial resources for any planning period are finite and constrain the size of a plan and the likely pace of progress to implement projects on the plan. The five key financial constraints for the planning period are described below:

1. General Fund for Agency 208:

   The level of the state capital funding program ebbs and flows over time, with large bond programs over the past five years that advanced multiple projects at Virginia Tech. The availability of state funding depends on the priorities of the Governor and General Assembly, the Commonwealth’s financial position, and the backlog of capital projects
previously funded. Based on internal analyses of the state's historical investments in capital outlay, Virginia Tech could expect to position for approximately $350 million of capital appropriations during the six-year planning period.

2. General Fund for Agency 229:

The state funding program for agency 229 is expected to generally follow the same pattern as agency 208 but at a smaller scale with an optimistic positioning for approximately $75 million during the planning period.

3. Nongeneral Fund Cash for Projects:

Educational and General operating dollars, including General Fund appropriations and tuition, are not used to support capital outlays.

Nongeneral fund revenues for capital outlays include auxiliary enterprise rates for residential and dining, auxiliary enterprise sales and services, comprehensive fees, overhead generated from indirect cost recoveries from grants and contracts, and private gifts.

In general, the scale of these revenue sources is efficient relative to the costs they are designated to support; thus, the university does not generally accumulate large cash reserves that may be used to support capital projects.

The cash that does accumulate is normally the result of cash flows that are positioned to service debt. To the extent these stores are available, the university uses them as a source in a capital project budget to reduce the amount of debt that would otherwise be required.

The exception is private gifts designated for capital outlays. The university strives for private gift payments to be structured over a five-year payment schedule which is a very close alignment to the cash outflows of a capital project; thus, any amount of debt required to carry pledge payments should be minimal.

4. Nongeneral Fund Revenues for Debt Service:

The nongeneral fund sources described in item 3 above may also be used to support debt service.

The use of the university’s debt capacity for a project is first determined by the strength of revenues to support debt service obligations. The university’s budget and planning processes include extensive due diligence and business planning work to ensure a high level of confidence that future revenues with be available and sufficient to service and retire any planned debt issuances, including long term leases.

Conversely, without the assurance that a revenue source will be available and sufficient for the entire repayment term of an issuance, debt is not allocated to a project.
5. Debt Capacity:

The net available debt capacity to allocate to projects for the planning period is approximately $770 million. Factoring in anticipated issuances for capital projects already approved by the Board of Visitors, the capacity for new debt-funded capital projects is $724 million. The university traditionally reserves approximately $100 million of capacity during any planning period for unexpected, unforeseen opportunities; thus, the adjusted net amount for the period is $624 million.

The projects with funding plans that call for debt financing and for which revenues are available and sufficient are included in the Plan. As shown on Attachment A and Attachment B, the total debt consumption for the planning period would be $586 million if all are executed in this time frame. The unallocated debt capacity would be approximately $138 million, or $38 million above and beyond the $100 million strategic placeholder.

**General Fund Project List, Attachment A:**

The highest priority projects requesting General Fund resources are listed under each division of Virginia Tech in their priority order, which reflects the strategic priorities of the university and state priorities as understood at this time. Notably, four of the seven projects under the university division are facilities that support programs in science, technology, engineering and biomedical sciences with the remaining projects targeted to ensuring appropriate facility renewal. The total dollar value of the list exceeds projected resources likely to be allocated to Virginia Tech during the planning period. By including a variety of high priority needs in the listing, the university ensures it has the flexibility to adapt to various state capital funding programs that may emerge over the upcoming 12 months.

The state requires that an institution’s Board of Visitors review and approve projects prior to submission in the state budget process. Because the submission date to the state may occur before the June 2023 Board of Visitors meeting, the university is seeking the review and approval of the Plan at the March 2023 meeting of the Board of Visitors.

When guidance and instructions are received from the state, the university will prepare and submit its capital budget items based upon the projects included in Attachment A. If future instructions and/or guidance from the state necessitate a change in the rankings or arrangement of projects in the General Fund listing, a final list with adjustments as submitted to the state will be brought to the Board of Visitors for review and ratification at a subsequent meeting.

**Nongeneral Fund Project List, Attachment B:**

Attachment B lists the highest priority projects that call for entirely nongeneral fund resources in their budget and that are reasonably expected to be implemented by 2030. This section covers the auxiliary enterprise system projects and other projects requesting some combination of private support, returned overhead dollars, external construction grants, and/or nongeneral fund debt to fund the total costs, including long-term leases.
Under the university’s Management Agreement with the state for Capital Projects, the Board of Visitors has the authority to approve and implement projects supported 100 percent by nongeneral funds. Each project follows a three-step budgetary approval process by the Board of Visitors and those that require external debt require a fourth approval step. The steps include 1) inclusion in the approved Six-Year Capital Outlay Plan, 2) authorization for planning to produce design documents to validate the project’s feasibility, 3) authorization for construction when funding is available and sufficient, and 4) approval of external debt required for any capital project prior to issuance.

Auxiliary enterprise projects with a financing plan that calls for an increase of student fees depend on Board of Visitors approval of the rates as part of the annual tuition and fee actions. Projects with a financing plan that calls for private gifts depend on the successful completion of donation commitments and cash receipts.

**Project Costs:**

The university uses two parametric-based cost estimating methods for each project which are then compared and reconciled to inform the cost amounts used in the Plan.

The first method is the Commonwealth’s July 2022 Department of General Services (DGS) Construction Cost Database plus a 1.3 regional market premium factor with a 1.23 escalation rate to reach a July 2026 midpoint of construction. [Note: escalation rates for this planning period are higher than historical norms of 1.12 to 1.14.]

The second method is based on historical data reflecting actual project costs for similar projects escalated to a date that matches the “as of date” of the DGS cost database and then escalated to the same July 2026 midpoint of construction.

These cost estimates provide a reasonable order of magnitude for planning purposes. Actual project budgets and costs may stray from the amounts used in the plan when escalation runs at a pace significantly different from the rates used in these estimates and/or the approved project scope is modified when design is authorized to proceed.

**Debt Financing:**

Projects with nongeneral fund support, including portions of some gift campaigns, may use external debt to finance a portion of the project. Each potential debt financing undergoes an internal financial feasibility assessment to ensure future revenue sources will be sufficient and available to cover the entire debt service term without unnecessary financial risk.

The amount and positioning of debt are further analyzed to ensure the university does not exceed the parameters of the university debt policy or debt management practices, which sets a maximum limit of a six percent ratio of total annual debt service to total operating expenses. This evaluation is projected six years out and includes anticipated issuances for projects in the Plan.
A projection of the timing and amount of expected debt issuances is shown in a table in Attachment D. A graph of the estimated impact on the debt ratio is shown in Attachment E, and a graph of the estimated impact on debt capacity is shown in Attachment F. The attachments show the planned debt issuances would remain within the six percent debt ratio guideline established by the Board of Visitors and would provide an approximately $138 million of unallocated capacity for unforeseen and/or unexpected opportunities that may arise during the planning period. Beyond the planning period, debt capacity returns with an estimated $635 million of unallocated capacity by FY34.

The Board of Visitors reviews and approves an annual report of debt capacity and debt ratio and authorizes individual debt packages prior to an issuance. These practices provide an important set of controls to ensure the institution’s debt obligations do not become a point of inflexibility in reaching the operational goals of the institution, to ensure the university is holding sufficient debt capacity for its highest priorities, and to ensure compliance with restructuring requirements for credit ratings and debt ratios.

**Summary:**

The university’s updated Plan for the 2024-2030 period, as shown in Attachment A and Attachment B, provides a compliment of projects to advance the goals of i) becoming a Top 100 Global University, ii) addressing facility asset management and renewal to ensure the continuity of ongoing programs and services, iii) strengthening the student experience and success, and iv) alignment with state capital funding priorities.

The Plan also positions the university to compete for future state capital funding programs and is based on sound financial planning to provide confidence on the acquisition and delivery of nongeneral fund projects.

Because the university maintains an active capital program with a portfolio that is continually loading new projects and discharging completed projects, the university updates its Six-Year Capital Plan every two years.

**RECOMMENDATION:**

That the Capital Outlay Plan for 2024-2030 as shown in Attachments A and B, be approved and for the university to submit the items in Attachment A in the state’s capital budget process in accordance with future instructions and guidance from the state.

March 20, 2023
### General Fund Six-Year Capital Outlay Plan for 2024-2030

as of February 27, 2023

<table>
<thead>
<tr>
<th>University Division</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Virginia Tech-Carilion School of Medicine and Fralin Biomedical Research Institute Expansion</td>
<td>$135,000</td>
<td>$ -</td>
<td>$25,000</td>
<td>$160,000</td>
</tr>
<tr>
<td>2 Hahn Hall South Renovation and Expansion</td>
<td>91,800</td>
<td>-</td>
<td>36,200</td>
<td>128,000</td>
</tr>
<tr>
<td>3 Derring Hall Renovation</td>
<td>117,500</td>
<td>9,500</td>
<td>-</td>
<td>127,000</td>
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<tr>
<td>4 Newman Library Renovation</td>
<td>92,000</td>
<td>-</td>
<td>-</td>
<td>92,000</td>
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<tr>
<td>5 Robeson Hall Renovation</td>
<td>46,800</td>
<td>9,200</td>
<td>-</td>
<td>56,000</td>
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<tr>
<td>6 Classroom Renovations</td>
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<td>7 Life, Health, Safety, Code Compliance Package</td>
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<table>
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<tr>
<th>Cooperative Extension / Agriculture Experiment Station Division (CE/AES)</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
</tr>
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<tbody>
<tr>
<td>1 Center Woods Complex Improvements</td>
<td>$17,000</td>
<td>$ -</td>
<td>-</td>
<td>$17,000</td>
</tr>
<tr>
<td>2 System-wide Agricultural Research and Extension Centers Improvements, Phase I</td>
<td>30,000</td>
<td>-</td>
<td>-</td>
<td>30,000</td>
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<tr>
<td>3 Relocate Animal-Based Facilities from Glade Road</td>
<td>41,000</td>
<td>-</td>
<td>-</td>
<td>41,000</td>
</tr>
<tr>
<td>4 Plant and Environmental Sciences Research Facility (HABB-II)</td>
<td>91,000</td>
<td>-</td>
<td>-</td>
<td>91,000</td>
</tr>
<tr>
<td>5 Renew Animal and Livestock Facilities</td>
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<td>-</td>
<td>-</td>
<td>34,000</td>
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<tr>
<td><strong>Total CE/AES Division Projects</strong></td>
<td><strong>$213,000</strong></td>
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**Total General Fund Capital Plan for 2024-2030**

<table>
<thead>
<tr>
<th>General Fund</th>
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<tr>
<td><strong>$729,100</strong></td>
<td><strong>$18,700</strong></td>
<td><strong>$61,200</strong></td>
<td><strong>$809,000</strong></td>
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(23% Escalation Over July 2022)
## ATTACHMENT B

### Nongeneral Fund Six-Year Capital Outlay Plan for 2024-2030

**as of February 27, 2023**

<table>
<thead>
<tr>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Blacksburg &amp; Roanoke Academic</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Architecture, Arts, &amp; Design Renovations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Renovate Architecture Annex</td>
<td>$ -</td>
<td>$ 5,200</td>
<td>$ -</td>
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<tr>
<td>Renovate Media Building</td>
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<td>$ 4,400</td>
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<tr>
<td>Renovate Squires Performance Spaces</td>
<td>-</td>
<td>$ 3,800</td>
<td>-</td>
</tr>
<tr>
<td>Expand Vivarium Spaces</td>
<td>-</td>
<td>-</td>
<td>$ 54,000</td>
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<tr>
<td>FBRI Cancer Research Facility</td>
<td>-</td>
<td>$ 112,000</td>
<td>-</td>
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<tr>
<td>Pamplin College of Business</td>
<td>-</td>
<td>$ 28,100</td>
<td>$ 52,700</td>
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<td>Renovate G. Burke Johnston Student Center</td>
<td>-</td>
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<td>$ 5,000</td>
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<tr>
<td>Veterinary Teaching Hospital Expansion</td>
<td>-</td>
<td>$ 29,000</td>
<td>$ 20,000</td>
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<tr>
<td></td>
<td>-</td>
<td>$ 187,500</td>
<td>$ 131,700</td>
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<td><strong>Blacksburg Auxiliaries &amp; Campus Services</strong></td>
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<td></td>
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<tr>
<td>Food Processing Center and Warehouse</td>
<td>$ -</td>
<td>$ -</td>
<td>$ 15,000</td>
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<tr>
<td>Football Locker Room Renovation</td>
<td>-</td>
<td>$ 5,000</td>
<td>-</td>
</tr>
<tr>
<td>Mail Services Facility</td>
<td>-</td>
<td>$ 3,000</td>
<td>-</td>
</tr>
<tr>
<td>Parking Garage</td>
<td>-</td>
<td>$ 9,700</td>
<td>$ 26,300</td>
</tr>
<tr>
<td>Replace Kmart Lease</td>
<td>-</td>
<td>-</td>
<td>$ 11,000</td>
</tr>
<tr>
<td>Rescue Squad Facility</td>
<td>-</td>
<td>$ 6,000</td>
<td>-</td>
</tr>
<tr>
<td>Student Life Village Phase I:</td>
<td></td>
<td></td>
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<tr>
<td>Dining Component</td>
<td>-</td>
<td>-</td>
<td>$ 40,000</td>
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<tr>
<td>Recreation Component</td>
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<td>Residential Component</td>
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<td>Utilities and Infrastructure</td>
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<tr>
<td></td>
<td>-</td>
<td>$ 43,700</td>
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<tr>
<td><strong>Greater Washington D.C., Metro Area</strong></td>
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<tr>
<td>Children's National Lease Expansion II</td>
<td>$ -</td>
<td>$ -</td>
<td>$ 6,000</td>
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<tr>
<td>Research Space Reconfiguration at VTRC-A</td>
<td>-</td>
<td>-</td>
<td>$ 5,000</td>
</tr>
<tr>
<td>Uptfit Floor 6 of Innovation Campus Academic Building I</td>
<td>-</td>
<td>$ 9,000</td>
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<tr>
<td></td>
<td>-</td>
<td>$ 9,000</td>
<td>$ 11,000</td>
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<td><strong>Total Nongeneral Fund Capital Plan for 2024-2030</strong></td>
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<td>$ 240,200</td>
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**GRAND TOTAL SIX-YEAR CAPITAL OUTLAY PLAN**

<table>
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</thead>
<tbody>
<tr>
<td>$ 729,100</td>
<td>$ 258,900</td>
<td>$ 586,200</td>
<td>$ 1,574,200</td>
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</table>
Attachment C

Project Descriptions for the 2024-2030 Capital Outlay Plan

JOINT FINANCE AND RESOURCE MANAGEMENT COMMITTEE
AND BUILDINGS AND GROUNDS COMMITTEE

February 27, 2023

General Fund Projects – Listed in Attachment A:

University Division

1. Virginia Tech-Carilion School of Medicine and Fralin Biomedical Research Institute Expansion

This project envisions 100,000 GSF of new construction to double the enrollment of the School of Medicine, and a backfill renovation of 51,000 gross square feet (GSF) of the vacated space to expand the Fralin Biomedical Research Institute.

2. Hahn Hall South Renovation and Expansion

Hahn Hall was constructed in 1988 with an addition in 2002, and no major renovations since construction was completed. The proposed project includes renovating the entire 71,100 GSF existing building for modern research laboratory and classroom space for the chemistry program and expanding with a 53,000 GSF addition to provide space for instructional classrooms, laboratory space, and support space for the physics program.

3. Derring Hall Renovation

Derring Hall was constructed in 1969 with only one major improvement via renovation since the original construction was completed. This request is to renovate and modernize this high demand instructional building for the physical sciences programs.

4. Newman Library Renovation

Newman Library was constructed in 1955 with an addition in 1980, with no major renovations since construction was completed. This project envisions constructing a new high-density library storage facility off-campus to hold volumes that need to be retained followed by a renovation of Newman Library to address outdated and undersized restroom and plumbing facilities, electrical systems, HAVC systems, and egress points to meet student demand for modern academic collaboration and interactive learning formats.
5. **Robeson Hall Renovation**

Robeson Hall was constructed in 1960 with no major improvements or renovations since construction was completed. The project includes renovating the 66,000 GSF existing building to provide modern laboratories and support space to meet the needs for instructional classrooms and laboratory space for the physics and materials sciences programs.

6. **Classroom Renovations**

This project will renovate 75,000 GSF of outdated and underutilized general assignment classroom space to modernize instructional spaces to meet the existing space demand for interactive learning and uphold the quality of education.

7. **Life, Health, Safety, Code Compliance Package**

The university’s health, safety, and accessibility initiative for the campus is an ongoing effort, and the university includes a request for this program in each capital plan. This project continues progress on needed campus improvements including accessibility improvements and life safety repairs that are beyond the scope of the Maintenance Reserve program.

**Cooperative Extension / Agricultural Experiment Station Division**

1. **Center Woods Complex Improvements**

This project proposes an approximately 26,000 GSF of improvements to the Center Woods Complex for the Fisheries and Wildlife program, located off Plantation Road in Blacksburg.

2. **System-wide Agricultural Research and Extension Centers Improvements, Phase I**

This project will address the top priority infrastructure and renovation needs for three Agricultural Research and Extension Center sites: Eastern Shore, Southern Piedmont, and Tidewater. This phase of the project includes approximately a total of 71,000 GSF of improvements for the research and extension programmatic needs at these locations.

3. **Relocate Animal-Based Facilities at Glade Road**

This project relocates agricultural and animal-based assets from the Glade Road area to permanent locations near the existing facilities the College of Agriculture and Life Sciences and the Virginia-Maryland College of Veterinary Medicine. The project includes the construction of multiple new buildings of approximately 64,200 GSF and the demolition of outdated assets.
4. **Plant and Environmental Sciences Research Facility (HABB-II)**

This project is to provide a second 94,000 GSF modern research laboratory space that will focus on plant sciences and will include the laboratories, laboratory support spaces, research offices, faculty offices, and graduate student research space.

5. **Renew Animal and Livestock Facilities**

This project includes replacing approximately 100,000 GSF of outdated facilities primarily serving beef cattle, equine, sheep, and poultry. The replacement facilities consolidate functions and operational efficiencies.


**Nongeneral Fund Projects – Listed in Attachment B:**

**Blacksburg Academic**

Architecture, Arts, and Design Renovations
The university’s College of Architecture, Arts, and Design is in need of renovations for the Media Building, the Performance Spaces in Squires Student center, and the Architecture Annex to provide updated spaces for the visual arts programs and the performing arts programs.
- Media Building renovation includes approximately 13,200 GSF,
- Squires Performance Spaces renovation includes approximately 11,300 GSF,
- Architecture Annex renovation includes approximately 15,800 GSF.

**Expand Vivarium Spaces**
This project proposes a new Vivarium facility constructed in the Corporate Research Center with an estimated size of approximately 77,000 GSF.

**FBRI Cancer Research Facility**
This project is for the construction of a new facility in Riverside location in Roanoke, Virginia to expand the Fralin Biomedical Research Institute’s cancer research program. The funding plan calls for $112 million of private gifts.

**Pamplin College of Business**
The project envisions approximately 100,000 GSF of new construction to house the Pamplin College of Business. The proposed building will provide the college expanded, modern instructional space sufficient to meet demand for interactive learning including a variety of general purpose and specialized classrooms, learning laboratories, and seminar rooms. The funding plan for this project includes $40.4 million of private gifts.

**Renovate G. Burke Johnston Student Center**
This project will renovate the entire 24,500 GSF of the G. Burke Johnston Student Center for future academic use including academic advising and student success.

**Veterinary Teaching Hospital Expansion**
The project includes approximately 25,000 GSF of renovation and a 43,000 GSF additional of new construction at the veterinary hospital to meet the demand for client services and clinical instruction. The funding plan for this project includes $15 million of private gifts.
Blacksburg Auxiliaries and Campus Services

Food Processing Center and Warehouse
This project is for a new 45,000 GSF food processing center and warehouse to provide Dining Services with modern space for central food preparation, bakeshop, and cold storage to meet the demands of campus dining centers.

Football Locker Room Renovation
This project will make improvements to the existing football locker rooms and related facilities. The funding plan for this renovation includes $5 million of private gifts.

Mail Services Facility
This project will relocate the Mail Services facilities on or adjacent to campus.

Parking Garage
This project provides additional parking capacity to address unmet demand in the North Academic area of campus.

Replace Kmart Lease
This project will replace the current lease for university surplus property, mail services, the sign shop, and departmental storage.

Rescue Squad Facility
The Virginia Tech Rescue Squad needs new and expanded facilities to support its operations. The envisioned facility would address critical elements including temperature-controlled vehicle garage, office, bunk, lounge, storage, lockers, and restroom facilities.

Student Life Village Phase I
This project implements four high priority facilities to meet student expectations for campus services:

- **Dining**: The dining component is envisioned as 48,500 GSF of new construction.
- **Recreation**: The recreational component is envisioned as 23,000 GSF of new construction.
- **Residential**: The residential component is envisioned as 594,000 GSF of new residence hall construction.
- **Utilities and Infrastructure**: This project will provide the utilities and infrastructure for the site of the Student Life Village.
Greater Washington D.C., Metro Area

Children’s National Lease Expansion II
This project includes exercising an expansion option to acquire more space for the research partnership between the Fralin Biomedical Research Institute and Children’s National Research Institute located in Washington, DC.

Research Space Reconfiguration at VTRC-A
This project is for a 20,000 GSF redesign of research space for the Virginia Tech Research Center in Arlington. The reconfiguration will create designated space to serve the university’s goals in furthering research related to national security.

Upfit Floor 6 of Innovation Campus Academic Building I
This project is for an approximately 30,000 GSF upfit to create additional space for academic programs at the Innovation Campus Academic Building including the relocation and expansion of the Pamplin College of Business programs.
**ATTACHMENT D**

Debt Allocations and Debt Capacity at a Six Percent Ratio

FOR THE 2024-2030 CAPITAL OUTLAY PLAN AND TRAILING PERIOD

as of February 27, 2023

(Dollars in Thousands)

<table>
<thead>
<tr>
<th>Authorized Projects</th>
<th>Planned Issuances</th>
<th>Scheduled Issuances</th>
<th>Total Issuances</th>
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<td><strong>Building Envelope Repairs</strong></td>
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**Total**  
28,121 17,935 - - - - - - - 46,056

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<thead>
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<th>Placeholder Allocations for Six-Year Capital Outlay Plan</th>
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<tr>
<td><strong>Debt Allocations for Projects</strong></td>
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<tr>
<td>Food Processing Center and Warehouse</td>
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<tr>
<td>Parking Structure at Blacksburg Campus</td>
</tr>
<tr>
<td>SLV Phase I - Utilities and Infrastructure</td>
</tr>
<tr>
<td>Pamplin College of Business</td>
</tr>
<tr>
<td>VTC-School of Medicine &amp; FBRI Expansion</td>
</tr>
<tr>
<td>Hahn Hall South Renovation and Expansion</td>
</tr>
<tr>
<td>Veterinary Teaching Hospital Expansion</td>
</tr>
<tr>
<td>SLV Phase I - Recreation</td>
</tr>
<tr>
<td>SLV Phase I - Dining</td>
</tr>
<tr>
<td>SLV Phase I - Residential</td>
</tr>
<tr>
<td>Renovate G. Burke Johnston Student Center</td>
</tr>
<tr>
<td><strong>Total</strong></td>
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<table>
<thead>
<tr>
<th>Remaining Debt Capacity at a Six Percent Ratio</th>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>2023-24</strong></td>
<td><strong>2024-25</strong></td>
<td><strong>2025-26</strong></td>
<td><strong>2026-27</strong></td>
</tr>
<tr>
<td><strong>Planning Period</strong></td>
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<tr>
<td><strong>Total</strong></td>
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<td><strong>$386,624</strong></td>
<td><strong>$313,127</strong></td>
</tr>
</tbody>
</table>

**2027-28**                                             | **2028-29**       | **2029-30**         | **2030-31**     |
| **$225,166**                                            | **$178,245**      | **$137,550**        | **$237,324**    |

**2031-32**                                             | **2032-33**       | **2033-34**         |                 |
| **$355,747**                                            | **$442,040**      | **$537,557**        | **$635,510**    |
ATTACHMENT E

Graph of Debt Ratio Trend

FOR THE 2024-2030 CAPITAL OUTLAY PLAN AND TRAILING PERIOD

Maroon Line = FY22 FY23 Debt Burden Ratio
Maroon Bar = FY23 Issuances
Orange Line = Debt Burden Ratio for the Planning Period
Orange Bars = Issuances for the Planning Period
Gray Line = Debt Burden Ratio for the Trailing Period

$635M of Debt Capacity in Trailing Period
Board Guideline (6% Ratio)
Maroon Line = FY23 Net Debt Capacity
Orange Line = Planning Period Net Debt Capacity
Gray Line = Trailing Period Net Debt Capacity
Maroon Bar = Actual Issuances
Orange Bar = Projected Issuances
APPENDIX 1

Project Needs

Proposals from Deans and Vice Presidents

2024-2030 Six-Year Capital Outlay Plan Update

December 7, 2022

College of Agriculture and Life Sciences

1 Hutcheson and Smyth Hall Renovations
2 Saunders and Seitz Hall Renovation
3 Litton-Reaves Vivarium Refurbishment
1 - 229 Revised System-wide AREC Improvements, Phase I
2 - 229 Relocate Animal-Based Facilities from Glade Road
3 - 229 Plant and Environmental Sciences Research Facility (HABB-II)
4 - 229 Renew Animal and Livestock Facilities
5 - 229 System-wide AREC Improvements, Phase II

College of Architecture, Arts, and Design

1 Music and Arts Building
2 College of Architecture, Arts, and Design Building
3 Road and Pedestrian Network to Plantation Road
4 Marching Virginians Facility Expansion
5 Plantation Road Research and Scholarship Buildings
6 Squires Renovations for Music Rehearsal and Practice Rooms
7 Renovate Armory
8 Renovate Squires Performance Spaces
9 Renovate Media Building
10 Renovate Media Annex
11 Renovate Architecture Annex

College of Engineering

1 Electrical and Computer Engineering Expansion Building
2 Transdisciplinary Biomedical Research Building
3 Patton Hall Renovation
4 Relocate Water Laboratory Facility
5 Expand student-team project space for Engineering
6 Large Projects Building
7 Relocate Turbo Lab and Advance Propulsion and Power Laboratory (APPL)
8  Blacksburg component to Hitt Research Building in Falls Church
9  Norris Hall Renovation
10 Support Shared Research Facilities (i.e. Renovate Robeson Hall)

**College of Liberal Arts and Human Sciences**
1  School of Education Space
2  Renovate Wallace Hall
3  Life Span and Family Services Research Center
4  Consolidate off-campus leases for TTAC and School of Education

**College of Natural Resources and Environment**
1  Cheatham Hall Renovation and Expansion
2  Paver patio outside of Cheatham Hall (southside)
1  - 229 Center Woods Complex Improvements
2  - 229 Brooks Center Renovation and Expansion

**College of Science**
1  Hahn Hall South Renovation and Expansion
2  Robeson Hall Renovation
3  Derring Hall Renovation
4  Instruction Swing Space for Robeson, Hahn, and Derring Renovations

**College of Veterinary Medicine**
1  Veterinary Teaching Hospital Expansion
2  Additional instructional space for the Public Health Program
3  Space to grow One Health Research Program

**Graduate School**
1  Graduate and professional student and family housing (Blacksburg)
1  Graduate and professional student and family housing (Roanoke)
1  Graduate and professional student and family housing (NCR)
2  Affordable child care space on or adjacent to campus
3  Large Auditorium / Multipurpose space (NCR)

**Honors College**
1  Honors College Core Elements
   (F/S offices, seminar space, group rooms, studio space)
2  Honors College Academic Commons Shared Spaces
   (study space, studio/maker spaces, conference rooms)
3  Honors College residential space
Innovation Campus
1 Innovation Campus: Upfit of Academic Building I
2 Innovation Campus: Innovation Building master lease
3 Regional central administrative services hub (Procurement, HR, Sponsored Programs)
4 VTRC-A Reconfiguration to advance NSI thematic alignment
5 Innovation Academic Building II (Health IT alignment)
6 Innovation Academic Building III

Pamplin College of Business
1 Pamplin College of Business
2 PCOB Relocating from Falls Church to Innovation Campus

Provost Office
1 General Assignment Classroom Renovations
2 Spaces for Transdisciplinary Engagement

University Libraries
1 Newman Library Renovation
2 Library Storage Facility Expansion

Virginia Tech-Carilion School of Medicine
1 Roanoke: New Medical School Building

Athletics
1 Football Locker Room Renovation
2 Cassell Coliseum Renovation and Enhancements
3 Tennis Center Improvements
4 Softball Park Improvements
5 Soccer/Lacrosse Field Improvements

VP for Advancement
1 Holtzman Alumni Center Refurbishments
VP for Campus Planning, Infrastructure, and Facilities
1. Campus Infinite Loop
2. Infrastructure & Utilities for Student Life Village
3. Perry Street Expansion
4. Northern 1/3 Western Perimeter Road
5. Heritage Protection and Preservation
6. Campus Green Links and Wayfinding
7. Infrastructure & Utilities for Life Sciences & Technology District
8. New high efficiency co-generation Energy Plant
9. Life, Health, Safety, Code Compliance Package

VP for Enterprise Administrative and Business Services
1. Mail Services Facility
2. Parking Garage
3. Rescue Squad Facility
4. Police Training Facility and Firing Range
5. System-wide Security Access Controls and Cameras

VP for Finance
1. Additional space for Hokie Passport Services

VP for Health Sciences and Technology
1. Fralin Biomedical Research Institute Expansion
2. FBRI Cancer Research Facility
3. Partnership with Children's National Medical Center III
4. Expand the HS&T Campus: New program - School for Climate Health Sciences
5. Expand the HS&T Campus: New program - Pharmaceutical Sciences
6. Commercial Incubator Facility
7. Center for Advanced Imaging Technologies

VP for Information Technology
1. Student Life Village Living Learning District Core Extension
2. Owens Cabling Center Relocation
3. Statewide Networking at each campus
4. Blacksburg Campus Infrastructure Expansion
VP for Outreach and International Affairs
1. Replacement space for International Affairs Offices
2. Relocate VP-OIA office back to campus
3. Consolidated Global Facility

VP for Research and Innovation
1. Expand Vivarium Spaces
2. Comprehensive Nanofabrication Facility
3. Expansion of National Security Facilities/CRC
4. Research Space Reconfiguration at VTRC-A

VP for Strategic Affairs and Diversity
1. Student Opportunities and Achievement Resources (SOAR) program space

VP for Strategic Initiatives
Senior Manager does not have any capital priorities.

VP for Student Affairs
1. Food Processing Center and Warehouse
2. Student Life Village Phase I
   - Student Life Village: Dining Component
   - Student Life Village: Recreation/Wellness Components
   - Student Life Village: Residential Component
   - Slusher Hall Demolition
3. Student Life Village Phase II
4. Renovate Pritchard Hall
5. Student Life Village Phase III
   - Oak Lane Residence Demolition (included in SLV Phase III plans)
6. Renovate Hoge Hall
7. Drillfield Residence Hall Renovations (Campbell/Eggleston)

Virginia Tech Foundation
1. University Mall / Glade Road Redevelopment
2. CRC Build-out
**Staff Placements**

1. Price Hall Renovation
2. Repurpose Pamplin Hall
3. Lane Hall Renovation
4. Renovate G. Burke Johnston Student Center
5. Campus Mobility and Parking
6. Transdisciplinary Research WAREhouse
7. Replace Kmart Lease
8. Burruss Hall Renovation
9. Collapsing the temporary recreation facility, e.g. 'Big White Tent'
10. Upfit Floor 6 of Innovation Campus Academic Building I
11. Property Acquisition
12. Children's National Lease Expansion II
A critical task of the Six-Year Plan update cycle is categorizing the collected capital needs and organizing them based on predetermined qualifiers. The 118 unique capital needs are classified into one of five subcategories based on the definitions below.

1. **Non-capital items**: This category is for facility and space needs with a scope less than $3 million and/or 5,000 gross square feet. The solution may be implemented through normal operating processes with university departments such as Procurement, Facility Operations, or Real Estate Management. This category contains 24 projects.

2. **Projects Logistically Beyond Six Years**: This category is for capital needs that require prerequisite projects to be completed before advancing or for needs that are too far down the senior management area’s priority list to be considered actionable during the Six-Year capital planning period. This category contains 15 projects.

3. **Projects Referred for Further Internal Planning**: This category is composed of capital needs that have not satisfied the nine qualifiers established to determine if a project can be considered actionable as a capital outlay activity. This category holds 46 projects. The qualifiers for this category include the following:
   
   i. Program space chart completed in assignable square feet and gross square feet;
   ii. Space solution identified: renovation, demolition and replacement, or new space;
   iii. Location and site identified;
   iv. Acquisition method identified: lease, purchase, PPEA, CM@Risk, Design-Build, Hard Bid;
   v. Parametric cost estimate calculated for rough order of magnitude;
   vi. Operating pro forma completed for auxiliary enterprise and research projects;
   vii. Funding plan for the entire project costs;
   viii. If external debt is part of the funding plan, sources committed for the entire debt service period; and
   ix. Private fund component approved by central Office of Advancement.

4. **Agency 208 Projects Actionable Within Six Years**: This category is for Agency 208 capital needs that have satisfied the preceding qualifiers to be considered actionable during the planning period. This category contains 28 projects.

5. **Agency 229 Projects Actionable Within Six Years**: This category is for Agency 229 capital needs that have satisfied the preceding qualifiers to be considered actionable during the planning period. This category contains 5 projects.
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 300K GSF of existing space
Innovation Campus
Kentland Farm
Virginia Tech Campus

LEGEND

= In Design
= Under Construction
= Warranty/Complete
* = Design only
## (Progressive) Capital Construction Executive Summary

**Date Prepared:** 24 Jul 2023

<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>
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<td>Q1</td>
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<td>Football Locker-Room Renovations</td>
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</tbody>
</table>

### LEGEND
- **SD** = Schematic Design
- **PD** = Preliminary Design
- **WD** = Working Drawings

### NOTES
1. Non-Virginia Tech project
2. Multiple GMPs results in design/construction overlap (fast track)
3. Building Envelope Improvements include four (4) phases: (1) Lane Stadium (scheduled to complete in spring 2024) followed by (2) Forgerson, (3) Hahs, and (4) Inn at Virginia Tech, which are currently unscheduled
4. Life, Health, Safety Acc. & Code Compliance includes three (3) phases: (1) Deming Steps Elevator Towers (scheduled to complete in December 2024) followed by Green Link Priorities 2 & 3 which are currently unscheduled
5. Estimated construction completion of Mitchell Hall is December 2027
MITCHELL HALL
(Replace Randolph Hall)
CM at Risk – State Authorized

Status
• Project fully authorized for construction by General Assembly
• Working Drawings underway
• CMaR pre-construction services contract is underway

Next Actions
• Begin development of early enablement package

MITCHELL HALL
(Replace Randolph Hall)
Builder: Skanska
Designer: Perkins & Will
UNDER CONSTRUCTION
ACTIVE CONSTRUCTION PROJECTS

- Multi-Modal Transit Facility (ToB project)
- Corps Leadership & Military Science Building
- Livestock & Poultry Research Facilities (Various locations)
- New Upper Quad Residence Hall
- Undergraduate Science Lab Building
- Life, Health, Safety, Accessibility
- Student Wellness Improvements
- Building Envelope Improvements
- HITT Hall
- Innovation Campus Academic Building (Alexandria, VA)
INNOVATION CAMPUS – ACADEMIC BUILDING
CM at Risk – State Authorized

Status
• Construction 60% complete

Next Actions
• Anticipated completion in summer 2024

Designer: Smith Group

Builder: Whiting-Turner
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 teams (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
CAPITAL PROJECT STATUS REPORT

PREPARED FOR THE BUILDINGS AND GROUNDS COMMITTEE OF THE BOARD OF VISITORS

DWYN TAYLOR
Assistant Vice President for Capital Construction

AUGUST 29, 2023
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 300K GSF of existing space
CAPITAL PROJECT PORTFOLIO

LEGEND

○ = In Design
■ = Under Construction
□ = Warranty/Complete
* = Design only

Innovation Campus
Kentland Farm
Virginia Tech Campus
<table>
<thead>
<tr>
<th>Project Title</th>
<th>Total Project Budget (SM)</th>
<th>Construction Budget (SM)</th>
<th>New Carpet (GSF)</th>
<th>Renovation (GSF)</th>
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<td></td>
<td></td>
<td>Q3</td>
<td>Q4</td>
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<td>Corps Leadership &amp; Military Science Building</td>
<td>$52.3</td>
<td>$37.9</td>
<td>55,428</td>
<td>8,448</td>
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</tr>
<tr>
<td>New Upper Quad Residence Hall</td>
<td>$42.9</td>
<td>$32.0</td>
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<td>Slusher Hall Repairs</td>
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<tr>
<td>Student Wellness Improvements</td>
<td>$70.0</td>
<td>$55.3</td>
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<td>204,000</td>
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<tr>
<td>Livestock &amp; Poultry Research Facilities (PfR) – Various Locations</td>
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<td>Mitchell Hall (Replace Randolph Hall)</td>
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<tr>
<td>Football Locker Room Renovations</td>
<td>$5.9</td>
<td>$4.4</td>
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<td>4,200</td>
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<td>Phase I: Student Life Village (Planning – Design Only)</td>
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</table>

**Legend**

- **Design**
- **Construction**
- SD = Schematic Design
- PD = Preliminary Design
- WD = Working Drawings

**Notes**

1. Non-Virginia Tech project
2. Multiple SMs result in design/construction overlap (fast track)
3. Building Envelope improvements include four (4) phases: (1) Lane Stadium (scheduled to complete in spring 2024) followed by (2) Tompkins, (3) Hults, and (4) Hietz at Virginia Tech which are currently unscheduled
4. Life, Health, Safety, & Code Compliance includes three (3) phases: (1) Existing Seating Slats (revitalization) (scheduled to complete no later than 2024) followed by (2) Seating Stairway and (3) Design Build. Each of these activities are scheduled to occur in FY 2024 and beyond
5. Summit construction completion is expected in December 2027
IN DESIGN
MITCHELL HALL
(Replace Randolph Hall)

CM at Risk – State Authorized

**Status**
- Project fully authorized for construction by General Assembly
- Working Drawings underway
- CMaR pre-construction services contract is underway

**Next Actions**
- Begin development of early enablement package

---

**Mitchell Hall (Replace Randolph Hall)**

<table>
<thead>
<tr>
<th>Project Title</th>
<th>Total Project Budget (SM)</th>
<th>Construction Budget (SM)</th>
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**Legend**
- Design
- Construction
- SD = Schematic Design
- PD = Preliminary Design
- WD = Working Drawings

**Notice**

**Designer:** Perkins & Will

**Builder:** Skanska
PLANNING: NEW BUSINESS BUILDING
CM at Risk – BOV Authorized

Status
• Transitioning to Preliminary Design phase
• Standardized value management procedures underway
• CMaR preconstruction services contract is underway

Next Actions:
• Targeting BOV Construction Authorization in early 2024

D&DS Building

Designer: Moseley
Builder: Skanska
FOOTBALL LOCKER ROOM RENOVATIONS
Design-Bid-Build – BOV Authorized

Status
• Working Drawings underway

Next Actions
• Complete designs and initiate construction procurement

<table>
<thead>
<tr>
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<th>Total Project Budget ($M)</th>
<th>Construction Budget ($M)</th>
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<td>Football Locker Room Renovations</td>
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<td>$4.1</td>
<td>4,200</td>
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</tbody>
</table>

Legend: SD = Schematic Design  PD = Preliminary Design  WD = Working Drawings

Designer: HNTB  Builder: SkTBD
**STUDENT LIFE VILLAGE – PHASE I**

*(Planning - Design Only)*

**TBD – BOV Authorized**

### Status

- Procurement of A/E for design services underway

### Next Actions

- Finalize procurement of A/E and begin initial design
UNDER CONSTRUCTION
ACTIVE CONSTRUCTION PROJECTS

- Multi-Modal Transit Facility (ToB project)
- Corps Leadership & Military Science Building
- Livestock & Poultry Research Facilities (Various locations)
- New Upper Quad Residence Hall
- Undergraduate Science Lab Building
- HITT Hall
- Student Wellness Improvements
- Life, Health, Safety, Accessibility
- Building Envelope Improvements
- Innovation Campus Academic Building (Alexandria, VA)
INNOVATION CAMPUS–ACADEMIC BUILDING
CM at Risk – State Authorized

Status
• Construction 60% complete

Next Actions
• Anticipated completion in summer 2024

Builder: Whiting-Turner

Designer: Smith Group
**Status**

- Note: Multi-phase execution
- Phase 1: (Derring Steps Elevators) construction 15% complete
- Phases 2 & 3 (Green Links) under design

**Next Actions**

- Anticipated completion in spring 2024

---

**LIFE, HEALTH, SAFETY, ACCESSIBILITY, & CODE COMPLIANCE**
Design-Bid-Build – State Authorized

**Design-Bid-Build – State Authorized**

**Total Project Budget ($M)**

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</table>

**Legend:**
- SD = Schematic Design
- PD = Preliminary Design
- WD = Working Drawings

**Designer:** Quinn Evans

**Builder:** WM Jordan
Status

• Envelope improvements planned for four buildings
• Construction on first building 30% complete

Next Actions

• First building targeted for completion winter/spring 2024
STUDENT WELLNESS IMPROVEMENTS
CM at Risk – BOV Authorized

Status
• Construction 42% complete

Next Actions
• Anticipated completion in July 2024

Designer: Cannon Design

Builder: Whiting-Turner
UNDERGRADUATE SCIENCE LAB BUILDING
CM at Risk – State Authorized

Status
• Construction 40% complete

Next Actions
• Anticipated completion in June 2024
**HITT HALL**
CM at Risk – BOV Authorized

**Status**
- Construction 58% complete

**Next Actions**
- Anticipated completion in March 2024

**Project Title**

<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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<tbody>
<tr>
<td>Hitt Hall</td>
<td>$86.0</td>
<td>$86.5</td>
<td>101,000</td>
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**CY 2023**

<table>
<thead>
<tr>
<th>FY23</th>
<th>Q1</th>
<th>Q2</th>
<th>Q3</th>
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<tbody>
<tr>
<td>Mar</td>
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<td>Jul</td>
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**CY 2024**

<table>
<thead>
<tr>
<th>Q1</th>
<th>Q2</th>
<th>Q3</th>
<th>Q4</th>
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<tbody>
<tr>
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<td>Oct</td>
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</table>

**CY 2025**

<table>
<thead>
<tr>
<th>FY25</th>
<th>Q1</th>
<th>Q2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jul</td>
<td>Oct</td>
<td>Dec</td>
</tr>
</tbody>
</table>

**Legend:**
- **Design**
- **Construction**
- **SD = Schematic Design**
- **PD = Preliminary Design**
- **WD = Working Drawings**

**Builder:** WM Jordan

**Designer:** Cooper Cary
Status
• Project complete

Next Actions
• Close out project

DATA & DECISIONS SCIENCE BUILDING
CM at Risk – State Authorized
COMPLETE

Builder: Kjellstrom & Lee
Designer: Moseley
DIETRICK RENOVATION
(And Quillen Spirit Plaza)
Design-Bid-Build– BOV Authorized
COMPLETE

Status
• Project complete

Next Actions
• Close out project

Design-Bid-Build– BOV Authorized
COMPLETE

Builder:  Branch Builds
Designer:  Hanbury

<table>
<thead>
<tr>
<th>Project Title</th>
<th>Total Project Budget (SM)</th>
<th>Construction Budget (SM)</th>
<th>New Const (G$F)</th>
<th>Renovation (G$F)</th>
</tr>
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<tbody>
<tr>
<td>Dietrick Renovation</td>
<td>$9.1</td>
<td>$8.8</td>
<td>6,796</td>
<td>11,060</td>
</tr>
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</table>

LEGEND: Design  Construction  SD = Schematic Design  PD = Preliminary Design  WID = Working Drawings
CORPS LEADERSHIP & MILITARY SCIENCE BUILDING
CM at Risk – BOV Authorized
COMPLETE

Status

- Project substantially complete and occupied

Next Actions

- Complete site work and close out project
**NEW UPPER QUAD RESIDENCE HALL**

CM at Risk – BOV Authorized

**COMPLETE**

### Status
- Project substantially complete and occupied

### Next Actions
- Finish site work and close out project

---

**Project Title**

<table>
<thead>
<tr>
<th></th>
<th>Total Project Budget ($M)</th>
<th>Construction Budget ($M) (Construction contractor's work)</th>
<th>New Const (G$F)</th>
<th>Renovation (G$F)</th>
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<tbody>
<tr>
<td>New Upper Residence Hall</td>
<td>842.0</td>
<td>837.0</td>
<td>56,850</td>
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</table>

**LEGEND**
- Design
- Construction
- SD = Schematic Design
- PD = Preliminary Design
- W/D = Working Drawings

**Calendar**

<table>
<thead>
<tr>
<th>CY 2023</th>
<th>FY 23</th>
<th>Q1</th>
<th>Q2</th>
<th>Q3</th>
<th>Q4</th>
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<tbody>
<tr>
<td></td>
<td>Jan-Mar</td>
<td>Apr-Jun</td>
<td>Jul-Sep</td>
<td>Oct-Dec</td>
<td>Nov-Mar</td>
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<table>
<thead>
<tr>
<th>CY 2024</th>
<th>FY 24</th>
<th>Q1</th>
<th>Q2</th>
<th>Q3</th>
<th>Q4</th>
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<tbody>
<tr>
<td></td>
<td>Jan-Mar</td>
<td>Apr-Jun</td>
<td>Jul-Sep</td>
<td>Oct-Dec</td>
<td>Nov-Mar</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CY 2025</th>
<th>FY 25</th>
<th>Q1</th>
<th>Q2</th>
<th>Q3</th>
<th>Q4</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>Jan-Mar</td>
<td>Apr-Jun</td>
<td>Jul-Sep</td>
<td>Oct-Dec</td>
<td>Nov-Mar</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>FY 26</th>
<th>Q1</th>
<th>Q2</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Jan-Mar</td>
<td>Apr-Jun</td>
</tr>
</tbody>
</table>

**Designer:** Clark-Nexen

**Builder:** Vannoy
LIVESTOCK & POULTRY RESEARCH FACILITIES (PHASE I)
Design-Bid-Build – State Authorized
COMPLETE: EQUINE FACILITY & SWINE FACILITY

Status
• Construction complete on bid packages #1 through #4
• Bid package #5 (3 new hay barns at various locations and demo of existing swine facility) in procurement

Next Actions
• Award bid package #5 and begin construction

Poultry Facility
Equine Facility
Beef Facility
Swine Facility

Project Title
Livestock & Poultry Research Facilities (Ph I) – Various Locations

<table>
<thead>
<tr>
<th>Project Title</th>
<th>Total Project Budget ($)</th>
<th>Construction Budget (SM)</th>
<th>Renovation (SM)</th>
<th>New Const (GFA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Livestock &amp; Poultry Research Facilities (Ph I) – Various Locations</td>
<td>$85.0</td>
<td>$85.5</td>
<td>101,000</td>
<td></td>
</tr>
</tbody>
</table>


Designer: Spectrum Design
Builder: (Various)
MULTI-MODAL TRANSIT FACILITY
Design-Bid-Build – Town of Blacksburg (ToB)

Status
• Construction 67% complete

Next Actions
• Anticipated completion in fall 2023

Site Plan

Designer: Wendel (ToB Contract)  
Builder: WM Schlosser (ToB Contract)
DEFINITIONS

• **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

• **Schematic Design Phase** = 0% to approx 20% design complete

• **Preliminary Design Phase** = Approx 20% to approx 50% design complete

• **Working Drawing Phase** = Approx 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 teams (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
UPDATE ON AGRICULTURAL FACILITIES

ALAN L. GRANT, PH.D.
DEAN OF THE COLLEGE OF AGRICULTURE AND LIFE SCIENCES

August 29, 2023
WHERE ARE VIRGINIA TECH’S AGRICULTURAL FACILITIES?

11 ARECs
- 227 active ag buildings
- Approx. 600,000 GSF
- 4,626 acres

Montgomery County
- 140 active ag buildings
- Approx. 650,000 GSF
- 3,379 acres

TOTAL AG FACILITIES
- 367 active buildings
- Approx. 1,250,000 GSF
- 8,005 acres
NON-CAPITAL PROJECT PROGRESS - COMPLETED

- Tidewater AREC Entomology Lab Heat Pump Replacement
- Middleburg AREC Employee House 816 Heat Pump Replacement
- Hampton Roads AREC Chiller Replacement
- Eastern Shore AREC Signage
- Southern Piedmont AREC Road and Parking lot Repaving
- Alphin-Stuart Livestock Arena Parking Lot Paving
NON-CAPITAL PROJECT PROGRESS

Key Projects In Progress

• Hampton Roads AREC Exterior Signage installation (5 signs)
• Removal of 7 unneeded structures from Southern Piedmont AREC
• Eastern Shore AREC Lab 08B Renovation - Design
• Southern Piedmont AREC Lab Freezer Backup Generator; Packhouse Restroom Air Conditioning; Greenhouse cooling system experiment
• Sheep Barn and Beef Barn Structural Repairs

17 projects in CONSTRUCTION
16 projects in DESIGN
16 projects in PLANNING

ESAREC Lab 08B – Future Entomology Lab

SPAREC Building removal

Beef Barn Structural Repairs
LIVESTOCK AND POULTRY RESEARCH FACILITIES, Phase 1, Bid Package Updates:

- **BP 1 Swine**: Complete. Animals planned to arrive in early October.
- **BP 2 Beef Nutrition (99%) and Kentland Hay Shed (100%)**: Concrete repair and squeeze chute motor pending completion.
- **BP 3 Turkey and Broiler Grow-out Facilities**: Nearly complete. Equipment purchase ongoing.
- **BP 4 Equine and Equipment Storage**: Complete. Animals moved in July!
- **BP 5 Three Hay Sheds and Final Demolition**: Bidding in progress. 18+ month project duration.

OCCUPIED NEW FACILITIES

BP4 Equitation Barn

BP4 Equipment Shed

BP2 Kentland Hay Shed
## Capital Project Progress - Planning

### Agency 229 Six-year Capital Outlay Plan for 2024-2030

<table>
<thead>
<tr>
<th>Project Description</th>
<th>GSF</th>
<th>Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improve Center Woods Complex (CNRE)*</td>
<td>25,900</td>
<td>$14.7 M</td>
</tr>
<tr>
<td>New research labs, research support spaces, equipment storage and offices for the Department of Fish and Wildlife Conservation. Demolish 12 existing structures.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>AREC Improvements, Phase 1*</td>
<td>65,600</td>
<td>$25.2 M</td>
</tr>
<tr>
<td>Renovation of three existing facilities and addition of eight new facilities at Eastern Shore and Southern Piedmont ARECs. Project will increase laboratory research capacity, field research capacity, research greenhouse space, housing capacity, and improve overall condition.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Replace Plant and Animal Facilities at Glade Road</td>
<td>64,200</td>
<td>$41 M</td>
</tr>
<tr>
<td>HABB-II Plant and Environmental Sciences Research Facility</td>
<td>94,000</td>
<td>$91 M</td>
</tr>
<tr>
<td>Renew Animal and Livestock Facilities, Phase 2</td>
<td>102,600</td>
<td>$34 M</td>
</tr>
</tbody>
</table>

*Capital Budget Request submitted to State, June 2023*

---

### Six-Year Capital Outlay Plan Development
- **September – February**: Detailed project work
- **March**: Board Plan Review & Approval
- **June**: Capital Budget Submission to State
- **State Capital Budget Review and Approval**: Board Ratification of Plan
New AREC Router, Switch, and Cabling Installed

Last General Assembly Equipment Order Finally Received!

Eastern Shore AREC Audiovisual Upgraded

Technology and Connectivity

- AREC and VCE Network Equipment Upgrade and Expansion Project
  - Installations have started and will continue for much of the year
  - Five ARECs already upgraded with a total of 20 new switches and 80 new wireless access points
  - Over 85 percent of the VCE offices have been completed

- AREC audiovisual upgrades
  - Phase I (larger ARECs) complete
  - Phase II is now complete. This phase focused on improving capabilities at some smaller ARECs (Eastern Shore, Eastern Virginia, Middleburg, and Shenandoah Valley) and continued enhancements to larger offices
Mary Burrows, Ph.D.
Director of Virginia Agricultural Experiment Station
CALS Associate Dean for Research
• Former Assoc. Dir. of Montana AES and Research Development
• 17 years as Extension Plant Pathologist, Montana State Univ.
• Dir. of Schutter Diagnostic Lab, Regional Pulse Crop Diagnostic Lab, IPM Program
• Montana State University
• Ph.D. Plant Pathology, Univ. of Wisconsin-Madison
• B.A. Biology, Minnesota State University - Moorhead
### College of Agriculture Life Sciences (CALS) Projects Status Report

**BUILDINGS AND GROUNDS COMMITTEE**  
**August 29, 2023**

#### Spectrum

<table>
<thead>
<tr>
<th>Pkg</th>
<th>Project Name</th>
<th>Project Description</th>
<th>Estimated Total Project Cost</th>
<th>Fund Source</th>
<th>Project Teams</th>
<th>Contract Completion Date</th>
<th>Project Status</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>SIMCON</td>
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<td></td>
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<td>4</td>
<td>Clark Nexsen</td>
<td></td>
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<tr>
<td>5</td>
<td>TBD</td>
<td></td>
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</tr>
</tbody>
</table>

#### Pkg 1: SIMCON

- **Improves** Kentland Facilities, Phase I
- **Project Description**: Applied Reproduction Facility (ARF), 5,105 SF barn at ARF for palpation and breeding instruction. Breede Extension, Teaching and Research (BETR) Facility, 3,000 SF classroom building, and 5,105 SF demonstration area at livestock center on Plantation Road. Molecular Research Laboratory (MRL), 3,130 SF animal laboratory at the Dairy Center at Kentland Farm.

- **Total Cost**: $12,463,000
- **Fund Source**: Capital Outlay
- **Project Team**: Spectrum
- **Contract Completion Date**: Fall 2023
- **Project Status**: All projects have reached substantial completion and have certificate of occupancy. Minor corrective work at the Metabolic Research Lab is ongoing.

#### Pkg 2: CPPI

- **New Virginia Seafood AREC Building**
- **Project Description**: 3-story building to replace existing aging and structurally unsafe facility in Hampton, Virginia with state-of-the-art aquaculture research and extension facilities. Facility owned and developed by Virginia Tech Foundation.

- **Total Cost**: $9,360,000
- **Fund Source**: Various
- **Project Team**: E.T. Gresham
- **Contract Completion Date**: April 2022
- **Project Status**: Certificate of Occupancy has been received. Remaining punch list and change order items are complete. Prioritization of final specialty equipment in progress. City has demolished old facility.

#### Pkg 3: CPPI

- **Livestock and Poultry Research Facilities, Phase I**

- **Total Cost**: $31,074,000
- **Fund Source**: Capital Outlay
- **Project Team**: Spectrum
- **Contract Completion Date**: Packages 1-4: Summer 2023 Packages 5: TBD
- **Project Status**: Packages 1-3 are nearly complete. Package 4 is 100% complete. Priority 1 Equipment buy-out is complete. Occupancy to occur over summer and fall. Packages 5-8 bidding is in progress.

#### Pkg 4: Clark Nexsen

- **Livestock and Poultry Research Facilities, Phase I**

- **Total Cost**: $31,074,000
- **Fund Source**: Capital Outlay
- **Project Team**: Spectrum
- **Contract Completion Date**: Packages 1-4: Summer 2023 Packages 5: TBD
- **Project Status**: Packages 1-3 are nearly complete. Package 4 is 100% complete. Priority 1 Equipment buy-out is complete. Occupancy to occur over summer and fall. Packages 5-8 bidding is in progress.

#### Pkg 5: TBD

- **Livestock and Poultry Research Facilities, Phase I**

- **Total Cost**: $31,074,000
- **Fund Source**: Capital Outlay
- **Project Team**: TBD
- **Contract Completion Date**: Packages 1-4: Summer 2023 Packages 5: TBD
- **Project Status**: Packages 1-3 are nearly complete. Package 4 is 100% complete. Priority 1 Equipment buy-out is complete. Occupancy to occur over summer and fall. Packages 5-8 bidding is in progress.

#### Minor Projects ($25,000 each)

- **Employee Housing Outbuilding Repairs**
- **Project Description**: Repairs and painting exterior storage sheds at employee housing on Plantation Road. Replace failed heat pump.

- **Total Cost**: $31,000
- **Fund Source**: CAS/VAES
- **Project Status**: Summer 2023 Complete

- **Middletown AREC House 816 Heat Pump Replacement**
- **Project Description**: Paving over existing gravel parking area to reduce annual maintenance, solve drainage problems, expand number of spaces, and provide all-weather parking surface. Heavy-duty asphalt section to be installed for possible future bus turnaround.

- **Total Cost**: $341,000
- **Fund Source**: BB&L
- **Project Status**: May 2023 Complete

---

**Updates through August 15, 2023**

- **Following approval of the 2024-2030 Capital Outlay Plan by the Board of Visitors, program and cost validation is underway for selected projects. Two submitted for state funding consideration summer 2023. Others held for future requests.**

- **Proof of Concept**

- **Livestock and Poultry Research Facilities, Phase I**

- **Total Cost**: $31,074,000
- **Fund Source**: Capital Outlay
- **Project Team**: TBD
- **Contract Completion Date**: Packages 1-4: Summer 2023 Packages 5: TBD
- **Project Status**: Packages 1-3 are nearly complete. Package 4 is 100% complete. Priority 1 Equipment buy-out is complete. Occupancy to occur over summer and fall. Packages 5-8 bidding is in progress.

- **Livestock and Poultry Research Facilities, Phase I**

- **Total Cost**: $31,074,000
- **Fund Source**: Capital Outlay
- **Project Team**: TBD
- **Contract Completion Date**: Packages 1-4: Summer 2023 Packages 5: TBD
- **Project Status**: Packages 1-3 are nearly complete. Package 4 is 100% complete. Priority 1 Equipment buy-out is complete. Occupancy to occur over summer and fall. Packages 5-8 bidding is in progress.

**PROJECTS IN CONSTRUCTION**

**PROJECTS IN DESIGN**

**PROJECT INITIATION / PLANNING STAGE**

- **2024-2025 6-Year Capital Outlay Plan**
- **Project Description**: Capital budget requests for five projects: CNRE Center Woods Improvements, System-Wide AREC Improvements Phase I, Glade Road Relocation, Human and Agricultural Biosciences Building 8, and Livestock and Poultry Research Facilities, Phase I

- **Total Cost**: $213,000,000
- **Fund Source**: Capital Outlay
- **Contract Completion Date**: TBD
- **Project Status**: TBD

- **System-Wide AREC Improvements, Phase I**
- **Project Description**: Review and expand aging and deteriorating AREC facilities. Phase 1 project to address entirety of capital renewal needs at Eastern Shore and Southern Piedmont ARECs.

- **Total Cost**: $21,200,000
- **Fund Source**: Capital Outlay
- **Contract Completion Date**: TBD
- **Project Status**: TBD

- **Replace Plant and Animal Facilties at Glade Road**
- **Project Description**: Relocate existing facilities away from the Glade Road Research Facility.

- **Total Cost**: $41,000,000
- **Fund Source**: Capital Outlay
- **Contract Completion Date**: TBD
- **Project Status**: TBD

- **Plant & Animal Environmental Sciences Research Facility (HBB-II)**
- **Project Description**: Construct new research lab facility for the School of Plant and Environmental Sciences to co-locate numerous research teams in one location with modernized facilities to focus on studying climate change.

- **Total Cost**: $81,000,000
- **Fund Source**: EDP
- **Contract Completion Date**: TBD
- **Project Status**: Re-programming effort completed with a $51.5 M construction target. Draft Feasibility report is under review.

---

**NON-CAPITAL PROJECTS**

**PROJECTS COMPLETED SINCE LAST REPORT**

- **Minor Projects ($25,000 each)**

- **Employee Housing Outbuilding Repairs**
- **Project Description**: Repairs and painting exterior storage sheds at employee housing on Plantation Road. Replace failed heat pump.

- **Total Cost**: $31,000
- **Fund Source**: CAS/VAES
- **Project Status**: Summer 2023 Complete

- **Middletown AREC House 816 Heat Pump Replacement**
- **Project Description**: Paving over existing gravel parking area to reduce annual maintenance, solve drainage problems, expand number of spaces, and provide all-weather parking surface. Heavy-duty asphalt section to be installed for possible future bus turnaround.

- **Total Cost**: $341,000
- **Fund Source**: BB&L
- **Project Status**: May 2023 Complete

---

1 of 5
<table>
<thead>
<tr>
<th>PROJECT NAME</th>
<th>PROJECT DESCRIPTION</th>
<th>ESTIMATED TOTAL PROJECT COST</th>
<th>FUND SOURCE</th>
<th>PROJECT TEAM</th>
<th>CONTRACT COMPLETION DATE</th>
<th>PROJECT STATUS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tidewater AREC Entomology Lab Heat Pump Replacement</td>
<td>Existing heat pump is failing and must be replaced.</td>
<td>$11,000</td>
<td>Maintenance Reserve</td>
<td>Comfort Systems</td>
<td>June 2023</td>
<td>Complete</td>
</tr>
<tr>
<td>Hampton Roads AREC Chiller Replacement</td>
<td>Existing chiller failed and must be replaced before cooling season.</td>
<td>$116,000</td>
<td>Maintenance Reserve</td>
<td>Virginia A&amp;E</td>
<td>Summer 2023</td>
<td>Complete</td>
</tr>
<tr>
<td>Southern Piedmont AREC Roadway and Parking Lot Repairing</td>
<td>Existing parking lots (3) and primary internal roadways are deteriorating and in need of repair approximately 1,400 square feet of milling and 8,400 square yards of 2-inch asphalt overlay required.</td>
<td>$147,000</td>
<td>CALLS / VAES</td>
<td>Finley Asphalt and Concrete</td>
<td>Summer 2023</td>
<td>Complete</td>
</tr>
</tbody>
</table>

### Projects in Construction

- **Reynolds Homestead FBRD Exterior Repairs**
  - Status: Ongoing
  - Cost: TBD

- **AERC Exterior Signage Upgrades**
  - Description: Installation of new exterior signs at each AREC with refreshed design to match current branding.
  - Status: TBD
  - Cost: $8,000

- **Beef Barn Repairs**
  - Description: Exterior and interior demolition followed by the installation of new roofing, hay loft flooring, doors, windows, and lighting. This work was originally included in LPRF Phase 1, but removed due to scope concerns.
  - Status: Winter, Gropen
  - Cost: $1,904,000

- **Tidewater AREC - Water system repair**
  - Description: Water lines from well to main office complex is failing in multiple locations and requires frequent repairs, creating water quality concerns. Project is to connect to public water system with 2-inch water line, add backflow preventer, and re-connect non-potable water line to well for irrigation purposes.
  - Status: Lewis Construction
  - Cost: Fall 2023

- **Prices Fork Quarantine Lab Emergency Generator**
  - Description: Installation of new backup generator for operational reliability at Entomology Quarantine Facility at Prices Fork Research Center.
  - Status: Gibson Engineering
  - Cost: Summer 2023

- **Prices Fork Quarantine Lab Autoclave Installation**
  - Description: Installation of new 3-phase electric service and new autoclave for more reliable sterilization process.
  - Status: D.H. Elliott
  - Cost: Fall 2023

- **Turfgrass Research Center Equipment Shed**
  - Description: Installation of new 1,440 square foot open front pole shed at the Turfgrass Research Center for weather-protected storage of equipment.
  - Status: TBD
  - Cost: TBD

- **Alson H. Smith Jr. AREC Chilled Water System Repairs**
  - Description: Existing chillers are leaking and utilizing a refrigerant that is no longer readily available. System condition is deteriorating and in need of major repair and replacement.
  - Status: Blauch Brothers
  - Cost: Summer 2024
<table>
<thead>
<tr>
<th>PROJECT NAME</th>
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<th>ESTIMATED TOTAL PROJECT COST</th>
<th>FUND SOURCE</th>
<th>PROJECT TEAM</th>
<th>CONTRACT COMPLETION DATE</th>
<th>PROJECT STATUS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pucket Greenhouses, Growlink</td>
<td>NI&amp;S Communication antennae installation New antennae to be installed at the Beef Barn and HABB1 for enhanced coverage along Stroubles Creek</td>
<td>TBD</td>
<td>-</td>
<td>-</td>
<td>Various</td>
<td>In Progress</td>
</tr>
<tr>
<td>Middleburg AREC Clinic/Admin Building</td>
<td>HVAC repairs Maintenance Reserve</td>
<td>TBD</td>
<td>-</td>
<td>-</td>
<td>TBD</td>
<td>TBD</td>
</tr>
<tr>
<td>Campbell Area Repairs</td>
<td>New enclosure of the existing open-air steel structure constructed of metal panel siding over steel girts and posts. This work was originally included in LPRF Phase 1, but removed due to scope concerns. Existing equitation barn to be repurposed for small animal research and extension activities.</td>
<td>$59,000</td>
<td>Maintenance Reserve, CALS</td>
<td>Hughes</td>
<td>TBD</td>
<td>A/E Proposal development underway.</td>
</tr>
<tr>
<td>Middletown AREC Stable exterior repairs</td>
<td>Building roof and windows are leaking. Several stalls are unusable due to leaks. Several windows are rotten.</td>
<td>$130,000</td>
<td>Maintenance Reserve</td>
<td>S/Design</td>
<td>TBD</td>
<td>Drawings approved. Bidding in progress.</td>
</tr>
<tr>
<td>Middletown AREC Clinic/Admin Building HVAC repairs</td>
<td>Two existing heat pump systems have failed during critical and ongoing research projects.</td>
<td>$40,000</td>
<td>Maintenance Reserve</td>
<td>S/Design</td>
<td>TBD</td>
<td>Drawings approved. Awaiting final funding approval to proceed with bidding.</td>
</tr>
<tr>
<td>Tidewater AREC Main Office and Lab Roof Replacement</td>
<td>Existing roof is leaking causing damage to main lobby interior walls and classroom area.</td>
<td>$78,000</td>
<td>Maintenance Reserve</td>
<td>HDH</td>
<td>TBD</td>
<td>Drawings approved. Awaiting final funding approval to proceed with bidding.</td>
</tr>
<tr>
<td>Southern Piedmont AREC - Caring Building Repairs</td>
<td>Repair/replacement siding and five deteriorated lean-to equipment storage sheds attached to four tobacco curing barns (0893A, 0893B, 0893C, 0893D)</td>
<td>$51,000</td>
<td>Maintenance Reserve</td>
<td>Thompson &amp; Litton</td>
<td>TBD</td>
<td>Drawings approved. Awaiting final funding approval to proceed with bidding.</td>
</tr>
<tr>
<td>Southern Piedmont AREC Greenhouse Controls Upgrade</td>
<td>Minor project to make power connections for new Smart Greenhouse controls in two greenhouse ranges.</td>
<td>TBD</td>
<td>CALS</td>
<td>-</td>
<td>TBD</td>
<td>New controls equipment received. Seeking installation quotes.</td>
</tr>
<tr>
<td>Sheep Barn Structural Repairs</td>
<td>Additional structure required to support weight of hay in loft above.</td>
<td>TBD</td>
<td>-</td>
<td>-</td>
<td>TBD</td>
<td>TBD</td>
</tr>
<tr>
<td>NIS &amp; Communication antennae installation</td>
<td>New antennae to be installed at the Beef Barn and HABS1 for enhanced coverage along Stroubles Creek Research bed.</td>
<td>TBD</td>
<td>-</td>
<td>-</td>
<td>TBD</td>
<td>Permitting and equipment procurement in progress.</td>
</tr>
<tr>
<td>Eastern Shore AREC Lab 308</td>
<td>Shaft of existing space to accommodate new research lab.</td>
<td>$100,000</td>
<td>CALS</td>
<td>-</td>
<td>TBD</td>
<td>A/E procurement underway.</td>
</tr>
<tr>
<td>PROJECT NAME</td>
<td>PROJECT DESCRIPTION</td>
<td>ESTIMATED TOTAL PROJECT COST</td>
<td>FUND SOURCE</td>
<td>PROJECT TEAM</td>
<td>CONTRACT COMPLETION DATE</td>
<td>PROJECT STATUS</td>
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</tr>
<tr>
<td>Shenandoah Valley AREC - Repair/Replace Sheep Barn</td>
<td>Sheep Barn (0854) has rotten posts at ground level and leaking roof. The building should be evaluated for repair or replacement.</td>
<td>$76,000</td>
<td>Maintenance Reserve</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>Shenandoah Valley AREC - Renovate Carriage House</td>
<td>Renovate Carriage House to add two single-user public restrooms and welcome center area for visitors to the Eckerd Farm.</td>
<td>TBD</td>
<td>CALS / VAES</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>Smithfield Equine Complex</td>
<td>Develop new facilities for Equine Complex on Plantation Road including covering outdoor arena, add bleachers, restrooms, announcer stand, fencing, quarantine facility.</td>
<td>TBD</td>
<td>Private</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>Southern Piedmont AREC New Storage Shed</td>
<td>Addition of a new 4-bedroom modular employee housing unit at Southern Piedmont AREC.</td>
<td>TBD</td>
<td>CALS / VAES</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>Middleburg AREC - Exterior Repairs</td>
<td>Failing on several buildings is in need of repair/replacement due to advanced age: Annex (0617), Frame Barn (0618), Milking Barn and Milk House (0619), Loafing Barn (0620), Milking/Office Building (0621), Loafing Barn (0624). It’s a risk if idols (0619) are deteriorating in and need of repair or replacement.</td>
<td>$150,000</td>
<td>Maintenance Reserve</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>Alison H. Smith AREC - Repair paining and parking</td>
<td>Existing asphalt parking lot and driveways are deteriorating in need of repaving.</td>
<td>$56,000</td>
<td>Maintenance Reserve</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development. Construction funds requested for FY 2024.</td>
</tr>
<tr>
<td>Tidewater AREC - Repair paining and parking</td>
<td>Existing asphalt parking lot and driveways are deteriorating in need of repaving.</td>
<td>$150,000</td>
<td>Maintenance Reserve</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development. Construction funds requested for FY 2024.</td>
</tr>
<tr>
<td>Southern Piedmont AREC Modular Housing</td>
<td>Addition of a new 4-bedroom modular employee housing unit at Southern Piedmont AREC.</td>
<td>TBD</td>
<td>CALS / VAES</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>Moore Farm Barn 0501 Repairs</td>
<td>This highly visible and prominent barn is in many purposes such as lambing of sheep, feeding facility, hay bale storage, emergency storage for weather affected crops, and equipment and part storage. The condition of the roof and eading is poor, failing to provide the necessary weather protection. Without mitigation soon, the condition will deteriorate to the point of loss.</td>
<td>TBD</td>
<td>Maintenance Reserve</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>Moore Farm Shed (0502) Repairs</td>
<td>This hay shed was built in the 1950’s and received heavy use for that purpose. Over the years its condition has continued to worsen and recent winds and snow storms have accelerated the deterioration. In order to execute research projects utilizing recently renovated fields, the loft Cattle unit now needs to utilize the shed as a working facility for cattle. This would involve paving a concrete floor and moving in cattle working equipment. However, the structural condition of this facility is poor and should be addressed prior to additional use. It may be more cost effective to rebuild than to repair this structure.</td>
<td>TBD</td>
<td>Maintenance Reserve</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>Turkey Farm Processing Building Repair</td>
<td>Interior Devastation followed by the installation of new cold-formed steel stud interior partitions, new doors and a window, fiberglass reinforced plastic paneling and epoxy painted floors. This work was originally included in LPRF Phase III, but removed due to scope concerns.</td>
<td>$140,000</td>
<td>Maintenance Reserve</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>Shenandoah Valley AREC - Renovate Carriage House</td>
<td>Renovate Carriage House to add two single-user public restrooms and welcome center area for visitors to the Eckerd Farm.</td>
<td>TBD</td>
<td>CALS / VAES</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>Smithfield Equine Complex</td>
<td>Develop new facilities for Equine Complex on Plantation Road including covering outdoor arena, add bleachers, restrooms, announcer stand, fencing, quarantine facility.</td>
<td>TBD</td>
<td>Private</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>Shenandoah Valley AREC - Repair/Replace Sheep Barn</td>
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<td>$76,000</td>
<td>Maintenance Reserve</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>Southern Piedmont AREC Irrigation Pond Dam Repairs</td>
<td>Discharge pipe through existing embankment has failed due to corrosion of bottom of the barrel. Pipe needs to be replaced and dam restructured in between growing seasons.</td>
<td>TBD</td>
<td>CALS / VAES</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>Compact Facility (to support main campus &amp; surrounding farms)</td>
<td>CALS is experiencing significant and growing land pressure to meet nutrient management plan requirements, which would be greatly eased by the proposed compact facility. This initiative also has an extremely high level of student support as well as potential partnerships with Dining Services, Athletics and Facilities. Project is included in 2023-25 Capital Budget Request, but is a high priority for separate, earlier funding, if possible, due to regulatory risk exposure from limited manure storage during winter months.</td>
<td>$1,823,000</td>
<td>Coker Composting &amp; Consulting, Reduction in Motion</td>
<td>TBD</td>
<td>TBD</td>
<td>Zero-Waste consultant team updating plan, assessing current waste stream, and evaluating alternate composting methods.</td>
</tr>
<tr>
<td>College of Agriculture Life Sciences (CALS) Projects Status Report</td>
<td></td>
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<tr>
<td>BUILDINGS AND GROUNDS COMMITTEE</td>
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<tr>
<td>August 29, 2023</td>
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<td>4 of 5</td>
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<tr>
<td>Project Name</td>
<td>Project Description</td>
<td>Estimated Total Project Cost</td>
<td>Fund Source</td>
<td>Project Teams</td>
<td>Contract Completion Date</td>
<td>Project Status</td>
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<tr>
<td>Eastern Virginia AREC Field Wireless (SmartFarm Project)</td>
<td>Installation of new technology, similar to Wi-Fi but with better exterior coverage and security management, in fields at Eastern Virginia AREC to study the effectiveness of this equipment for supporting data-intensive agricultural, plant-based research as well as providing ready access to the internet and data network.</td>
<td>$13,000</td>
<td>CALS / VAES</td>
<td>CALS IT, JMA, Pierson Wireless</td>
<td>TBD</td>
<td>Cancelled</td>
</tr>
<tr>
<td>AREC Audiovisual (A/V) Upgrades - Phase 2</td>
<td>Installation of new audio and video equipment for ARECS to provide enhanced conferencing abilities in classrooms. Much of this second phase is focused on some of the smaller AREC offices.</td>
<td>$60,000</td>
<td>CALS / VAES</td>
<td>CALS IT, Vendor: Lee Harmon and Sons</td>
<td>TBD</td>
<td>Complete</td>
</tr>
<tr>
<td>Bandwidth and Internet Connectivity Improvements</td>
<td>Identify and implement bandwidth upgrade opportunities across campus locations to enhance research and address emerging requirements.</td>
<td>N/A</td>
<td>Various</td>
<td>CALS / VAES</td>
<td>Division of IT</td>
<td>Ongoing</td>
</tr>
<tr>
<td>AREC Voice Over Internet Protocol (VOIP) Conversion</td>
<td>Convert legacy telephone systems at all ARECS to unified Voice Over Internet Protocol (VOIP) systems to match the voice service on campus.</td>
<td>$75,000</td>
<td>CALS / VAES</td>
<td>CALS IT, Division of IT</td>
<td>TBD</td>
<td>On Hold</td>
</tr>
<tr>
<td>Network Equipment Upgrades and Expansion</td>
<td>This project replaces or upgrades aging Local Area Network (LAN) equipment as well as expand in building wireless and some external wireless capabilities. This effort also includes the procurement and installation of new &quot;backend&quot; equipment that will be installed on campus to manage and operate the networks at the ARECs and other extension offices.</td>
<td>$1,140,000</td>
<td>CALS / VAES</td>
<td>CALS IT</td>
<td>Division of IT</td>
<td>Ongoing</td>
</tr>
<tr>
<td>Smithfield Equine Classroom Renovations, Phase 2</td>
<td>Completion of building envelope repairs, restroom repairs, accessibility improvements.</td>
<td>$110,000</td>
<td>Maintenance Reserve, CALS</td>
<td>TBD</td>
<td>TBD</td>
<td>Scope and budget development.</td>
</tr>
<tr>
<td>AREC Voice Over Internet Protocol (VOIP) Conversion</td>
<td>VOP conversion projects have been completed at 8 of the 11 ARECs. Remaining locations include Hampton Roads, Virginia Tech, and Southwest Virginia ARECs where the existing telephone service has been adequate. The existing service contract expires in two years and District of IT has announced that a new Zoom phone contract has been awarded to replace the existing system. It does not make sense to migrate any additional offices to the legacy system, and instead wait to migrate these to the new Zoom offering once it becomes available.</td>
<td>N/A</td>
<td>Various</td>
<td>CALS IT, Division of IT</td>
<td>TBD</td>
<td>N/A</td>
</tr>
</tbody>
</table>
DESIGN PREVIEW & REVIEW for LIFE, HEALTH, SAFETY, ACCESSIBILITY & CODE COMPLIANCE – PRIORITY 2

LIZA MORRIS
ASSISTANT VICE PRESIDENT FOR PLANNING AND UNIVERSITY ARCHITECT

August 29, 2023
PROJECT INFORMATION

SCOPE
LHSACC - PRIORITY 2 (GREENLINK)

DELIVERY METHOD
DESIGN BID BUILD

TOTAL PROJECT BUDGET
$3,900,000* FOR PRIORITY 2

DESIGN PHASE
WORKING DRAWINGS

ESTIMATED CONSTRUCTION START
LATE FALL 2023

ESTIMATED CONSTRUCTION COMPLETION
LATE FALL 2024

* Total project budget of $10.4M includes priority 1, 2, and 3 accessibility projects
PROJECT MILESTONES

PRE-AUTHORIZATION

6-YEAR CAPITAL PLAN

PROJECT APPROVAL

✓ ✓

BUDGET REQUEST

SCHEMATIC DESIGN

PRELIMINARY DESIGN

DESIGN PREVIEW/REVIEW

WORKING DRAWINGS

CONSTRUCTION

OCCUPANCY

POST-AUTHORIZATION

✓

DESIGN PREVIEW/REVIEW

OCCUPANCY

/ DESIGN PREVIEW & REVIEW for LHSACC - PRIORITY 2
SITE PLAN - AREA A

/ DESIGN PREVIEW & REVIEW for LHSACC - PRIORITY 2
IMAGES – VIEW A
PROPOSED

EXISTING

/ DESIGN PREVIEW & REVIEW for LHSACC - PRIORITY 2
SITE PLAN – ZONE C

VIEW C

LIMITS OF CONSTRUCTION

KEY PLAN
IMAGES - VIEW C

PROPOSED

Whittemore Hall
Hancock Hall
Cowgill Hall
Bishop-Favrao Hall

EXISTING

/ DESIGN PREVIEW & REVIEW for LHSACC - PRIORITY 2
RECOMMENDATION

That the Design Preview & Review 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 second priority of three high priority accessibility initiatives identified by the university in the Life, Health, Safety, Accessibility & 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 in the working drawings phase with construction anticipated to begin late fall of 2023 and to attain substantial completion late fall of 2024. The university received total project funding of $10.4 million in Life, Health, Safety, Accessibility & Compliance funds from the state for three priority projects, $3.9 million of which will be applied to the second priority project.
Title of Project:
Life, Health, Safety, Accessibility & Code Compliance – Priority 2

Location:
The project is sited within the North Academic District, on an existing primary pedestrian route that connects the Drillfield to a transportation intensive portion of the district. This route connects Drillfield Drive to Perry Street and intersects with the first priority project adjacent to Cowgill Hall and Johnston Student Center, as well as a future Green Link project adjacent to Mitchell Hall and Hancock Hall, creating a network of intuitive accessible routes serving the academic enterprise.

Current Project Status and Schedule:
The project will be delivered under design-bid-build procurement and is currently in the working drawings phase. Construction is anticipated to begin late fall of 2023 with substantial completion anticipated late fall of 2024.

Project Description:
The project will revise a currently non-accessible pedestrian route between Drillfield Drive and Perry Street which begins to the east of Burruss Hall and directly connects Burruss Hall, Pamplin Hall, Johnston Student Center, Derring Hall, Cowgill Hall, Bishop-Favrao Hall, Hancock Hall, and Whittemore Hall with the Perry Street Garage and the Multi-Modal Transit Facility. The future Mitchell Hall project will intersect this route to further extend the accessible route network providing additional benefits.

The route was identified as a Green Link in Beyond Boundaries 2047: the Campus Plan and the subsequent planning document the Green Links Concept Design & Design Guidelines and significantly advances 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 and wind protection along these lengthy routes while traversing the challenging 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 second priority of three high priority accessibility initiatives
identified by the university in the Life, Health, Safety, Accessibility & 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 toward resolving the lack of accessible routes in this area of campus.

**Contextual Issues and Design Intent:**
The Northern 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.

Alternative accessible routes through this area of campus are circuitous, lengthy and difficult to locate and navigate. This project is the second 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 & 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, $3.9 million of which will be applied to the second priority project.

**Architect/Engineer:**
Sasaki

**Contractor:**
TBD
DESIGN REVIEW
for MITCHELL HALL

LIZA MORRIS
ASSISTANT VICE PRESIDENT FOR PLANNING AND UNIVERSITY ARCHITECT

August 29, 2023
SITE

Virginia Tech
Blacksburg, VA

SCOPE
285,500 GSF

CONSTRUCTION
MANAGER AT
RISK

DELIVERY
METHOD

TOTAL PROJECT
BUDGET
$292,000,000

DESIGN PHASE
WORKING
DRAWINGS

ESTIMATED
CONSTRUCTION
START
WINTER 2023

ESTIMATED
CONSTRUCTION
COMPLETION
SUMMER 2027
PROJECT MILESTONES

PRE-AUTHORIZATION

6-YEAR CAPITAL PLAN

✓

PROJECT APPROVAL

✓

BUDGET REQUEST

✓

POST-AUTHORIZATION

DESIGN PREVIEW

✓

SCHEMATIC DESIGN

✓

PRELIMINARY DESIGN

✓

WORKING DRAWINGS

CONSTRUCTION

OCCUPANCY

✓✓✓
EXISTING CONDITIONS

VIEW - NORTH

VIEW - WEST

/ DESIGN REVIEW for MITCHELL HALL
EXTERIOR RENDERING
VIEW - WEST

Double height entry
Frith Lab viewing area
Heraldry opportunity
EXTERIOR RENDERING

VIEW - SOUTH

Metal panel system

Hokie Stone

Metal panel system at wind tunnel enclosure

Double height project bays

Hancock Hall

Project Yard

Loading Dock

DESIGN REVIEW for MITCHELL HALL
FLOOR PLANS

/ DESIGN REVIEW for MITCHELL HALL
EXISTING CONDITIONS

VIEW - SOUTH

Hancock Hall
Randolph Hall
**EXTERIOR RENDERING – HANCOCK HALL**

**VIEW - SOUTH**

- New Hokie Stone exterior east wall
- Existing precast concrete exterior
- Glazing system with precast surrounds
- Green Link Overlook plaza
- Existing electrical equipment vault
- Hancock Hall
- Mitchell Hall

/ DESIGN REVIEW for MITCHELL HALL / 14
Green Link Overlook plaza

New east wall and enclosure

Existing Hancock Hall

Space Type Legend
- New Team Collaboration Spaces - Open
- New General Building Support
- Existing Hancock (Not in Scope)
That the Design Review graphics be approved, and authorization be provided to continue with the project design consistent with the drawings shown.
Virginia Tech’s top ranked College of Engineering has grown 68 percent since the fall of 2006. As of 2022-2023 the number of Bachelors, Masters and Doctorate represents 39 percent degree production at the institution. To address this growth and aging facilities, as well as accommodate changing pedagogies, a new Mitchell Hall facility will replace undersized and outdated Randolph Hall with a state-of-the-art engineering hub. The facility will primarily house Aerospace and Ocean Engineering, Mechanical Engineering, and Engineering Education departments; it will provide project space for student teams, supporting national team-based research and development competitions. The project also provides student collaboration and general assignment classroom spaces serving the entire campus community.

The project received $11 million of authorization for design funding in the 2020 Acts of Assembly, full project funding in the 2022 Acts of Assembly with a total budget of $292 million, and is in the working drawing phase. Construction activities are anticipated to begin in the winter of 2023 with substantial completion planned for the summer of 2027.
**Title of Project:**
Mitchell Hall

**Location:**
Located in the North Academic District, the project encompasses the existing Randolph Hall site and a portion of Hancock Hall, fronts Turner Way pedestrian mall to the south, Lavery Hall to the east, and Whittemore Hall to the north. The project will share a new accessible Green Link with Hancock Hall.

**Current Project Status and Schedule:**
The project will be delivered under construction manager at risk method of construction delivery and is currently in the working design phase. Construction activities are anticipated to begin the winter of 2023 with substantial completion planned for summer of 2027.

**Project Description:**
Totaling approximately 285,500 gross square feet, the new facility will add substantial square footage to the College of Engineering’s portfolio within the core of campus. The project accommodates the demolition of existing Randolph Hall and partial demolition of Hancock Hall.

The existing Stability Wind Tunnel, one of the largest university-owned wind tunnels in the country, located to the east of the building, will remain and be enclosed with the new facility.

**Brief Program Description:**
To address the College of Engineering’s significant growth, this project will replace the aging, outdated and undersized Randolph Hall with a new state of the art engineering hub. The facility will primarily house Aerospace and Ocean Engineering, Mechanical Engineering, and Engineering Education departments; it will provide additional project space for student team-based research projects, including supporting national team-based research and development competitions.

Supporting the College’s innovative pedagogies, the undergraduate Frith Lab will receive a much needed increase in space and will be visible from the interior and exterior of the facility. Other key improvements include double height, highly visible spaces such as the advanced manufacturing spine. Student collaboration and
general assignment classroom spaces are located throughout the facility, intended to serve the entire campus community, including a 200-person innovative in-the-round classroom.

**Contextual Issues and Design Intent:**
Project plans are consistent with the adopted *Beyond Boundaries 2047, The Campus Plan* and include demolition of the existing brick, international style Randolph Hall and a precast concrete portion of Hancock Hall. An electrical vault beneath the demolished portion of Hancock Hall will remain and be incorporated beneath a site plaza feature.

Proposed architecture is consistent with the *Campus Design Principles*, including Hokie Stone clad exteriors rendered in collegiate gothic with precast details and select glazing systems. Metal panel systems clad the penthouse, 5th floor elevations, and the wind tunnel surround.

The proposed facility maximizes the existing site while meeting the objectives of the master plan, including the provision of a new accessible Green Link between Mitchell Hall and modified Hancock Hall which connects Turner Way with the Barger Street elevation of campus.

**Funding:**
The total project budget is $292 million including $264.2 million of General Fund and $27.8 million of nongeneral fund.

**Architect/Engineer:**
Perkins + Will Inc.

**Contractor:**
Skanska
The Committee Chair will discuss future agenda items and make closing remarks.
Open Session Agenda

COMPLIANCE, AUDIT, AND RISK COMMITTEE

Fralin Biomedical Research Institute, Room G102 A/B
August 28, 2023
9:15 am

Agenda Item | Reporting Responsibility
---|---
1. Welcome and Introductory Remarks | Committee Chair
2. Consent Agenda | Committee Chair
   a. Minutes from the June 5, 2023 Meeting
   b. Update of Responses to Open Internal Audit Comments
   c. Audit Plan Status Report
   d. Internal Audit Reports
      i. College of Natural Resources and Environment
      ii. Housing Services
      iii. SBIR/STTR Grant Compliance
      iv. University Scholarships and Financial Aid
   e. Status Update on the Audit of the University’s Financial Statements
   f. Legislative Update
# 3. Enrollment Management Landscape | Luisa Havens-Gerardo
4. Notice Pursuant to General Assembly’s Animal Research Legislation | Suzanne Griffin
   Kay Heidbreder
5. Internal Audit Reports | Justin Noble
   a. Data Analytics: Administrative Operations
   b. Data Analytics: HokieMart Segregation of Duties
   c. Data Analytics: Procurement Card Transaction Review
   d. Human Resources: Employee Administration
<table>
<thead>
<tr>
<th>Agenda Item</th>
<th>Reporting Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>6. OARC Annual Report</td>
<td>Sharon Kurek</td>
</tr>
<tr>
<td>7. Discussion of Future Topics</td>
<td>Committee Chair</td>
</tr>
</tbody>
</table>

# Discusses Enterprise Risk Management topic(s).
Welcome and Introductory Remarks
COMPLIANCE, AUDIT, AND RISK COMMITTEE
August 28, 2023

The Chair of the Compliance, Audit, and Risk Committee will offer welcoming remarks and ask for approval of the agenda.
The Committee will consider for approval and acceptance the items listed on the Consent Agenda.

a. Approval of Minutes of the June 5, 2023 Meeting
b. Update of Responses to Open Internal Audit Comments
c. Audit Plan Status Report
d. Internal Audit Reports
   i. College of Natural Resources and Environment
   ii. Housing Services
   iii. SBIR/STTR Grant Compliance
   iv. University Scholarships and Financial Aid
e. Status Update of the Audit of the University’s Financial Statements
f. Legislative Update
Committee Minutes

COMPLIANCE, AUDIT, AND RISK COMMITTEE

June 5, 2023

Closed Session

Board Members Present: Sharon Brickhouse Martin (Chair), David Calhoun, Jeff Veatch, Tish Long (Rector), Ed Baine (Vice Rector)

Virginia Tech Personnel: Steve Capaldo, Cyril Clarke, Suzanne Griffin, Rebecca Halsey, Ryan Hamilton, Kay Heidbreder, Sharon Kurek, Ken Miller, Justin Noble, Kim O’Rourke, Timothy Sands, Amy Sebring, Dan Sui, John Talerico

1. **Motion to Begin Closed Session**: Motion to begin closed session.

2. **Research Security Assessment**: The Office of Audit, Risk, and Compliance (OARC) outsourced the scheduled internal audit of Research: Foreign Influence to IPTalons, who conducted a Research Security Assessment under attorney-client privilege. Where applicable, management will develop 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.

3. **Discussion on Legal Compliance Risk**: The Committee discussed legal and compliance risks related to an investigation.

4. **Update on Fraud, Waste, and Abuse Cases**: The Committee received an update on outstanding fraud, waste, and abuse cases.

5. **Discussion on External Audit Coordination**: The Committee discussed the university’s revised approach to ensure external audits are completed timely.

6. **READ AHEAD – Summary of IT Risk Assessment Survey Results**: The Committee received a summary of the recently submitted IT risk assessment survey results on the university’s alignment with the Center for Internet Security (CIS) Implementation Group 2 (IG2) for Systems Processing Sensitive Data, which increases the number of controls required of systems processing or storing moderate- and high-risk data.
7. **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.

8. **Motion to End Closed Session:** Motion to end closed session.

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**Open Session**

**Board Members Present:** Sharon Brickhouse Martin (Chair), David Calhoun, Jeff Veatch, Tish Long (Rector), Ed Baine (Vice Rector), Holly Drewry (A/P Faculty Rep), Serena Young (Staff Rep), Jamal Ross (Undergrad Student Rep)

**Virginia Tech Personnel:** Don Chen, Cyril Clarke, Al Cooper, Corey Earles, Ron Fricker, Guru Ghosh, Suzanne Griffin, Rebecca Halsey, Ryan Hamilton, Kay Heidbreder, Chris Kiwus, Sharon Kurek, Rachel Maizel, Elizabeth McClanahan, Scott Midkiff, Ken Miller, Justin Noble, Katie Polidoro, Zo Qazi, Carling Repass, Timothy Sands, Amy Sebring, Brennan Shepard, Oliver Shuey, Will Storey, Don Taylor, Emily Tirrell, Tracy Vosburgh, Melinda West

**Guests:** Jim Quesenberry, Megan Richard, Jonathan South

1. **Welcome and Introductory Remarks:** The chair of the Compliance, Audit, and Risk Committee provided opening remarks.

2. **Consent Agenda:** The Committee considered and approved the items listed on the Consent Agenda.

   a. **Minutes from the March 19, 2023 Meeting:** The Committee reviewed and approved the minutes of the March 19, 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 December 31, 2022, the university had 18 open recommendations. Eight audit comments were issued during the third quarter of the fiscal year. As of March 31, 2023, the university had addressed eight comments, leaving 18 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 60 percent of its audit plan, and 100 percent is underway, in accordance with the fiscal year 2022-23 annual audit plan.

d. **Internal Audit Reports:** The following internal audit reports were issued by OARC since the March 19, 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. Controller’s Office: General Accounting: The audit received an effective rating.

   ii. Endowed Chairs Fund Utilization: The audit received an effective rating.

   iii. Senior Vice President for Advancement Policy Compliance Review: The audit received a rating of improvements are recommended. Observations were noted regarding purchasing card procedures and fixed asset management.

   iv. Vice President and Executive Director of the Innovation Campus Policy Compliance Review: The audit received a rating of improvements are recommended. Observations were noted regarding wage payroll and emergency preparedness.

e. **Review and Approval of Charters:** The Office of Audit, Risk, and Compliance (OARC) submitted the Compliance, Audit, and Risk Committee Charter and the Charter for the Office of Audit, Risk, and Compliance for review and approval in accordance with professional standards. After conducting a review, OARC recommended modifications to the charters to update titles and reporting lines.

f. **Auditor of Public Accounts Intercollegiate Athletics Program Report:** The Committee received a report on the Auditor of Public Accounts (APA) Intercollegiate Athletics review for fiscal year 2022. 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, 2022 is in compliance with the National Collegiate
Athletic Association (NCAA) bylaws. Certain adjustments to the Schedule were necessary to conform to NCAA reporting guidance. Delays in receiving the Schedule and associated supporting documentation, as well as subsequent questions regarding specific items presented in the Schedule, prevented completion by the required deadline. In addition, Intercollegiate Athletics Department management continued to make adjustments and/or reclassifications after the January 15th deadline, some of which could not be corrected in the NCAA financial reporting system. The review did not constitute an audit and therefore no opinion was issued.

3. **Annual External Audit Scope Discussion with the Auditor of Public Accounts:** The Committee met with the APA for a discussion of the scope of the audit of the 2022-23 financial statements and the APA’s plans for conducting and completing the audit.

4. **Report on Audits of University-Related Corporations:** The Committee received an update on required 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 is in the process of being completed and the VTIREF who has not rotated the external audit firm or audit team as required by the affiliation agreement.

5. **Internal Audit Reports:** The following internal audit report was issued by OARC since the March 19, 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. **Athletics Policy Compliance Review:** The audit received a rating of significant improvements are needed. Observations were noted regarding wage payroll,
leave reporting, expenditures, fixed asset management, and state vehicle management. The committee requested that OARC review the planned review cycle and follow up activity in light of the continuing issues.

6. **Audit Plan for Fiscal Year 2023-24:** OARC presented the Audit Plan for Fiscal Year 2023-24 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 2023-24 and a core audit plan was developed in coordination with the university’s ERM initiative. For fiscal year 2023-24, 29 audit projects and four 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 2023-24:** OARC presented the Compliance Plan for Fiscal Year 2023-24 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 2023-24 focuses on priority compliance risk areas in support of Virginia Tech’s pursuit of its strategic goals. For fiscal year 2023-24, the themes of ethics and integrity will be integrated in activities and tasks building on the foundations laid in each of the seven elements of an effective compliance program. In addition, the plan includes compliance risk assessments in priority compliance risk areas.

8. **Enterprise Risk Management Update:** The Committee reviewed an update of the Enterprise Risk Management (ERM) program, including the revised enterprise risk landscape focused on the top ten risks. The revised enterprise risk landscape elevated “Geo- and Socio-Political Environment” to the top ten risks and removed “Global and National Economy”, while “Research Security” was added to the landscape. The Committee commended the university for its continuous ERM process and asked OARC to consider how best to integrate the Committee’s perspective and input on enterprise risks in a future meeting.

9. **Discussion of Future Topics:** The Committee discussed topics to be covered in future committee meetings.
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 June 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 87 percent on-schedule rate for fiscal year 2023 reflects closing 26 of 30 recommendations by the original target date.

The report presented at the June 5, 2023 meeting covered audit reports reviewed and accepted through March 31, 2023 and included 18 open medium and high priority recommendations. Activity for the quarter ending June 30, 2023 resulted in the following:

<table>
<thead>
<tr>
<th>Description</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Open recommendations as of March 31, 2023</td>
<td>18</td>
</tr>
<tr>
<td>Add: medium and high priority recommendations accepted June 5, 2023</td>
<td>4</td>
</tr>
<tr>
<td>Subtract: recommendations addressed since March 31, 2023</td>
<td>7</td>
</tr>
<tr>
<td>Remaining open recommendations as of June 30, 2023</td>
<td>15</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 August 11, 2023, OARC has closed or reduced to low priority six of the 15 remaining open medium and high priority recommendations. All 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.
## ATTACHMENT A

### Open Recommendations by Priority Level

**COMPLIANCE, AUDIT, AND RISK COMMITTEE**

**June 30, 2023**

<table>
<thead>
<tr>
<th>Report Date</th>
<th>Audit Name</th>
<th>Audit Number</th>
<th>Total Recommendations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td><strong>ISSUED</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>High</td>
</tr>
<tr>
<td>Mar 18, 2022</td>
<td>Mechanical Engineering</td>
<td>22-1586</td>
<td>3</td>
</tr>
<tr>
<td>May 20, 2022</td>
<td>Foreign Gifts and Contracts Reporting</td>
<td>22-1588</td>
<td>5</td>
</tr>
<tr>
<td>Oct 31, 2022</td>
<td>Virginia Tech Police Department</td>
<td>22-1587</td>
<td>3</td>
</tr>
<tr>
<td>Feb 28, 2023</td>
<td>IT: Advanced Research Computing</td>
<td>23-1638</td>
<td>1</td>
</tr>
<tr>
<td>Feb 28, 2023</td>
<td>College of Engineering</td>
<td>23-1651</td>
<td>1</td>
</tr>
<tr>
<td>Mar 03, 2023</td>
<td>Licensing and Trademarks</td>
<td>23-1641</td>
<td>1</td>
</tr>
<tr>
<td>May 16, 2023</td>
<td>Vice President and Executive Director of the Innovation Campus</td>
<td>23-1653</td>
<td>1</td>
</tr>
<tr>
<td>May 19, 2023</td>
<td>Athletics</td>
<td>23-1650</td>
<td>3</td>
</tr>
<tr>
<td><strong>Totals:</strong></td>
<td></td>
<td></td>
<td>18</td>
</tr>
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</table>

*Presentation Date: August 28, 2023*
<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 18, 2022</td>
<td>1</td>
<td>22-1586</td>
<td>Mechanical Engineering</td>
<td>Administrative Privileges</td>
<td>Medium</td>
<td>Feb 01, 2023</td>
<td>1</td>
<td></td>
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<tr>
<td>Mar 18, 2022</td>
<td>2</td>
<td>22-1586</td>
<td>Mechanical Engineering</td>
<td>Patch Management</td>
<td>Medium</td>
<td>Feb 01, 2023</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>May 20, 2022</td>
<td>3</td>
<td>22-1588</td>
<td>Foreign Gifts and Contracts Reporting</td>
<td>Completeness of Reporting</td>
<td>High</td>
<td>Jul 01, 2023</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>May 20, 2022</td>
<td>4</td>
<td>22-1588</td>
<td>Foreign Gifts and Contracts Reporting</td>
<td>Determination of Source</td>
<td>High</td>
<td>Jul 01, 2023</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>May 20, 2022</td>
<td>5</td>
<td>22-1588</td>
<td>Foreign Gifts and Contracts Reporting</td>
<td>Foreign Contract Reporting</td>
<td>High</td>
<td>Jul 01, 2023</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>May 20, 2022</td>
<td>6</td>
<td>22-1588</td>
<td>Foreign Gifts and Contracts Reporting</td>
<td>Formal Policy and Procedures</td>
<td>High</td>
<td>Jul 01, 2023</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>May 20, 2022</td>
<td>7</td>
<td>22-1588</td>
<td>Foreign Gifts and Contracts Reporting</td>
<td>System of Record</td>
<td>Medium</td>
<td>Jul 01, 2023</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>May 16, 2023</td>
<td>8</td>
<td>23-1653</td>
<td>Vice President and Executive Director of the Innovation Campus</td>
<td>Wage Payroll</td>
<td>Medium</td>
<td>Aug 01, 2023</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Oct 31, 2022</td>
<td>9</td>
<td>22-1587</td>
<td>Virginia Tech Police Department</td>
<td>Automated External Defibrillators</td>
<td>High</td>
<td>Sep 01, 2023</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>May 19, 2023</td>
<td>10</td>
<td>23-1650</td>
<td>Athletics</td>
<td>State Vehicle Management</td>
<td>Medium</td>
<td>Oct 31, 2023</td>
<td>3</td>
<td></td>
</tr>
</tbody>
</table>
### ATTACHMENT B
Open Audit Recommendations

COMPLIANCE, AUDIT, AND RISK COMMITTEE

June 30, 2023

<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>Original</th>
<th>Revised</th>
<th>Follow Up Status</th>
<th>Status of Recommendations with Revised Priority / Target Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 19, 2023</td>
<td>11</td>
<td>23-1650</td>
<td>Athletics</td>
<td>Leave Reporting</td>
<td>Medium</td>
<td>Jan 31, 2024</td>
<td></td>
<td>3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mar 03, 2023</td>
<td>13</td>
<td>23-1641</td>
<td>Licensing and Trademarks</td>
<td>Monitoring Royalty Payments</td>
<td>Medium</td>
<td>Apr 01, 2024</td>
<td></td>
<td>3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>May 19, 2023</td>
<td>14</td>
<td>23-1650</td>
<td>Athletics</td>
<td>Fixed Asset Management</td>
<td>High</td>
<td>Jun 30, 2024</td>
<td></td>
<td>3</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Feb 28, 2023</td>
<td>15</td>
<td>23-1651</td>
<td>College of Engineering</td>
<td>Information Technology</td>
<td>Medium</td>
<td>Jun 30, 2024</td>
<td></td>
<td>3</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Follow Up Status**

1. Management confirmed during follow up discussions with OARC that the original target date will not be met, and an extension has been granted. OARC will conduct testing after the revised due date to confirm that the Management Action Plan is implemented in accordance with the recommendations.

2. 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.

3. 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

June 30, 2023

Seven Year Trend of Recommendations Closed - On Schedule

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>% Closed - Extended</th>
<th>% Closed - On Schedule</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY2017</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>FY2018</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>FY2019</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>FY2020</td>
<td>100%</td>
<td></td>
</tr>
<tr>
<td>FY2021</td>
<td>95%</td>
<td>5%</td>
</tr>
<tr>
<td>FY2022</td>
<td>76%</td>
<td>24%</td>
</tr>
<tr>
<td>FY2023</td>
<td>87%</td>
<td>6%</td>
</tr>
</tbody>
</table>
Audit Plan Status Report

COMPLIANCE, AUDIT, AND RISK COMMITTEE

August 28, 2023

Audit Plan Update

Audits were performed in accordance with the fiscal year 2022-23 annual audit plan at a level consistent with the resources of the Office of Audit, Risk, and Compliance (OARC). Since the June board meeting ten planned projects have been completed, including eight risk-based audits and two advisory engagements.

Four projects are currently underway, including:

- Three risk-based projects: Data Analytics: Leave and Time Reporting, Gramm-Leach-Bliley Act Compliance, and VT Electric Service.
- One advisory service project: Athletics Media Rights.

In fiscal year 2022-23, OARC has completed 89 percent of its audit plan as depicted below.

**FY 2022-23 Completion of Audit Plan**

<table>
<thead>
<tr>
<th>Audits</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total # of Audits Planned</td>
<td>38</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>10</td>
</tr>
<tr>
<td>Total Audits in Plan as Amended</td>
<td>35</td>
</tr>
<tr>
<td>Total Audits Completed</td>
<td>31</td>
</tr>
<tr>
<td><strong>Audits - Percentage Complete</strong></td>
<td>89%</td>
</tr>
<tr>
<td><strong>Audits - Percentage Complete or Underway</strong></td>
<td>100%</td>
</tr>
</tbody>
</table>
Background

This report provides a summary of audit ratings issued this period and the full rating system definitions. The following reviews have been completed during this reporting period. The Office of Audit, Risk, and Compliance has made a concerted effort to ensure progress on the annual audit plan.

<table>
<thead>
<tr>
<th>Consent Agenda Reports</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>College of Natural Resources and Environment</td>
<td>Improvements are Recommended</td>
</tr>
<tr>
<td>Housing Services</td>
<td>Effective</td>
</tr>
<tr>
<td>SBIR/STTR Grant Compliance</td>
<td>Effective</td>
</tr>
<tr>
<td>University Scholarships and Financial Aid</td>
<td>Effective</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Report for Discussion</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Analytics: Administrative Operations</td>
<td>Effective</td>
</tr>
<tr>
<td>Data Analytics: HokieMart Segregation of Duties</td>
<td>Effective</td>
</tr>
<tr>
<td>Data Analytics: Procurement Card Transaction Review</td>
<td>Effective</td>
</tr>
<tr>
<td>Human Resources: Employee Administration</td>
<td>Significant Improvements are Needed</td>
</tr>
</tbody>
</table>

Summary of Audit 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.

August 28, 2023
The Auditor of Public Accounts (APA) began the audit of the university's financial statements for fiscal year 2022-23 with the entrance conference on May 4, 2023. The APA is currently in the initial stage of the audit where they review transactions and test internal controls over the university’s financial processes. Through early July 2022, the audit seems to be progressing as planned, and the APA has not provided any audit comments or recommendations for improvements. At this time, we are not aware of any issues that would prevent the successful completion of the fiscal year 2022-23 audit by the targeted deadline of early November 2023.
2023 Legislative Update

COMPLIANCE, AUDIT, AND RISK COMMITTEE

August 11, 2023

**HB 1403** Higher educational institutions, certain public; provision of university housing at no cost, etc. – (This is already law via the Appropriations Act.)

*Anne Ferrell Tata*

Certain public institutions of higher education; provision of university housing at no cost to certain students during scheduled intersessions. Requires any public institution of higher education that maintains and operates university housing during scheduled intersessions to provide access to such housing at no cost to any student who is eligible for a certain tuition and fee grant based on his placement in foster care at age 18 and satisfaction of several other enumerated criteria, provided that the student (i) is a registered student for the immediately following academic term and (ii) meets the definitions and conditions of the federal McKinney-Vento Homeless Assistance Act, as amended.

**HB 1555/SB 1373** Institutions of higher education; human trafficking awareness and prevention training required.

*Emily M. Brewer, Jill Holtzman Vogel*

Institutions of higher education; human trafficking awareness and prevention training required. Directs the governing board of each public institution of higher education to develop and implement policies requiring a trauma-informed human trafficking awareness and prevention training program be provided to and completed by all first-year students as a part of such institution's first-year orientation program. The bill also directs the State Council of Higher Education for Virginia to encourage private institutions of higher education to develop and implement policies to provide such a human trafficking awareness and prevention training program as a part of their first-year orientation programs.

**HB 1738** Virginia Freedom of Information Act; state public bodies; meetings; virtual public access.

*Betsy B. Carr*

Provides that all state public bodies may provide public access to meetings through electronic communication means and may provide the public with the opportunity to comment at such meetings through the use of such electronic communication means when public comment is customarily received.

**HB 1844/SB 1024** Virginia Public Records Act; confidentiality of certain archived records.

*Kim A. Taylor, John J. Bell*

Virginia Public Records Act; confidentiality of certain archived records. Provides that medical and educational records made confidential by law shall remain so after being archived by the Library of Virginia.
**HB 1911/SB 1002 State and Local Government Conflict of Interests Act; certain gifts prohibited; foreign countries.**
*Amanda E. Batten, John A. Cosgrove, Jr.*
Prohibits officers and employees of state and local governments from receiving a gift with a value exceeding $100 for which the fair market value or a gift of greater or equal value has not been provided or exchanged from foreign countries of concern, defined in the bill.

**HB 1916/SB 910 Public institutions of higher education; threat assessment teams; powers and duties.**
*Amanda E. Batten, Stephen D. Newman*
Makes several changes to the powers and duties of the threat assessment team at each public institution of higher education, including requiring, upon a preliminary determination that an individual poses an articulable and significant threat of violence to others, each such team to (i) obtain any available criminal history record information and health records for such individual; (ii) notify in writing within 24 hours upon making such preliminary determination (a) the campus police department, (b) local law enforcement for the city or county in which the public institution of higher education is located, local law enforcement for the city or county in which the individual resides, and, if known to the threat assessment team, local law enforcement for the city or county in which the individual is located, and (c) the local attorney for the Commonwealth in any jurisdiction where the threat assessment team has notified local law enforcement; and (iii) disclose any specific threat of violence posed by the individual as part of such notification, and permitting each such team to invite nonmember representatives from campus to participate in individual cases.

**HB 2007 Virginia Freedom of Information Act; posting of fee policy.**
*Danica A. Roem*
Virginia Freedom of Information Act; posting of fee policy. Requires a public body to make available upon request and post on its website or otherwise publish a written policy (i) explaining how the public body assesses charges for accessing or searching for requested records and (ii) noting the current fee charged, if any, by the public body for accessing and searching for the requested records.

**HB 2133 State Fire Marshal; authority.**
*Tony O. Wilt*
State Fire Marshal; authority. Clarifies that the State Fire Marshal, or his designee, is the authority having jurisdiction over state-owned buildings, properties, or structures for purposes of fire safety and fire prevention in accordance with the Virginia Statewide Fire Prevention Code.

**HB 2348/SB 1271 Animal testing facilities; public notification.**
*Michael J. Webert, Jennifer B. Boysko*
Requires an animal testing facility, as defined in the bill, to make certain inspection reports publicly available by displaying a link to access such reports on the home page or landing page of the animal testing facility’s website or, if such animal testing facility does not have a website, making such information available by means of a press release or other similar publication. The bill requires any animal testing facility operated by an institution of higher
education that receives a citation for critical noncompliance, as defined in the bill, under the Animal Welfare Act or regulations adopted thereunder, to notify the leadership of such institution including the president, dean, and board of visitors or board of trustees. The provisions of the bill do not apply to any federal facility or privately owned licensed veterinary practice.

HB 2393 Coastal resilience policy; research university collaborative.
M Keith Hodges
Authorizes the Secretary of Natural and Historic Resources and all relevant agencies, when setting coastal resilience policies, to seek input and consultation from any of the Commonwealth's research university collaboratives, including the Virginia Coastal Policy Center, Virginia Sea Grant, Virginia Cooperative Extension, and Institute for Coastal Adaptation and Resilience. The bill permits the Secretary and all relevant agencies to utilize such research university collaborative’s expertise, research, and data analysis for the implementation of water management techniques and coastal resilience strategies.

SB 1280 Public institutions of higher education; degree programs; integration of internship or work-based learning experiences; policies.
Siobhan S. Dunnavant
Directs the governing board of each public institution of higher education to develop policies requiring three of the total credit hours required for the completion of a bachelor's degree to be earned through participation in an internship or work-based learning experience that is integrated into a student’s degree program so as not to extend the time to complete the degree. The bill also directs the State Council of Higher Education for Virginia (SCHEV) to convene a work group to make recommendations on the development and implementation of the policies required pursuant to the bill and directs SCHEV to recommend an effective date for the implementation of such policies. The bill requires the work group to submit its recommendations to the Chairmen of the House Committee on Education and the Senate Committee on Education and Health by November 1, 2024.

SB 1459 Administration of state government; prohibited applications and websites.
Ryan T. McDougle
Prohibits any employee or agent of any public body or person or entity contracting with any such public body from downloading or using any application, including TikTok or WeChat, or accessing any website developed by ByteDance Ltd. or Tencent Holdings Ltd. (i) on any government-issued device or government-owned or government-leased equipment, including mobile phones, desktop computers, laptop computers, tablets, or other devices capable of connecting to the Internet, or (ii) while connected to any wired or wireless Internet network owned, operated, or maintained by the Commonwealth.
Enrollment Management

- the strategic planning and implementation of various initiatives and practices to identify, recruit, admit, enroll, retain and support students to graduation in higher education institutions

- a range of functions such as marketing, data analytics, admissions, financial aid, student support services, and retention efforts
Enterprise Risk Landscape

June 2023

ACADEMIC
- Faculty & Staff Recruitment & Retention
- Enrollment Management
- Evolving Pedagogy & Delivery
- Global Engagement

CAMPUS CULTURE AND CLIMATE
- Student Wellness & Experience
- Athletics
- Diversity, Equity, & Inclusion
- Gender Based Violence & Harassment

EXTERNAL ENVIRONMENT
- Geo- and Socio-Political Environment

FINANCIAL
- Access & Affordability
- Resource Management
- Federal & State Funds
- Advancement

RESEARCH
- Competitive Growth
- Integrity & Conflicts of Interest
- Research Compliance
- Research Security

UNIVERSITY OPERATIONS
- IT Security
- Health Safety & Security
- Operational Infrastructure
- Facilities
- Leadership & Governance
- Expanding Geographic Footprint

Intersection with Enrollment Management

Maroon border = Top 10 Risk

REPUTATIONAL / COMPLIANCE
Why is enrollment management considered an enterprise risk?
Financial Risk: Enrollment directly affects the financial health of educational institutions

Reputational Risk: The success and reputation of an educational institution are closely tied to its ability to attract, retain and graduate students
ENROLLMENT MANAGEMENT
AS ENTERPRISE RISK

**Operational Risk:**
Managing enrollment involves coordinating various operational aspects such as admissions processes, class scheduling, student support services, and financial aid processing and awarding.

**Compliance/Regulatory Risk:**
Educational institutions are subject to various compliance and regulatory requirements related to admissions, financial aid, student privacy, and federal and state reporting.
Managing enrollment involves coordinating various operational aspects such as admissions processes, class scheduling, student support services, and financial aid processing and awarding.
Demographic and Market Data

Projected Percent Change

Percent Change, Class of 2019 to 2024

Projected Percent Change

Percent Change, Class of 2019 to 2029

Projected Percent Change

Percent Change, Class of 2019 to 2034

Source: https://knocking.wiche.edu/dashboards/trends-across-states/
Demographic and Market Data

Source: https://knocking.wiche.edu/dashboards/trends-across-states/
Examples of risk mitigation strategies implemented by enrollment management
Diversify Recruitment Efforts:
- Leveraging multiple channels
- Optimizing our pool of prospects by using a data-informed approach to reach a wider pool of students both nationally and internationally
- Creating and implementing a data-informed recruitment territory management strategy with three distinct goals: maintenance, expansion and exploration

Enrollment Analytics:
- Utilizing data analysis and forecasting techniques to monitor enrollment trends and anticipate potential risks
Financial Aid Optimization:
• Developing effective financial aid strategies to support students and their success is a major tool in developing sustainable enrollment management strategies

Student Retention Programs:
• Implementing comprehensive student support and retention programs to increase student satisfaction and persistence ensures the most efficient approach to optimizing enrollments
Continuous Evaluation and Improvement:
• EM regularly evaluates enrollment management processes and outcomes to identify areas for improvement

Market Research and Competitor Analysis:
• EM stays informed about market dynamics and monitor competitor activities to understand the preferences, needs, and expectations of prospective students
Questions?
TO: Timothy D. Sands, President
    M. Daniel Givens, Dean of Virginia-Maryland College of Veterinary Medicine
    Virginia Tech Board of Visitors, Chair of Compliance, Audit, and Risk Committee

FROM: Daniel Sui, Senior Vice President and Chief Research and Innovation Officer
      Virginia Tech Institutional Official

DATE: August 8, 2023

SUBJECT: Notice pursuant to General Assembly's Animal Research Legislation

Pursuant to Va. Code Ann. § 3.2-6593.2.D (2023), effective July 1, 2023, an institution of higher education in the Commonwealth that receives a citation for critical noncompliance under the federal Animal Welfare Act shall notify the institution's leadership including the president, dean, and board of visitors.

Accordingly, please be advised that a citation for critical noncompliance under the Animal Welfare Act was issued to Virginia Tech on July 6, 2023 by the U.S. Department of Agriculture Animal and Plant Health Inspection Service.

Attached please find (1) a copy of the citation and (2) a copy of the response submitted by the university.

For your information, Va. Code Ann. § 3.2-6593.2. also requires that any animal testing facility make inspection reports publicly available within 30 days of receiving an inspection report. The university displayed a link to access the July 6, 2023 inspection report on its website on August 1, 2023.

C: Cyril Clarke, Executive Vice President and Provost
    Kay Heidbreder, University Legal Counsel
    Sharon M. Kurek, Vice President for Audit, Risk, and Compliance and Chief Risk Officer
    Kim O'Rourke, Vice President for Policy and Governance
2.32(b) Critical

Personnel qualifications.

Inadequate training of animal husbandry staff regarding monitoring the health of gerbils led to three gerbils dying and two gerbils becoming ill and requiring supportive care. A total of 28 gerbils arrived on site March 28, 2023 and were weighed and evaluated by a clinical veterinarian. All gerbils appeared healthy upon arrival. During their acclimation period, husbandry staff were responsible for daily observations of each animal to ensure they were healthy. On April 4, 2023, research staff came in to perform initial weights for the study and found one female and one male gerbil dead in their cages. One male gerbil was severely ill and immediately euthanized, and two female gerbils required immediate supportive care and ultimately recovered. The following day, all husbandry staff underwent extensive training on April 5, 2023 which addressed daily monitoring and clinical signs of disease to look for in gerbils. The IACUC investigation into this adverse event concluded that prior to the adverse event, the husbandry staff were inadequately trained to recognize abnormal behaviors and health in gerbils. Additionally, not all husbandry staff that provided care during this time frame had received hands-on training for this species.

Appropriate training of all personnel responsible for the husbandry and health of a species is critical to ensure that daily observations are performed adequately and can recognize signs of distress or disease in animals quickly to implement interventions.

Correct by July 7, 2023 by ensuring that adequate training and instruction is made available and that the qualifications of personnel are reviewed with sufficient frequency to maintain adequate animal welfare and ensure compliance with sections 2.31 and 2.32 of the Animal Welfare Act.

This inspection and exit interview were conducted with multiple facility representatives.

Additional Inspectors:

Kristina D’Apice, VETERINARY MEDICAL OFFICER
<table>
<thead>
<tr>
<th>Count</th>
<th>Scientific Name</th>
<th>Common Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>000000</td>
<td>Meriones unguiculatus</td>
<td>MONGOLIAN GERBIL</td>
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<tr>
<td>000029</td>
<td>Equus caballus</td>
<td>DOMESTIC HORSE</td>
</tr>
<tr>
<td>000041</td>
<td>Sus scrofa domestica</td>
<td>DOMESTIC PIG / POTBELLY PIG / MICRO PIG</td>
</tr>
<tr>
<td>000048</td>
<td>Cavia porcellus</td>
<td>DOMESTIC GUINEA PIG</td>
</tr>
<tr>
<td>000004</td>
<td>Mesocricetus auratus</td>
<td>SYRIAN / GOLDEN HAMSTER</td>
</tr>
<tr>
<td>000122</td>
<td>Total</td>
<td></td>
</tr>
</tbody>
</table>
July 7, 2023

Robert M. Gibbens, D.V.M.
Animal Care
Animal and Plant Health Inspection Service
U.S. Department of Agriculture
2150 Centre Avenue, Building B, Mailstop
#3W11 Fort Collins, CO 80526-8117

RE: Corrective actions

Dear Dr. Gibbens,

During the recent USDA-APHIS-AC inspection held at Virginia Tech (Virginia Polytechnic Institute & State University, Registration# 52-R-0012, Customer# 492) on July 5-6, 2023, the VMOs, Drs. Perez-Baum and D’Apice, cited our institution for the following issue in the inspection report (dated July 5, 2023):

2.32(b) Critical

Personnel qualifications.

Inadequate training of animal husbandry staff regarding monitoring the health of gerbils led to three gerbils dying and two gerbils becoming ill and requiring supportive care. A total of 28 gerbils arrived on site March 28, 2023 and were weighed and evaluated by a clinical veterinarian. All gerbils appeared healthy upon arrival. During their acclimation period, husbandry staff were responsible for daily observations of each animal to ensure they were healthy. On April 4, 2023, research staff came in to perform initial weights for the study and found one female and one male gerbil dead in their cages. One male gerbil was severely ill and immediately euthanized, and two female gerbils required immediate supportive care and ultimately recovered. The following day, all husbandry staff underwent extensive training on April 5, 2023 which addressed daily monitoring and clinical signs of disease to look for in gerbils. The IACUC investigation into this adverse event concluded that prior to the adverse event, the husbandry staff were inadequately trained to recognize abnormal behaviors and health in gerbils. Additionally, not all husbandry staff that provided care during this time frame had received hands-on training for this species.

Appropriate training of all personnel responsible for the husbandry and health of a species is critical to ensure that daily observations are performed adequately and can recognize signs of distress or disease in animals quickly to implement interventions.
Correct by July 7, 2023 by ensuring that adequate training and instruction is made available and that the qualifications of personnel are reviewed with sufficient frequency to maintain adequate animal welfare and ensure compliance with sections 2.31 and 2.32 of the Animal Welfare Act.

Corrective measures instituted:

ARCD management has been developing an enhanced training program with a rolling implementation for USDA regulated species. The enhanced training program consists of the development of guidance document training forms called DOPS (Direct Observation of Procedures and Skills), that act as reference documents for approved ARCD trainers on topics that must be covered to show a trainee is versed in that particular topic. DOPS are harmonized across the Animal Care and Resources Division, and upon completion of the enhanced training, trainee documentation is completed through the ARCD staff training form.

Since May 2023, retraining under the enhanced training program, including husbandry, health, behavior and handling, has been completed and documented for ARCD staff in two species. Implementation of the enhanced training for additional species is in the process of being scheduled.

Extensive hands-on retraining of ARCD personnel on the daily observation for normal activity, behavior, health and well-being was provided on April 5, 2023 as stated in the inspection report dated July 5, 2023. Gerbils are intermittently housed at Virginia Tech. Gerbil training using the DOPS process will be implemented with the next delivery and include

1. Supervisor scheduling and performing the husbandry training the day gerbils arrive;
2. Supervisor scheduling the veterinarian to perform the health/behavior/handling training; and
3. Veterinarian performing the health/behavior/handling training, the day gerbils arrive.

Virginia Tech is committed to protecting the welfare of animals, we appreciate the opportunity to correct this citation and respectfully request the correspondence is documented in our record.

If you have any questions, please do not hesitate to contact me.

Sincerely,

Daniel Sui, Ph.D.
Senior Vice President for Research & Innovation
Virginia Tech Institutional Official
Background

This report provides a summary of audit ratings issued this period and the full rating system definitions. The following reviews have been completed during this reporting period. The Office of Audit, Risk, and Compliance has made a concerted effort to ensure progress on the annual audit plan.

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<thead>
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<th>Rating</th>
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<td>College of Natural Resources and Environment</td>
<td>Improvements are Recommended</td>
</tr>
<tr>
<td>Housing Services</td>
<td>Effective</td>
</tr>
<tr>
<td>SBIR/STTR Grant Compliance</td>
<td>Effective</td>
</tr>
<tr>
<td>University Scholarships and Financial Aid</td>
<td>Effective</td>
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</table>

<table>
<thead>
<tr>
<th>Report for Discussion</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Analytics: Administrative Operations</td>
<td>Effective</td>
</tr>
<tr>
<td>Data Analytics: HokieMart Segregation of Duties</td>
<td>Effective</td>
</tr>
<tr>
<td>Data Analytics: Procurement Card Transaction Review</td>
<td>Effective</td>
</tr>
<tr>
<td>Human Resources: Employee Administration</td>
<td>Significant Improvements are Needed</td>
</tr>
</tbody>
</table>

Summary of Audit 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.

August 28, 2023
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A Year of Progress and Alignment

The Office of Audit, Risk, and Compliance has been engaged in a comprehensive process with the Board of Visitors and university leadership to evaluate the future of the office and its charge, following up on recommendations from an independent Quality Assessment Review (QAR) in fall 2021. Fiscal year 2022-23 was marked with action towards realizing these recommendations in each of the office’s functional areas and further integrating them to provide a holistic approach to risk management. OARC welcomed the first University Compliance Officer (UCO), Suzanne Griffin, in September 2022. Upon a successful onboarding and integration of the UCO into the institutional culture, OARC celebrated the elevation and further articulation of the office functions with the promotion of Sharon Kurek to Vice President for Audit, Risk, and Compliance and Chief Risk Officer, Justin Noble to Chief Audit Executive, and Suzanne Griffin to Chief Compliance Officer. Ensuring that the audit, risk, and compliance functions have a seat at the table will launch OARC into fiscal year 2023-24 on an upward trajectory, continuing to help Virginia Tech effectively manage and mitigate its extensive risk profile.

Mission Statement

The Office of Audit, Risk, and Compliance (OARC) performs comprehensive assurance services through independent internal audits, advisory activities, the university risk management process, and the institutional compliance program. OARC helps the university accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes. OARC’s mission is to enhance and protect organizational value by providing risk-based and objective assurance, advice, and insight as follows:

1. **Audit:** Provide independent, objective assurance and advisory activities designed to add value and improve university operations.

2. **Enterprise Risk Management:** Provide oversight of the enterprise risk management (ERM) program by identifying, assessing, and managing risk by working with risk owners within the ERM process.

3. **Compliance:** Provide 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.

**Protected & Connected**

OARC protects the university by independently and objectively identifying business risks and connects with key leaders and stakeholders to evaluate risk-mitigation strategies.
State of Control Environment

The university’s assurance functions within OARC continues to be a significant element of the university’s overall control structure and a positive influence on the control environment. During fiscal year 2022-23, OARC examined and tested the operations and systems of internal control within a number of university departments to assist management and the Board of Visitors in the discharge of their fiduciary responsibilities.

As a result of the audit, advisory, investigative, and compliance work performed, no deficiencies representing significant control weaknesses were identified; however, a number of other areas requiring improvement were noted. The scope of audit work was not limited in any way by management or others, nor were there any instances where OARC considered its independence or objectivity to have been impaired. Management and others were found to be conscientious, cognizant, and accepting of their responsibility for internal control as well as open, cooperative, and supportive of audit efforts.

Management has generally accepted audit issues and responded by developing action plans to address the concerns noted. These statements are made with the understanding that no system of internal control provides absolute assurance that controls are functioning effectively. These statements are also not meant to imply that fraud and other irregularities do not exist or, if they do exist, are certain to be detected. Decisions as to the level of risk that is tolerable and should be accepted by the university are the responsibility of management. That said, based on the audit, advisory, investigative, and compliance work performed, OARC did not identify any areas where management decided to accept a level of risk that we believed to be unacceptable.
FY 2022-23 Highlights

Enterprise Risk Management (ERM)

- Appointed the first Chief Risk Officer in university’s history
- Refreshed the university’s enterprise risk landscape
- Updated “top ten” focus areas
- Engaged all Board of Visitor committees on ERM topics

Institutional Compliance Program (ICP)

- Successfully onboarded inaugural university compliance officer
- Increased engagement with campus-wide compliance owners
- Refreshed messaging for Hokie Hotline

Internal Audit

- 89% of audit plan completed (31 engagements)
- 21 fraud, waste, or abuse cases initiated
- 4.6 out of 5 (92%) on client satisfaction surveys
- 58 management action plans closed

Staffing and Resources

During the fiscal year, we successfully onboarded two new staff auditors, two graduate assistants, two undergraduate student wage employees, and the inaugural university compliance officer, as well as promoted two of our own employees for exemplary work and acquisition of professional licenses. The office also celebrated the elevation and reorganization of the office leadership, with the promotion of Sharon Kurek to Vice President for Audit, Risk, and Compliance and Chief Risk Officer, Justin Noble to Chief Audit Executive, and Suzanne Griffin to Chief Compliance Officer. The office recently completed a search for staff/senior auditor and will be welcoming one new staff auditor as well as transitioning a Staff IT auditor to the open investigator role in the fall.
OARC continues its longstanding tradition of professional engagement and service. Activities this year included:

- **Association of College and University Auditors (ACUA)**
  - Sharon M. Kurek served as the ACUA liaison to University Risk Management and Insurance Association (URMIA),
  - Justin T. Noble served on the NCAA Task Force, as the ACUA liaison to National Association of College and University Business Officers (NACUBO), and was a speaker at ACUA Audit Interactive and AuditCon.

- **Institute for Internal Auditors Southwest Virginia Chapter**
  - Justin T. Noble served on the Board of Governors.

- Sharon M. Kurek was invited to speak at and was a facilitator at the Power5 CAE Roundtable annual meeting, and Justin T. Noble was invited to speak at Audit + Beyond.

OARC is proud of its staff and the depth of experience in the team. OARC staff has more than 156 years of combined experience in audit, risk, and compliance professions. Additionally, the staff has over 65 years of service to Virginia Tech. OARC maintains an extensive background with expertise in such high-risk areas in higher education as athletics, information technology, and research.

OARC also takes pride in the number of professional certifications held by our staff. This year, Carling Repass earned her Certified Internal Auditor (CIA) license, and Suzanne Griffin obtained her Certified Compliance and Ethics Professional (CCEP) designation.

### Certification and Advanced Degrees

<table>
<thead>
<tr>
<th>Professional Certifications</th>
<th>Advanced Degrees</th>
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<tbody>
<tr>
<td>3 Certified Public Accountants (CPA)</td>
<td>1 Juris Doctor (JD)</td>
</tr>
<tr>
<td>3 Certified Fraud Examiners (CFE)</td>
<td>2 Master of Business Administration (MBA)</td>
</tr>
<tr>
<td>4 Certified Internal Auditor (CIA)</td>
<td>1 Master of Architecture (MArch)</td>
</tr>
<tr>
<td>1 Certified Information Systems Auditor (CISA)</td>
<td></td>
</tr>
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</table>

|                               | 2 Certified Compliance and Ethics Professional (CCEP) |
|                               | 1 Certified Government Auditing Professional (CGAP)   |
|                               | 1 Project Management Professional (PMP)               |
|                               | 1 Master of Policy Leadership (MPL)                   |
|                               | 2 Master of Public Administration (MPA)               |
|                               | 3 Master of Science or Arts (Business Analytics, Political Science) |
Resourcing

The table below compares OARC’s expenditures from fiscal year 2022-23 to fiscal year 2021-22. The majority of our expenses continue to support salaries and benefits, with almost 82 percent of OARC expenditures. Furniture and equipment costs increased from the previous year with the office’s need to redesign existing office spaces, converting a reception area to a workspace. Due to available carryover funds and several new team members, training expenses increased as OARC leadership invested heavily in the newer staff’s professional development. Due to a combination of vacancies on the audit team, as well as a strategic decision to leverage content experts for a research security assessment, OARC incurred significant expenses for external firm engagement this fiscal year. Software costs have largely stabilized with a multi-year contract for the new AuditBoard system which provides an integrated software solution for audit, risk and compliance. Overall, the fiscal year 2022-23 expenditures increased from fiscal year 2021-22 spending, as the office addressed the needs of both its staff and the larger university environment.

<table>
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<th>Analysis of Expenditures</th>
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<td>Training</td>
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</table>
Enterprise Risk Management Program

OARC has coordinated Virginia Tech’s ERM Program since its inception at the request of the Board of Visitors Compliance, Audit, and Risk (CAR) Committee in 2017. 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 ERM program strengthens the university’s ability to achieve its mission and strategic objectives through effective management of key risks and opportunities related to the achievement of strategic objectives. In this context, risk encompasses both negative events (“downside risk”) and opportunities (“upside risk”).

ERM-related activities that took place in fiscal year 2022-23, both planned and ad hoc, included:

- Deploying an updated risk landscape.
- Refreshing the ‘top ten risks’.
- Engaging all Board of Visitor committees on ERM topics.

Enterprise Risk Landscape

June 2023

Maroon border = Top 10 Risk

Reputational / Compliance
OARC is pleased to see continued engagement with the identified enterprise risks across the Board of Visitors committees and the executive leadership team. On multiple occasions during the past year, executive and senior leadership mentioned how the issues facing the institution were contemplated through the ERM process. Additionally, OARC is encouraged by the continued broadening of coverage in presentations to the Board of Visitors on ERM risks. Since the formation of the formal ERM program and introduction of the university’s Enterprise Risk Landscape, 49 presentations and discussions highlighting ERM risk areas took place across the Board of Visitors’ committees. The 25 enterprise risks are depicted in the following graphic with the size corresponding to number of discussions.

Following the recent changes to the ERM and Compliance programs, OARC engaged with institutional leaders to refresh the Risk and Compliance Governance Framework, articulating the roles and responsibilities for all components of governance. The updated charter outlines membership for the new committee structure, which will be implemented in fiscal year 2023-24.
Institutional Compliance Program

Virginia Tech is committed to integrity, a culture of compliance, and promoting the highest ethical standards for all employees. Since 2017, OARC has led the university’s Institutional Compliance Program (ICP) in promoting and supporting a working environment reflecting its commitment to compliance with all relevant legal and regulatory requirements. The ICP is a resource that supports the Virginia Tech community in proactively meeting its compliance obligations and managing compliance risks.

“One hallmark of an effective compliance program is its capacity to improve and evolve.”
-USDOJ Evaluation of Corporate Compliance Programs, March 2023

In fiscal year 2022-23, ICP activities included:

- Onboarding of inaugural university compliance officer.
- Evaluation of current state of ICP relative to effective compliance program elements.
- Identification of elements to prioritize for refresh and focus to further enhance the effectiveness of ICP.
- Support of campus compliance risk owners on discrete compliance issues as well as process improvement opportunities.
- Discussions on compliance areas with campus leaders including as part of annual risk assessment.
- Developed annual ICP work plan for fiscal year 2023-24.
- Increased knowledge base and professional networks in priority compliance areas.
- Refresh of Hokie Hotline (anonymous compliance concern reporting hotline) web presence to enhance messaging on community responsibility for a culture of integrity.
- From leadership annual risk assessments conducted in Spring 2023, established the perception of Virginia Tech’s ethical culture and awareness of the Hokie Hotline reporting mechanism, with a goal of improving results in future years by delivering on ICP work plan:

Virginia Tech Promotes a Culture of Compliance & Ethics
Fraud, Waste, and Abuse

OARC conducts reviews of all state hotline and internal complaints alleging fraud, waste, and abuse. During fiscal year 2022-23, OARC:

- Investigated 21 cases, including 16 internal and five state hotline complaints.
- Closed seven cases from prior fiscal years and 12 from fiscal year 2022-23.

For the 19 cases completed:

- Zero of four state hotline cases were substantiated.
- Five of 15 (33%) internally reported cases were substantiated.

Since fiscal year 2013-14, approximately 53 percent of internally reported allegations have been substantiated, and 18 percent of state hotline cases have historically been substantiated, for a combined weighted average of 39 percent.

OARC maintains a fraud, waste, and abuse hotline service ("Hokie Hotline") that offers an easy, safe, secure, and anonymous platform to accept tips and complaints from all sources about potential fraud, waste, abuse, and noncompliance at the university. Four of the 16 internally investigated complaints mentioned above were received via the Hokie Hotline.

Since fiscal year 2013-14, approximately 73 percent of the allegations investigated by OARC have fallen within five general categories: improper use of university resources; abuse of authority; conflict of interest; misfeasance and waste; and leave or time abuse.
Internal Audit continued its role as the assurance and advisory arm within the university. Value-added engagements through traditional audits, a limited number of advisory activities, and providing insight through formal and informal means were hallmarks throughout the year. As depicted below, fiscal year 2022-23 began with 38 proposed engagements. A combination of changing risks, including the continued effects of staff vacancies and parental leave, led to the cancelation or deferment of ten audits. Coupled with three supplemental advisory review and four carry forward engagements, OARC ended the year with 35 planned audits, of which the team completed 31 as of this report. This results in an 89 percent completion rate for fiscal year 2022-23. Appendix A shows the status of each audit in the fiscal year 2022-23 audit plan.

<table>
<thead>
<tr>
<th>Audits</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total # of Audits Planned</td>
<td>38</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 Deferred and/or Canceled</td>
<td>10</td>
</tr>
<tr>
<td><strong>Total Audits in Plan as Amended</strong></td>
<td>35</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total Audits Completed</th>
<th>31</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audits – Percentage Complete</td>
<td>89%</td>
</tr>
<tr>
<td>Audits – Percentage Complete or Underway</td>
<td>100%</td>
</tr>
</tbody>
</table>

Note: Includes Policy Compliance Reviews and Advisory Services

Historical Case Volume by Fiscal Year

Average 39% substantiation since FY 2013-14

Nine active cases as of June 30, 2023
**Effort**

Of the 22,900 hours logged by OARC last year, 63% was charged directly to executing our core mission. The remaining 37% was spent on office administration, computer support, training, and compensated absences.

Of **14,500 core-mission hours**, OARC spent:

- 70% on Internal Audit engagements
- 14% on cross-program support (annual risk assessment, planning, and supervision)
- 9% on Institutional Compliance activities
- 6% of Fraud, Waste, and Abuse investigations
- 1% on ERM support

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**Follow Up Activities and Management Corrective Actions**

OARC conducts follow-up on management’s implementation of agreed upon improvements for previously issued audit recommendations. Each audit recommendation—and its associated management corrective action—is given a rating of high, medium, or low priority. This judgment is made in a local context, and items identified as high do not necessarily convey material deficiencies or risks beyond the operating environment in which they were found. A primary objective of this classification is to drive a greater sense of urgency in completing the corrective action and completion of audit follow-up. The Compliance, Audit, and Risk (CAR) Committee receives the higher priority recommendations and associated management corrective actions. However, OARC and management closely monitor all outstanding recommendations to ensure they are adequately addressed by the responsible parties.

Of the 53 management corrective actions generated during fiscal year 2022-23 engagements, OARC categorized five as high priority (9%). High-priority management corrective actions include those that are systemic or have a broad impact; have contributed to a significant investigation finding; are reportable conditions under professional literature; create health or safety concerns; involve senior officials; create exposures to fines, penalties, or refunds; or are otherwise judged as significant control issues. Open management corrective action plans at fiscal year-end have been outstanding an average of 425 days. Audits for fiscal year 2022-23 resulted in recommendations with ratings of high, medium, or low management corrective actions as follows:

<table>
<thead>
<tr>
<th>Description</th>
<th>Quantity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beginning # of management corrective actions</td>
<td>55</td>
</tr>
<tr>
<td>Management corrective actions added</td>
<td>53</td>
</tr>
<tr>
<td>Management corrective actions closed</td>
<td>58</td>
</tr>
<tr>
<td>Current # of open management corrective actions</td>
<td>50</td>
</tr>
</tbody>
</table>
Results of Surveys for Evaluating OARC Services

After the completion of each engagement, the primary contacts within the area under review are provided a survey requesting their evaluation of the quality of the services provided. Feedback from the surveys is used to enhance the overall quality of the engagements and to ensure OARC is meeting its customer service focus. The survey responses are grouped into three categories:

**Audit Team**
Demonstrated technical proficiency; approached audit in an objective and professional manner; and effectiveness of conclusions and opinions.

**Audit Performance**
Discussed preliminary audit objectives, scope, and timing of audit; solicited and considered management concerns and suggestions in audit; and minimized disruption of auditee’s daily activities as much as possible.

**Audit Report**
Written clearly; contained adequate explanations for observations; and recommendations improved or added value to auditee’s departmental operation.

**FY 2022-23 Survey Results**

Overall, customer ratings were highly favorable. Attaining a cumulative average score of 4.6 on a 5-point scale exceeded OARC’s goal of a 4.0 rating on survey feedback and resulted in 92% client satisfaction.

“The audit was very thorough and touched on several things we needed to pay more attention to. Overall, it was very useful to our organization.”
Quality Assurance and Improvement Program

In accordance with requirements set forth by the Institute of Internal Auditors’ International Standards for the Professional Practice of Internal Auditing, Internal Audit maintains a comprehensive Quality Assurance and Improvement Program. This program includes ongoing monitoring, periodic self-assessments, and an independent external assessment that should be conducted at a minimum of every five years.

The on-going monitoring program consists of four elements: the supervisory review of project working papers, quality assurance reviews of individual audits, the pre-issuance review of reports, and periodic assessments of the quality control system.

An external assessment of OARC was completed by Baker Tilly during fiscal year 2021-22, when the internal audit function received the highest rating possible of “generally conforms.” A formalized self-assessment will be conducted during fiscal year 2024-25.
### Appendix A: FY 2022-23 Audit Plan Status

The chart below outlines the status of the fiscal year 2022-23 audit plan, as amended.

#### FY 2022-23 Audit Plan Status

<table>
<thead>
<tr>
<th>Audit Project</th>
<th>Risk Ranking</th>
<th>BOV Mtg</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Risk-Based Audits</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Aerospace &amp; Ocean Engineering</td>
<td>Medium</td>
<td>Deferred</td>
</tr>
<tr>
<td>Capital Campaign Processes and Reporting</td>
<td>High</td>
<td>Deferred</td>
</tr>
<tr>
<td>Civil and Environmental Engineering</td>
<td>High</td>
<td>March 2023</td>
</tr>
<tr>
<td>College of Natural Resources and Environment</td>
<td>Medium</td>
<td>August 2023</td>
</tr>
<tr>
<td>Controller’s Office: General Accounting</td>
<td>High</td>
<td>June 2023</td>
</tr>
<tr>
<td>Data Analytics: Administrative Operations (from FY22)</td>
<td>Medium</td>
<td>August 2023</td>
</tr>
<tr>
<td>Data Analytics: Compliance Monitoring</td>
<td>Medium</td>
<td>Cancelled</td>
</tr>
<tr>
<td>Data Analytics: HokieMart Segregation of Duties</td>
<td>High</td>
<td>August 2023</td>
</tr>
<tr>
<td>Data Analytics: Leave and Time Reporting</td>
<td>High</td>
<td>Carry Forward</td>
</tr>
<tr>
<td>Data Analytics: Purchasing Card Transactions</td>
<td>High</td>
<td>August 2023</td>
</tr>
<tr>
<td>Endowed Chair Funds Utilization</td>
<td>High</td>
<td>June 2023</td>
</tr>
<tr>
<td>Environmental Health and Safety</td>
<td>High</td>
<td>Deferred</td>
</tr>
<tr>
<td>Gramm-Leach-Bliley Act Compliance</td>
<td>Medium</td>
<td>Carry Forward</td>
</tr>
<tr>
<td>Housing and Residence Life</td>
<td>High</td>
<td>August 2023</td>
</tr>
<tr>
<td>Human Resources: Employee Administration*</td>
<td>High</td>
<td>August 2023</td>
</tr>
<tr>
<td>IT: Advanced Research Computing</td>
<td>High</td>
<td>March 2023</td>
</tr>
<tr>
<td>IT: Cybersecurity Incident Response</td>
<td>High</td>
<td>March 2023</td>
</tr>
<tr>
<td>IT: ERP Systems</td>
<td>High</td>
<td>Cancelled</td>
</tr>
<tr>
<td>Licensing and Trademarks</td>
<td>Medium</td>
<td>March 2023</td>
</tr>
<tr>
<td>Research: Cost Sharing*</td>
<td>High</td>
<td>Cancelled</td>
</tr>
<tr>
<td>Research: Foreign Influence*</td>
<td>High</td>
<td>June 2023</td>
</tr>
<tr>
<td>Research: SBIR/STTR Grant Compliance</td>
<td>High</td>
<td>August 2023</td>
</tr>
<tr>
<td>School of Plant and Environmental Sciences</td>
<td>High</td>
<td>Deferred</td>
</tr>
<tr>
<td>University Registrar</td>
<td>High</td>
<td>March 2023</td>
</tr>
<tr>
<td>University Scholarships and Financial Aid* (from FY22)</td>
<td>High</td>
<td>Nov 2022</td>
</tr>
<tr>
<td>University Scholarships and Financial Aid*</td>
<td>High</td>
<td>August 2023</td>
</tr>
<tr>
<td>Virginia Cooperative Extension – Southwest District</td>
<td>High</td>
<td>March 2023</td>
</tr>
<tr>
<td>VT Electric Service</td>
<td>High</td>
<td>Carry Forward</td>
</tr>
<tr>
<td>VT Police Department (from FY22)</td>
<td>High</td>
<td>Nov 2022</td>
</tr>
</tbody>
</table>

*Annual Audit on Different Components*
Additionally, OARC responded to management’s request for advisory service and consultative guidance in the following area:

- **Course Modality** – This review conducted analytical procedures to determine if the course modality listed in the university’s course catalogue was accurate.
- **Effort Reporting System** – This review provided assurance that the university’s newly deployed effort reporting system had effectively deployed certain internal controls and that information was populating to effort reports accurately.
- **Faculty Research Incentive Program** – This review sought to ensure that the program was meeting its objectives, was operating consistent with certain laws and regulations, and identify opportunities to improve the program.
- **Graduate Assistant Workload** – This review sought to determine whether graduate teaching assistant work assignments were in compliance with university guidance and assess communication processes used to disseminate graduate teaching assistant workload expectations.
- **Graduate School Information Technology** – This review provided the Graduate School management with information regarding the IT positions deployed, a deeper dive into school-managed architecture and software, and an analysis of software applications.
- **School of Public and International Affairs** – This review conducted a financial review of activity at the Richmond campus including compliance with certain contractual requirements and university compliance with university hiring guidelines.
- **Steger Center Financial Controls** – This review was conducted to assist management with the financial and operational controls at the Center and the processes utilized for monitoring and reimbursement through the university.
**Appendix B: IIA Standards Disclosures**

**Per Charter:**

The internal audit function will conduct its activities in accordance with the Institute of Internal Auditors’ International Professional Practices Framework including the Core Principles for the Professional Practice of Internal Auditing, Definition of Internal Auditing, Code of Ethics, and International Standards for the Professional Practice of Internal Auditing.

<table>
<thead>
<tr>
<th>Core Principles</th>
<th>Mandatory Guidance</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Demonstrates integrity.</td>
</tr>
<tr>
<td></td>
<td>Demonstrates competence and due professional care.</td>
</tr>
<tr>
<td></td>
<td>Is objective and free from undue influence (independent).</td>
</tr>
<tr>
<td></td>
<td>Aligns with the strategies, objectives, and risks of the organization.</td>
</tr>
<tr>
<td></td>
<td>Is appropriately positioned and adequately resourced.</td>
</tr>
<tr>
<td></td>
<td>Demonstrates quality and continuous improvement.</td>
</tr>
<tr>
<td></td>
<td>Communicates effectively.</td>
</tr>
<tr>
<td></td>
<td>Provides risk-based assurance.</td>
</tr>
<tr>
<td></td>
<td>Is insightful, proactive, and future-focused.</td>
</tr>
<tr>
<td></td>
<td>Promotes organizational improvement.</td>
</tr>
</tbody>
</table>

| Definition of Internal Auditing | |
|--------------------------------| Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes. |

| Code of Ethics | |
|----------------| Internal auditors are expected to apply and uphold the following principles: |
|                | Integrity – The integrity of internal auditors establishes trust and thus provides the basis for reliance on their judgment. |
|                | Objectivity – Internal auditors exhibit the highest level of professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined. Internal auditors make a balanced assessment of all the relevant circumstances and are not unduly influenced by their own interests or by others in forming judgments. |
|                | Confidentiality – Internal auditors respect the value and ownership of information they receive and do not disclose information without appropriate authority unless there is a legal or professional obligation to do so. |
|                | Competency – Internal auditors apply the knowledge, skills, and experience needed in the performance of internal audit services. |

<table>
<thead>
<tr>
<th>International Standards for the Professional Practice of Internal Auditing</th>
<th>Attribute Standards (1000 through 1300)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1000</td>
<td>Purpose, Authority, and Responsibility</td>
</tr>
<tr>
<td>1100</td>
<td>Independence and Objectivity</td>
</tr>
<tr>
<td>1200</td>
<td>Proficiency and Due Professional Care</td>
</tr>
<tr>
<td>1300</td>
<td>Quality Assurance and Improvement Program</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Performance Standards (2000 through 2800)</th>
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</thead>
<tbody>
<tr>
<td>2000</td>
<td>Managing the Internal Audit Activity</td>
</tr>
<tr>
<td>2100</td>
<td>Nature of Work</td>
</tr>
<tr>
<td>2200</td>
<td>Engagement Planning</td>
</tr>
<tr>
<td>2300</td>
<td>Performing the Engagement</td>
</tr>
<tr>
<td>2400</td>
<td>Communicating Results</td>
</tr>
<tr>
<td>2500</td>
<td>Monitoring Progress</td>
</tr>
<tr>
<td>2800</td>
<td>Communicating the Acceptance of Risks</td>
</tr>
</tbody>
</table>
The Office of Audit, Risk, and Compliance (OARC) performs comprehensive assurance services through independent internal audits, advisory activities, the university risk management process, and the institutional compliance program. OARC helps the university accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes. OARC’s mission is to enhance and protect organizational value by providing risk-based and objective assurance, advice, and insight as follows:

- Audit: Provide independent, objective assurance and advisory activities designed to add value and improve university operations
- Enterprise Risk Management: Provide oversight of the enterprise risk management program by identifying, assessing, and managing risk by working with risk owners within the ERM process
- Compliance: Provide 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
OARC did not identify any areas where management decided to accept a level of risk that we believed to be unacceptable.

No deficiencies representing significant control weaknesses were identified; however, a number of other areas requiring improvement were noted.

Overall, management:

- Accepts their responsibility for internal control and is supportive of audit efforts
- Generally accepts audit recommendations and responds by developing action plans to address concerns
- Did not limit the work performed and independence/objectivity was not impaired
FY 2022-23 HIGHLIGHTS

Enterprise Risk Management
- Appointed the first Chief Risk Officer
- Refreshed the university’s enterprise risk landscape
- Updated the "top ten" focus areas
- Engaged all Board of Visitor committees on ERM topics

Institutional Compliance Program:
- Successfully onboarded inaugural compliance officer
- Increased engagement with campus-wide compliance owners
- Refreshed messaging for Hokie Hotline

Internal Audit:
- 89% of audit plan completed (31 engagements)
- 21 fraud, waste, or abuse cases initiated
- 4.6 out of 5 (92%) on client satisfaction surveys
- 58 management action plans closed
STAFFING

Certification and Advanced Degrees

### Professional Certifications

<table>
<thead>
<tr>
<th>#</th>
<th>Certification/Professional</th>
<th>Count</th>
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<tbody>
<tr>
<td>1</td>
<td>Certified Public Accountants (CPA)</td>
<td>3</td>
</tr>
<tr>
<td>2</td>
<td>Certified Compliance and Ethics Professional (CCEP)</td>
<td>2</td>
</tr>
<tr>
<td>3</td>
<td>Certified Fraud Examiners (CFE)</td>
<td>3</td>
</tr>
<tr>
<td>4</td>
<td>Certified Internal Auditor (CIA)</td>
<td>4</td>
</tr>
<tr>
<td>1</td>
<td>Certified Government Auditing Professional (CGAP)</td>
<td>1</td>
</tr>
<tr>
<td>1</td>
<td>Certified Information Systems Auditor (CISA)</td>
<td>1</td>
</tr>
<tr>
<td>1</td>
<td>Certified Government Auditing Professional (CGAP)</td>
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<td>Certified Internal Auditor (CIA)</td>
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<td>Certified Information Systems Auditor (CISA)</td>
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<td>Certified Information Systems Auditor (CISA)</td>
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</table>

### Advanced Degrees

<table>
<thead>
<tr>
<th>#</th>
<th>Degree</th>
<th>Count</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>Juris Doctor (JD)</td>
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<td>1</td>
<td>Master of Policy Leadership (MPL)</td>
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<tr>
<td>1</td>
<td>Bachelor of Science or Arts (Business Analytics, Political Science)</td>
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<tr>
<td>2</td>
<td>Master of Business Administration (MBA)</td>
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<tr>
<td>2</td>
<td>Master of Public Administration (MPA)</td>
<td>2</td>
</tr>
<tr>
<td>3</td>
<td>Master of Architecture (MArch)</td>
<td>3</td>
</tr>
</tbody>
</table>

156 years of professional audit, risk, and compliance experience

>65 years of Virginia Tech experience
## RESOURCING

**Analysis of Expenditures**

<table>
<thead>
<tr>
<th>Item</th>
<th>FY 2021-22</th>
<th>FY 2022-23</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries and Benefits</td>
<td>$1,703,247</td>
<td>$2,052,667</td>
</tr>
<tr>
<td>Furniture &amp; Equipment</td>
<td>6,934</td>
<td>55,918</td>
</tr>
<tr>
<td>External Firm Engagement</td>
<td>54,163</td>
<td>182,614</td>
</tr>
<tr>
<td>Operating Expenses</td>
<td>32,532</td>
<td>55,845</td>
</tr>
<tr>
<td>Personnel Expenses &amp; Recruitment</td>
<td>23,356</td>
<td>17,696</td>
</tr>
<tr>
<td>Software</td>
<td>106,451</td>
<td>80,282</td>
</tr>
<tr>
<td>Training</td>
<td>34,323</td>
<td>68,533</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$1,961,006</strong></td>
<td><strong>$2,513,555</strong></td>
</tr>
</tbody>
</table>
Enterprise Risk Management

Engaged all Board of Visitor committees on ERM topics

Updated risk landscape including evaluation of the ‘top ten risks’
Other highlights include:

- Identification of elements to prioritize for refresh and focus to further enhance the effectiveness of ICP.
- Developed annual ICP work plan for fiscal year 2023-24.
- From leadership survey in Spring 2023, established the perception of Virginia Tech’s ethical culture and awareness of the Hokie Hotline reporting mechanism.

“One hallmark of an effective compliance program is its capacity to improve and evolve.”

-USDOJ Evaluation of Corporate Compliance Programs, March 2023

## 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
- Response to detected offenses
- Perform periodic compliance risk assessments

### Awareness of the Hokie Hotline

- Very aware: 68%
- Somewhat aware: 20%
- Not aware at all: 12%

### Virginia Tech Promotes a Culture of Compliance & Ethics

- Strongly agree: 25
- Agree: 21
- Neither agree or disagree: 3
- Disagree: 1
- Strongly disagree: 0
FRAUD, WASTE, AND ABUSE

Average 39% substantiation since FY 2013-14

# of Internal Cases
# of Hotline Cases
# of Cases Substantiated
# of Cases with Recs

Nine active cases as of June 30, 2023
FY 2022-23 Audit Plan Metrics

Audit Plan Status

<table>
<thead>
<tr>
<th>Audits</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Total # of Audits Planned</td>
<td>38</td>
</tr>
<tr>
<td>Total # of Supplemental Audits</td>
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</tr>
<tr>
<td>Total # of Carry Forwards</td>
<td>4</td>
</tr>
<tr>
<td>Total # of Planned Audits Deferred and/or Canceled</td>
<td>10</td>
</tr>
<tr>
<td>Total Audits in Plan as Amended</td>
<td>35</td>
</tr>
</tbody>
</table>

Total Audits Completed 31

- Audits – Percentage Complete: 89%
- Audits – Percentage Complete or Underway: 100%

Note: Includes Policy Compliance Reviews and Advisory Services

Client Satisfaction Survey Results

- Audit Team: 4.6 vs. 4.4
- Audit Performance: 4.7 vs. 4.4
- Audit Report: 4.4 vs. 4.4

Management Corrective Action Summary

- Beginning # of management corrective actions: 55
- Management corrective actions added: 53
- Management corrective actions closed: 58
- Current # of open management corrective actions: 50
The chief audit executive’s reporting and communication to senior management and the board must include information about:

- The audit charter, including internal audit activity’s purpose, authority, and responsibility
- Independence of the internal audit activity
- The audit plan and progress against the plan
- Resource requirements
- Results of audit activities
- Conformance with the Code of Ethics and the Standards, and action plans to address any significant conformance issues (Quality Assurance & Improvement Program)
- Management’s response to risk that, in the chief audit executive’s judgment, may be unacceptable to the organization
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 102 A/B, Fralin Biomedical Research Institute

To begin immediately following the Finance and Resource Management Committee Closed Session

August 29, 2023

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<thead>
<tr>
<th>Agenda Item</th>
<th>Reporting Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Motion to Reconvene in Open Session</td>
<td>Committee Member</td>
</tr>
<tr>
<td>2. Welcome and Opening Remarks</td>
<td>Anna James</td>
</tr>
<tr>
<td>3. Consent Agenda</td>
<td>Anna James</td>
</tr>
<tr>
<td>a. Approval of Items Discussed in Closed Session</td>
<td></td>
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<tr>
<td>b. Approval of Minutes of the June 6, 2023 Meeting</td>
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<tr>
<td>#+ 4. Comprehensive Update on Advancement</td>
<td>Charlie Phlegar</td>
</tr>
<tr>
<td>5. Report on Gramm-Leach-Bliley Act Compliance and IT Security</td>
<td>Randy Marchany</td>
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<tr>
<td>Melinda West</td>
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</tr>
<tr>
<td>6. EVPCOO Update and Discussion</td>
<td>Amy Sebring</td>
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<tr>
<td>+ 7. Update on the 2024-2030 Six-Year Plan</td>
<td>Tim Hodge</td>
</tr>
<tr>
<td>* 8. Approval of Year-to-Date Financial Performance Report (July 1, 2022 – June 30, 2023)</td>
<td>Tim Hodge</td>
</tr>
<tr>
<td>Bob Broyden</td>
<td></td>
</tr>
<tr>
<td>9. Discussion of Future Agenda Topics and Closing Remarks</td>
<td>Anna James</td>
</tr>
</tbody>
</table>

* Requires full Board approval
# Discusses Enterprise Risk Management topic(s)
+ Discusses Strategic Investment Priorities topic(s)
WELCOME AND OPENING REMARKS

ANNA JAMES, COMMITTEE CHAIR

FINANCE AND RESOURCE MANAGEMENT COMMITTEE
CONSENT AGENDA

a. Approval of Items Discussed in Closed Session

b. Approval of Minutes of the June 6, 2023 Meeting
Committee Minutes

FINANCE AND RESOURCE MANAGEMENT COMMITTEE
New Classroom Building
June 5-6, 2023

Joint Open Session with the Buildings and Grounds Committee
June 5, 2023

Board members present: Ed Baine, Shelley Barlow, Anna Buhle – Graduate and Professional Student Representative, Dave Calhoun, Carrie Chenery, Sandra Davis, Holli Drewry – Administrative and Professional Faculty Representative, Greta Harris, C.T. Hill, Brad Hobbs, Anna James, Tish Long, Sharon Martin, Melissa Nelson, Jeff Veatch, Robert Weiss – Faculty Representative, Serena Young – Staff Representative

University personnel and guests: Janice Austin, Mac Babb, Callan Bartel, Lynsay Belshe, Eric Brooks, Bob Broyden, Brock Burroughs, Cyril Clarke, Al Cooper, Corey Earles, Jeff Earley, Alisha Ebert, Ted Faulkner, Mark Gess, Kay Heidbreder, Tim Hodge, Elizabeth Hooper, Frances Keene, Chris Kiwus, Sharon Kurek, Rob Mann, Elizabeth McClanahan, Nancy Meacham, Ken Miller, Jeff Mitchell, Heidi Myers, Justin Noble, Kim O’Rourke, Charlie Phlegar, Menah Pratt, Paul Richter, Tim Sands, Amy Sebring, Brennan Shepard, John Tarter, Dwyn Taylor, Jon Clark Teglas, Rob Viers, Tracy Vosburgh, Mike Walsh, Danny White, Chris Wise, Nick Woods, Chris Yianilos, and guests

1. Motion for Joint Open Session

2. Approval of Items Discussed in Joint Closed Session: The Committees reviewed for approval the items discussed in joint closed session.

3. Approval of Resolution for the Football Locker Room Renovation Project: The Committees reviewed for approval a Resolution for the Football Locker Room Renovation Project. This 4,200 square-foot renovation project provides a state-of-the-art hydrotherapy suite and renovations to the players’ restrooms and shower facilities within the Jamerson Athletic Facility. The $5.9 million total project cost will be funded with private gifts.

   The Committees recommended the Resolution for the Football Locker Room Renovation Project to the full Board for approval.

4. Approval of Resolution for Student Life Village, Phase I Planning Authorization: The Committees reviewed for approval a Resolution for Student

   * Requires full Board approval
# Discusses Enterprise Risk Management topic(s)
+ Discusses Strategic Investment Priorities topic(s)
Life Village, Phase I Planning Authorization. This $19.4 million planning authorization, funded with auxiliary revenues designated for facility improvements, includes preliminary designs for: sitework; landscaping; utilities; residential, dining, and recreation structures; roads; and pathways.

The Committees recommended the Resolution for Student Life Village, Phase I Planning Authorization to the full Board for approval.

There being no further business, the meeting adjourned at 5:49 p.m.

Open Session
June 6, 2023

Board members present: Ed Baine, Anna Buhle – Graduate and Professional Student Representative, Dave Calhoun, Carrie Chenery, Sandra Davis, Greta Harris, Brad Hobbs, Anna James, Tish Long, Sharon Martin, Melissa Nelson, Robert Weiss – Faculty Representative, Serena Young – Staff Representative


1. Motion for 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 March 20, 2023 Meeting

* Requires full Board approval
# Discusses Enterprise Risk Management topic(s)
+ Discusses Strategic Investment Priorities topic(s)
c. **Approval of 2023-24 Hotel Roanoke Conference Center Commission Budget:** The Committee reviewed for approval the 2023-24 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 by each participating party for the operation of the conference center, if needed. Traditionally, the university has contributed $80,000 to support the operations, and this will continue for the fiscal year 2023-24 and will come from the Fralin endowment, which was established to assist this program.

d. **Approval of Resolution to Appoint University Commissioner to the Hotel Roanoke Conference Center Commission:** The Committee reviewed for approval a resolution to appoint the Executive Vice President and Chief Operating Officer as a representative of the university on the Hotel Roanoke Conference Center Commission.

e. **Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies:** The Committee reviewed for approval the 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.

The Committee approved the items on the Consent Agenda and recommended the 2023-24 Hotel Roanoke Conference Center Commission budget, the Resolution to Appoint University Commissioner to the Hotel Roanoke Conference Center Commission, and the Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies to the full Board for approval.

# 4. **Update on Advancement:** Charlie Phlegar provided a report on Advancement’s fundraising efforts including a campaign update, the most recent numbers for New Gifts and Commitments and Cash, and an overview of the top issues currently facing Advancement. In addition, Charlie shared that the 22 percent alumni participation rate goal was met again this year.
5. **Approval of Resolution Delegating Authority for Pratt Funds:** The Committee reviewed for approval a resolution delegating authority for the management of the Pratt Fund payouts to the Dean of the College of Agriculture and Life Sciences and the Dean of the College of Engineering. The university has more than met the terms and conditions specified in Mr. John Lee Pratt’s 1975 will, and has demonstrated prudent and excellent stewardship of these funds. Because of this, the university is requesting the discontinuation of Board of Visitors approval for the budgeting and spending of these funds. The university will continue to spend the funds in accordance with the programmatic restrictions specified in the Pratt will.

The Committee recommended the Resolution Delegating Authority for Pratt Funds to the full Board for approval.

6. **Update on the Development of the 2024-2030 Six-Year Plan and Approval of Related Strategies:** The Committee received an update on the development of the 2024-2030 Six-Year Plan and will review for approval related strategies under consideration for inclusion in the plans that would advance shared goals. The Six-Year Plan proposals will be submitted to the state on July 17 with final plan submission on October 1 and will primarily inform state funding requests for fiscal years 2025 and 2026.

The Committee recommended the Strategies Related to the Development of the 2024-2030 Six-Year Plan to the full Board for approval.

7. **Intercollegiate Athletics Programs Report for Year Ended June 30, 2022:** The Committee received a report on the Auditor of Public Accounts (APA) Intercollegiate Athletics Program review for fiscal year 2022. 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, 2022, is in compliance with the National Collegiate Athletic Association (NCAA) bylaws.

8. **Approval of Year-to-Date Financial Performance Report (July 1, 2022 – March 31, 2023):** The Committee reviewed for approval the Year-to-Date Financial Performance Report for July 1, 2022 to March 31, 2023. 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.

The Committee recommended the Year-to-Date Financial Performance Report to the full Board for approval.
9. **Financial Actions for Staff Compensation:** The Committee received an overview of financial actions related to staff compensation. The 2022 General Assembly approved a biennial budget with compensation actions for Classified and University Staff. The university implemented a 5.0 percent across-the-board increase for Classified Staff, and an average of 5.0 percent increase for University Staff, comprised of a 3.0 percent base increase and 2.0 percent variable merit-based increase.

* 10. **Approval of 2023-24 Faculty Compensation Plan:** The Committee reviewed for approval the 2023-24 Faculty Compensation Plan. Based on the university’s understanding of the state budget, a five percent faculty salary increase, effective June 10, 2023, 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 2023, consistent with the proposed 2022-23 Faculty Compensation Plan. Results of this process were shared with the Board in a separate resolution. Implementation of this increase is subject to Board approval and finalization of the state budget.

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.

The Committee recommended the 2023-24 Faculty Compensation Plan to the full Board for approval.

* 11. **Approval of 2023-24 Compensation for Graduate Assistants:** The Committee reviewed for approval the proposed 2023-24 schedule of stipends and support for the health insurance program for graduate students. The university proposes a 5.0 percent increase in the stipend scale and the establishment of a minimum stipend of $2,420 per month.

Pending final action by the General Assembly, the Board will authorize the president to modify the increase for graduate assistant compensation to match the statewide employee compensation program.

The Committee recommended the 2023-24 Compensation for Graduate Assistants to the full Board for approval.

* Requires full Board approval
# Discusses Enterprise Risk Management topic(s)
+ Discusses Strategic Investment Priorities topic(s)
12. **Approval of 2023-24 University Operating and Capital Budgets:** The Committee reviewed for approval the proposed university operating and capital budgets for 2023-24.

The Operating Budget for the 2023-24 fiscal year has a recommended internal budget for all operations of $2.1 billion. This is an increase of $144.5 million, approximately 7.5 percent, over the adjusted budget for last year. The operating budget assumes the commonwealth’s “Skinny Budget”, tuition and fee rates approved by the Board in April, $4 million of reallocations, and $12 million for strategic initiatives.

The university’s total General Fund allocation is estimated to be approximately $397.3 million, an increase of $22.1 million over last year’s adjusted budget. General Fund revenues will provide $360.1 million in support for the instructional, research, and extension programs, $33.6 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 $60.8 million attributable to the Educational and General programs and $39.1 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 $1.11 billion and the Auxiliary Enterprise revenue budget is $452.7 million for fiscal year 2023-24. The projected annual budget for Sponsored Programs is $435.3 million, an increase of $45.3 million or 11.6 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 $25 million of reallocations over the next 5 years to support a portion of the multi-year initiative vision. The current FY24 budget already requires $4 million to fund mandatory and unavoidable cost increases based on the tuition rates approved in April.

The Capital Budget capital outlay program for 2023-24 is comprised of 13 Educational and General projects and 5 Auxiliary Enterprise projects for a total of...
18 projects. The total multi-year capital program for 2023-24 includes approximately $1.18 billion of authorizations with an annual expenditure budget of approximately $220 million for 2023-24.

The Committee recommended the 2023-24 University Operating and Capital Budgets to the full Board for approval.

13. **Discussion of Future Agenda Topics and Closing Remarks**: The Committee discussed future agenda topics. This included potential adjustments to tuition and fee rates and budget amendments based on the final outcome of the state budget, approval of the 2024-2030 Six-Year Plan, potential actions related to the results of the Graduate Student Assistantship Support Task Force, and progress on budget reallocations.

There being no further business, the meeting adjourned at 11:52 a.m.
Joint Closed/Open Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE
AND
BUILDINGS AND GROUNDS COMMITTEE

June 5, 2023
5:00 p.m.
Room 260, New Classroom Building

Joint Closed

**Agenda Item**
1. Motion to Begin Joint Closed Session

* 2. Approval of Resolution for the Acquisition of Real Property
   
Reporting Responsibility
   Greta Harris

Ken Miller
Chris Kiwus
Bob Broyden

Joint Open

**Agenda Item**
1. Motion to Reconvene in Joint Open Session

2. Approval of Items Discussed in Joint Closed Session

3. Approval of Resolution for the Football Locker Room Renovation Project

* 4. Approval of Resolution for Student Life Village, Phase I Planning Authorization

Reporting Responsibility
Greta Harris
Ed Baine
Shelley Butler Barlow
Ken Miller
Chris Kiwus
Bob Broyden
Ken Miller
Chris Kiwus
Bob Broyden

* Requires full Board approval
# Discusses Enterprise Risk Management topic(s)
+ Discusses Strategic Investment Priorities topic(s)
Open Session Agenda
FINANCE AND RESOURCE MANAGEMENT COMMITTEE
Room 260, New Classroom Building
June 6, 2023

Agenda Item | Reporting Responsibility
--- | ---
1. Motion for Open Session | Anna James
2. Welcome and Opening Remarks | Ed Baine
3. Consent Agenda
   a. Approval of Items Discussed in Closed Session | Ed Baine
   b. Approval of Minutes of the March 20, 2023 Meeting
   c. Approval of 2023-24 Hotel Roanoke Conference Center Commission Budget
   * d. Approval of Resolution to Appoint University Commissioner to the Hotel Roanoke Conference Center Commission
   * e. Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies

# 4. Update on Advancement | Charlie Phlegar
* 5. Approval of Resolution Delegating Authority for Pratt Funds | Ken Miller
* 6. Update on the Development of the 2024-2030 Six-Year Plan and Approval of Related Strategies | Ken Miller Tim Hodge
7. Intercollegiate Athletics Programs Report for Year Ended June 30, 2022 | Ken Miller Melinda West
* 8. Approval of Year-to-Date Financial Performance Report (July 1, 2022 – March 31, 2023) | Tim Hodge Bob Broyden
9. Financial Actions for Staff Compensation | Ken Miller
* 10. Approval of 2023-24 Faculty Compensation Plan | Ken Miller
* 11. Approval of 2023-24 Compensation for Graduate Assistants | Ken Miller
*#+ 12. Approval of 2023-24 University Operating and Capital Budgets | Amy Sebring Tim Hodge Bob Broyden
13. Discussion of Future Agenda Topics and Closing Remarks | Ed Baine

* Requires full Board approval
# Discusses Enterprise Risk Management topic(s)
+ Discusses Strategic Investment Priorities topic(s)
COMPREHENSIVE UPDATE ON ADVANCEMENT

CHARLIE PHLEGAR
SENIOR VICE PRESIDENT FOR ADVANCEMENT

August 29, 2023
YEAR-END GIVING RESULTS
for the period July 1, 2022 – June 30, 2023

• New Gifts & Commitments
  • $225,077,009
  • Increased from $100,419,843 in 2016

• Cash
  • $200,809,071
  • Increased from $101,451,931 in 2016

• CASE 50 – represents the top 75 Advancement institutions globally based on a five-year rolling average of cash, new gifts and commitments, and peer recommendations as reported through VSE

• Three-year New Gifts & Commitments average of over $231 million
• Five-year New Gifts & Commitments average of $212 million
NEW GIFTS AND COMMITMENTS
3-YEAR AND 5-YEAR AVERAGE COMPARISON

Note: Tracking of New Gifts and Commitments began in FY2016; prior years reflect cash amounts
YEAR-END GIVING RESULTS
for the period July 1, 2022 – June 30, 2023

• Boundless Impact Campaign
  • $1.419 billion raised toward a $1.872 billion goal

• Undergraduate Alumni Participation
  • Sustained participation from FY22
  • Class of 2023: 46% participation rate
  • Additional $1 billion over the next 20 years due to alumni base growth

• More than 66,000 total donors
A COMING WAVE OF ALUMNI WILL SOON ENTER THEIR PRIME GIVING YEARS

*Average Gift Size by Alumni Class year Decade & Alumni of Record by Class Year Decade*

- **1950s and earlier (61+ yrs)**: $3,174, 2,407 Alumni of Record
- **1960s (51-60 yrs)**: $2,665, 7,761 Alumni of Record
- **1970s (41-50 yrs)**: $2,232, 23,084 Alumni of Record
- **1980s (31-40 yrs)**: $1,827, 33,695 Alumni of Record
- **1990s (21-30 yrs)**: $962, 34,930 Alumni of Record
- **2000s (11-20 yrs)**: $273, 37,717 Alumni of Record
- **2010s and later (0-10 yrs)**: $76, 35,548 Alumni of Record
NEAR-TERM FOCUS AREAS

• Virginia Tech Advantage metrics and timeline
• Top Global 100 initiative metrics and timeline
• VT Alumni Association
  • Alignment with Advancement, supporting and advocating university strategic priorities
  • Vision for Board alignment across the university
DISCUSSION
Report on Gramm-Leach-Bliley Act Compliance and IT Security
FINANCE AND RESOURCE MANAGEMENT COMMITTEE
July 26, 2023

Background:

The Gramm-Leach-Bliley Act (GLBA), introduced as the Financial Services Modernization Act, was signed into law in late 1999. One objective of the act was to enhance consumer privacy and data security by imposing obligations on financial institutions that handle nonpublic personal information (NPI) in the offering of consumer financial products. GLBA mandates compliance with privacy and security rules related to student financial records because the university engages in the application, award and disbursement of student loans. The university agreed in the Program Participation Agreement for Federal student financial aid programs to comply with the GLBA.

To achieve compliance, the university augmented existing information technology policies and standards with program, policies and training to accomplish the following:

a. Ensure the security and confidentiality of customer nonpublic personal financial information records.

b. Protect against any anticipated threats or hazards to the security or integrity of such records.

c. Protect against the unauthorized access to or use of such records or information that could result in substantial harm or inconvenience to customers.

Empowered by the GLBA, the Federal Trade Commission (FTC) issued Part 314 – Standards for Safeguarding Customer Information (Standards) to regulate the collection and disclosure of NPI by financial institutions. To formally comply with these regulations, the university implemented Policy 7025, Safeguarding Nonpublic Customer Information in 2004.

Effective June 9, 2023, updates to the Standards added elements that must be included in the university’s written information security program. One of these elements requires the university’s Qualified Individual to report in writing, regularly and at least annually, to the Board of Visitors on the overall status of the information security program, the compliance status, and material matters related information security program. The university will bring a report on the program at least annually typically to the August board meeting to meet this requirement. Management’s 2023 report on GLBA compliance follows.
University GLBA Compliance Program:

Policy 7025, Safeguarding Nonpublic Customer Information\(^1\) details the university’s compliance program. The policy is administered by the Information Technology Security Officer, therein named the university’s Qualified Individual, and the departments that comprise the GLBA working group. The group includes the Information Technology Security Office (ITSO), the Office of the University Bursar, and University Scholarships and Financial Aid. This program addresses the privacy and security of nonpublic personal information subject to the GLBA and the revised safeguards rule.

Data Compliance Measures:

The university has implemented the following measures to ensure compliance with the revised GLBA regulations:

a. Privacy Policies and Notices: Each identified department adheres to Policy 7030, Policy on Privacy Statements\(^2\) and students receive annual notices\(^3\) including specific GLBA financial records information.

b. Data Classification: ITSO has implemented a data classification\(^4\) standard to categorize data based on sensitivity and to ensure appropriate safeguards are applied to protect nonpublic personal information.

c. Data Security Safeguards: The university has implemented technical, physical, and administrative standards\(^5\) to protect nonpublic personal information from unauthorized access or disclosure. Safeguards for high-risk data\(^6\) include encryption, access controls, intrusion detection systems, staff training, and regular security assessments.

d. Vendor Management: During the procurement process, ITSO completes an initial security review of vendor services for financial solutions utilizing nonpublic personal data and student data covered in the related Family Educational Rights and Privacy Act (FERPA). Each vendor contract is assigned a contract manager at the department level who regularly assesses and monitors the data security practices of their procured third-party service providers with access to nonpublic personal information. Additionally, the contract manager obtains each vendor’s annual Service Organization Controls (SOC) report and considers identified compliance issues when deciding to renew or continue the vendors’ services.

\(^1\) [https://policies.vt.edu/assets/7025.pdf](https://policies.vt.edu/assets/7025.pdf)
\(^2\) [https://policies.vt.edu/7030.pdf](https://policies.vt.edu/7030.pdf)
\(^3\) [https://www.registrar.vt.edu/content/dam/registrar_vt_edu/documents/Updates/Annual-FERPA-Notification.pdf](https://www.registrar.vt.edu/content/dam/registrar_vt_edu/documents/Updates/Annual-FERPA-Notification.pdf)
\(^4\) [https://it.vt.edu/content/dam/it_vt_edu/policies/Virginia-Tech-Risk-Classifications.pdf](https://it.vt.edu/content/dam/it_vt_edu/policies/Virginia-Tech-Risk-Classifications.pdf)
\(^5\) [https://it.vt.edu/content/dam/it_vt_edu/policies/Minimum-Security-Standards.pdf](https://it.vt.edu/content/dam/it_vt_edu/policies/Minimum-Security-Standards.pdf)
\(^6\) [https://it.vt.edu/content/dam/it_vt_edu/policies/Standard-for-High-Risk-Digital-Data-Protection.pdf](https://it.vt.edu/content/dam/it_vt_edu/policies/Standard-for-High-Risk-Digital-Data-Protection.pdf)
e. Incident Response Plans: ITSO developed an incident response plan\(^7\) that outlines steps to take if a security incident or data breach occurs, which includes procedures for addressing a breach of nonpublic personal information.

**Risk Assessment:**

As part of our commitment to data protection, the university conducted a comprehensive risk assessment, incorporating the data collected to identify potential threats and vulnerabilities associated with handling nonpublic personal information subject to the GBLA rules. The assessment included the following steps:

a. **Identification of Assets:** Each department has identified the assets within its information systems that contain high-risk data, including nonpublic personal information.

b. **Threat Identification:** The GLBA working group has reviewed potential threats that could compromise the confidentiality, integrity, or availability of nonpublic personal information, such as unauthorized access, pretexting, data breaches, malware attacks, or physical theft.

c. **Vulnerability Assessment:** The GLBA working group has evaluated the existing security controls and safeguards in place to identify any weaknesses or vulnerabilities that malicious parties could exploit.

d. **Risk Analysis:** ITSO has reviewed identified departmental risk assessments. The GLBA team has conducted an annual risk assessment for the university analyzing the likelihood and impact of potential risks to prioritize and determine the level of risk associated with each identified threat.

e. **Risk Mitigation:** Based on the risk analysis, the identified departments and the GLBA working group reviewed risk mitigation for the areas identified. Based on this analysis, the university is working with two identified vendors to implement multi-factor authentication as required by the safeguards rule.

**Compliance Status:**

The GLBA working group through completion of the above has determined that the university is currently in compliance with the Standards. The Office of Audit, Risk, and Compliance is in the process of conducting an internal audit of the university’s program and will present any recommendations to the Board’s Compliance Audit Risk Committee when the project is complete. Management is not aware of any findings or audit recommendations at this time resulting from either the internal or external audits in progress.

\(^7\) [https://security.vt.edu/docs/incident/incident_response.pdf](https://security.vt.edu/docs/incident/incident_response.pdf)
Ongoing Efforts:

Each department within the university’s GLBA compliance program remains committed to continuously improving data protection practices and risk management strategies. The Qualified Individual, in collaboration with ITSO, the Office of the University Bursar, and University Scholarships and Financial Aid, will continue to monitor regulatory updates, conduct regular risk assessments, enhance security measures, provide training and awareness programs, and proactively address emerging threats to maintain the privacy and security of nonpublic personal information.

RECOMMENDATION:

That the Report on Gramm-Leach-Bliley Act (GLBA) Compliance and IT be accepted by the Finance and Resource Management Committee.

August 29, 2023
REPORT ON GRAMM-LEACH-BLILEY ACT COMPLIANCE AND IT SECURITY

RANDY MARCHANY, CHIEF INFORMATION SECURITY OFFICER
MELINDA WEST, ASSOCIATE VP FOR FINANCE & UNIVERSITY CONTROLLER

August 28, 2023
GRAMM-LEACH-BLILEY ACT (GLBA)

➢ Enacted in early 2000s to control how financial institutions deal with individuals’ private information
➢ Established standards for handling of nonpublic personal information
   • Security and confidentiality
   • Protect against anticipated threats and hazards impacting security and integrity
   • Protect against unauthorized access of information resulting in substantial harm or inconvenience
Effective June 9, 2023, revisions in the Standards for Safeguarding Customer Information Rule 16 CFR Part 314 include:

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<th>Description</th>
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<tr>
<td>Annual report to BOV on program</td>
<td>August 2023</td>
</tr>
<tr>
<td>Designated Qualified Individual</td>
<td>Randy Marchany, Chief Information Security Officer</td>
</tr>
<tr>
<td>Risk assessment, implementation of safeguards, testing and written program</td>
<td>Completed June 2023</td>
</tr>
<tr>
<td>Incident response plan</td>
<td>Reviewed June 2023</td>
</tr>
<tr>
<td>Service provider oversight</td>
<td>Completed annually</td>
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GLBA COMPLIANCE

Compliance Program Administrative Team

Qualified Individual
Information Technology Security Officer

GLBA Working Group
Information Technology Security Office
Office of the Bursar
University Scholarship & Financial Aid
DATA COMPLIANCE MEASURES

- Privacy Policies and Notices
- Data Classification
- Data Security Safeguards
- Vendor Management
- Incident Response Plans
Assets Distribution

(U) Risk Asset Classifications
- High (4536)
- Moderate (20441)
- Low (22564)

(U) High Risk Categories
- Critical to University (227)
- SSN (785)
- Protected Health Information (355)
- Student Records (FERPA) (3075)
- Financial Account Numbers (206)
- Payment Card Numbers (195)
- PI (Military ID, Passport, Drivers License) (889)
- Controlled Unclassified Information (205)
- Dynamic Host Configuration Protocol (DHCP) (18)
- Domain Name System (DNS) (24)
- Authentication, Authorization, Accounting (238)
- Email System (116)

Total: 3,075
RISK ASSESSMENT

- Identification of Assets
- Threat Identification
- Vulnerability Assessment
- Risk Analysis
- Risk Mitigation
REPORT ON GRAMM-LEACH-BLILEY ACT COMPLIANCE AND IT SECURITY

RECOMMENDATION

That the Report on Gramm-Leach-Bliley Act (GLBA) Compliance and IT be accepted by the Finance and Resource Management Committee.

August 29, 2023
EVPCOO UPDATE AND DISCUSSION

AMY SEBRING
EXECUTIVE VICE PRESIDENT AND CHIEF OPERATING OFFICER

August 29, 2023
DISCUSSION
UPDATE ON THE 2024-2030 SIX-YEAR PLAN

TIM HODGE, ASSOCIATE VICE PRESIDENT FOR BUDGET AND FINANCIAL PLANNING
SIX-YEAR PLANNING PROCESS

Required by the Higher Education Opportunity Act of 2011
Outlines the university’s alignment with Virginia Plan for Higher Education
Positions the university to seek state support

Timeline
• May 17 – SCHEV Instructions
• June 6 – BOV Finance and Resource Management Committee Update
• July 17 – Initial Submission to State
• August 31 – OpSix presentation
• September – Feedback from OpSix
• Fall – Executive Budget Request Process
• November – BOV review and approval of final plan
Virginia Tech Research Enterprise

~$600M
RESEARCH EXPENDITURES IN FY22

#54
NATIONAL SCIENCE FOUNDATION HERD SURVEY

TOP 6%
RESEARCH EXPENDITURES

2,097
NEW AWARDS IN FY22

TOP 100 GLOBAL RESEARCH INSTITUTION

Cutting-Edge Education

Industry Partnerships

Talent Attraction

Economic Growth
TOP 100 GLOBAL RESEARCH INSTITUTION

Virginia Tech Research Frontiers

Artificial Intelligence
Health
Security
Quantum
Inspired by its land-grant mission, Virginia Tech strives to extend opportunities for a high-quality educational experience to all students regardless of financial circumstances.

University-wide, multiyear commitment that will leverage institutional, state, and private funds, and a portion of university planned reallocations.

**THE VIRGINIA TECH ADVANTAGE**

**Affordability**
- Close net price gap with peers
- Reduce financial precarity to maintain progress toward degree.
- Remove financial barriers through scholarships and emergency funds.

**Student Success**
- Provide a holistic approach to student success, including enhanced advising programs that bolster retention and reduce time-to-degree.
- Emphasis living-learning communities and degree-embedded experiential learning.
VIRGINIA TECH PRODUCES THE MOST STEM-H DEGREES

STEM-H Degrees 2022
Top 5 Public Universities in VA

VT: 5,728
GMU: 4,184
UVA: 3,224
VCU: 2,924
ODU: 2,289
First Year Experiences – Career and Professional Development faculty guide students through career exploration in their first year.

Bridge Experiences – Curriculum and course redesign initiative to building transcriptable, career-related experience into every Virginia Tech degree.

Experiential Learning:
VTOP – continued engagement with Virginia employers who can offer meaningful work-based learning experiences.
Undergraduate Research – engages students in problem solving, including experience with emerging technologies like drones, AI, and machine learning.
Virginia Tech Transportation Institute Intern Hub – allows students to work on high-tech automotive projects during academic year and complete a summer internship with industry partner. The Virginia Tech Advantage will provide greater flexibility for students to pursue paid internships and other professional experience opportunities.
Current conditions:
• Physicians shortages forecast for the Commonwealth; shortfall more acute in rural areas
• VTCSOM currently receives no operating support from the Commonwealth for medical education
• No differential tuition for in-state students

Future state investment would:
• Increase class size
• Allow for reduced in-state tuition
• Provide financial aid to reduce student borrowing

- Nearly 100% match in residency programs
- Screens over 7,000 applicants for 49 positions
To enable the university to make progress towards the strategic initiatives, many operational costs must be managed.

**FACULTY & STAFF COMPENSATION**
A priority to ensure a talented workforce, VT will make limited progress towards market compensation using self-generated revenue coupled with state programs to elevate market standing.

**O&M OF NEW FACILITIES**
Several critical academic facilities will come on-line during the 2024-26 biennium, requiring O&M support to ensure full benefits of the facility.

**CURRENT OPERATIONS**
Uncontrollable cost increases associated with leases, employee benefits like health insurance and retirement, and inflationary contracts.

**LIBRARY AND UTILITY INFLATION**
Journal, software, data source subscriptions, electricity, and other inflationary costs.
STRATEGIC REALLOCATION

• Limited resources require Virginia Tech to prioritize initiatives for funding.

• Strategic Reallocations allow for:
  
  Multi-year planning

  Process redesign and technology upgrades to facilitate work

  Programmatic focus and alignment

• The university is planning $25 million reallocation program implemented over a 5-year time period.
<table>
<thead>
<tr>
<th>Category</th>
<th>2024-25</th>
<th>2025-26</th>
</tr>
</thead>
<tbody>
<tr>
<td>Moderate In-State Tuition Increases</td>
<td>$5.8M</td>
<td>$11.7M</td>
</tr>
<tr>
<td>Increase Need-Based Financial Aid</td>
<td>$6.5M</td>
<td>$13.0M</td>
</tr>
<tr>
<td>Expand Medical Education</td>
<td>$10.1M</td>
<td>$15.6M</td>
</tr>
<tr>
<td>Advance Research Frontiers</td>
<td>$3.8M</td>
<td>$7.5M</td>
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<tr>
<td>Unique Military Activities</td>
<td>$0.4M</td>
<td>$0.7M</td>
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<tr>
<td>O&amp;M of New Facilities</td>
<td>$3.2M</td>
<td>$3.4M</td>
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</table>
COOPERATIVE EXTENSION/AGRICULTURAL EXPERIMENT STATION
GENERAL FUND REQUESTS

<table>
<thead>
<tr>
<th></th>
<th>2024-25</th>
<th>2025-26</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agricultural Innovation and Community Resource Development</td>
<td>$0.7M</td>
<td>$1.4M</td>
</tr>
<tr>
<td>• Specialized agents and specialists for opportunities in precision agriculture, automation &amp; connectivity, data analytics, and controlled environment agriculture.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Advanced Equipment</td>
<td>$0.7M</td>
<td>$0.7M</td>
</tr>
<tr>
<td>• Technology and equipment is needed to ensure innovative leadership for the Virginia's agribusiness industry.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintain Level of Service</td>
<td>$1.1M</td>
<td>$2.2M</td>
</tr>
<tr>
<td>• Support NGF share of state cost assignments and utility cost increases.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
NEXT STEPS

• August 31 – OpSix meeting
• September – Feedback from the state
• October 1 – University response to feedback
• Fall – Executive Budget Request
• November - BOV review and approval of final plan
DISCUSSION
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 June 2022-23 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 budgetary 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 in grant funds with revenue and expenditure budgets upon the effective date of each project, which normally occurs on July 1 or regularly scheduled meetings of the Board of Visitors. 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, and these budgets are approved by the Board of Visitors at the June meeting. 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, 2022 through June 30, 2023 and the Capital Outlay report be approved.

August 29, 2023
### Educational and General Programs

#### University Division

<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></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Fund</td>
<td>$237,489</td>
<td>$238,641</td>
<td>-1,152 (1)</td>
<td>$238,843</td>
<td>$238,641</td>
<td>-202 (12)</td>
</tr>
<tr>
<td>Tuition and Fees</td>
<td>660,596</td>
<td>659,167</td>
<td>1,429 (2)</td>
<td>652,850</td>
<td>659,167</td>
<td>6,317 (13)</td>
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<tr>
<td>All Other Income</td>
<td>44,858</td>
<td>50,031</td>
<td>-5,173 (3)</td>
<td>45,752</td>
<td>50,031</td>
<td>4,279 (14)</td>
</tr>
<tr>
<td><strong>Total Revenues</strong></td>
<td>$942,943</td>
<td>$947,839</td>
<td>-4,896</td>
<td>$937,445</td>
<td>$947,839</td>
<td>10,394 (12,13,14)</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Academic Programs</td>
<td>-584,592</td>
<td>-590,386</td>
<td>5,794 (4)</td>
<td>-607,438</td>
<td>-590,386</td>
<td>17,052</td>
</tr>
<tr>
<td>Support Programs</td>
<td>-354,518</td>
<td>-357,453</td>
<td>2,935 (4)</td>
<td>-330,007</td>
<td>-357,453</td>
<td>-27,446</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>-3,833</td>
<td>0</td>
<td>-3,833 (5)</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>Total Expenses</strong></td>
<td>-942,943</td>
<td>-947,839</td>
<td>4,896</td>
<td>-937,445</td>
<td>-947,839</td>
<td>-10,394 (12,13,14)</td>
</tr>
<tr>
<td><strong>NET</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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#### CE/AES Division

<table>
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<tr>
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<th>Actual</th>
<th>Budget</th>
<th>Change</th>
<th>Original</th>
<th>Adjusted</th>
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<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Fund</td>
<td>$86,461</td>
<td>$86,461</td>
<td>0</td>
<td>$86,338</td>
<td>$86,461</td>
<td>$123 (15)</td>
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<tr>
<td>Federal Appropriation</td>
<td>13,605</td>
<td>17,046</td>
<td>-3,441 (6)</td>
<td>15,647</td>
<td>17,046</td>
<td>1,399 (16)</td>
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<tr>
<td>All Other Income</td>
<td>1,409</td>
<td>1,129</td>
<td>280</td>
<td>879</td>
<td>1,129</td>
<td>250 (17)</td>
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<tr>
<td><strong>Total Revenues</strong></td>
<td>$101,475</td>
<td>$104,636</td>
<td>-3,161</td>
<td>$102,863</td>
<td>$104,636</td>
<td>$1,773 (15,16,17)</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Academic Programs</td>
<td>-95,690</td>
<td>-97,704</td>
<td>2,014 (7)</td>
<td>-94,536</td>
<td>-97,704</td>
<td>-3,168</td>
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<tr>
<td>Support Programs</td>
<td>-6,436</td>
<td>-6,932</td>
<td>496</td>
<td>-8,327</td>
<td>-6,932</td>
<td>1,395</td>
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<td>Reserve Drawdown/(Deposit)</td>
<td>651</td>
<td>0</td>
<td>651 (8)</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td><strong>NET</strong></td>
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#### Auxiliary Enterprises

<table>
<thead>
<tr>
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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>$430,535</td>
<td>$419,260</td>
<td>$11,275 (9)</td>
<td>$403,554</td>
<td>$419,260</td>
<td>$15,706 (9)</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td>-399,569</td>
<td>-443,548</td>
<td>44,979 (9)</td>
<td>-390,543</td>
<td>-443,548</td>
<td>-53,005 (9)</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>-31,966</td>
<td>24,288</td>
<td>-56,254 (9)</td>
<td>-13,011</td>
<td>24,288</td>
<td>37,299 (9)</td>
</tr>
<tr>
<td><strong>NET</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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#### Sponsored Programs

<table>
<thead>
<tr>
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<th>Change</th>
<th>Original</th>
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<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td>$412,866</td>
<td>$390,052</td>
<td>$22,814 (10)</td>
<td>$389,077</td>
<td>$390,052</td>
<td>$975 (18)</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td>-387,311</td>
<td>-390,052</td>
<td>2,741 (10)</td>
<td>-389,077</td>
<td>-390,052</td>
<td>-2,718 (19)</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>-25,555</td>
<td>0</td>
<td>-25,555</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td><strong>NET</strong></td>
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<td>$0</td>
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#### Student Financial Assistance

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<th>Original</th>
<th>Adjusted</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td>$49,747</td>
<td>$51,181</td>
<td>-1,434 (1)</td>
<td>$48,463</td>
<td>$51,181</td>
<td>$2,718 (19)</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td>-49,749</td>
<td>-51,181</td>
<td>1,432</td>
<td>-48,463</td>
<td>-51,181</td>
<td>-2,718 (19)</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>2</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td><strong>NET</strong></td>
<td>$0</td>
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<td>$0</td>
<td>$0</td>
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#### All Other Programs *

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<tr>
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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>Revenue</strong></td>
<td>$19,937</td>
<td>$19,491</td>
<td>$446</td>
<td>$16,144</td>
<td>$19,544</td>
<td>$3,400 (20)</td>
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<tr>
<td><strong>Expenses</strong></td>
<td>-34,385</td>
<td>-37,910</td>
<td>3,525 (11)</td>
<td>-16,144</td>
<td>-37,910</td>
<td>-21,766 (20)</td>
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<tr>
<td><strong>Transfers</strong></td>
<td>-3,196</td>
<td>-3,196</td>
<td>0</td>
<td>0</td>
<td>-3,196</td>
<td>-3,196 (20)</td>
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<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>17,644</td>
<td>21,615</td>
<td>-3,971 (11)</td>
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<td>$0</td>
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</table>

#### Total University

<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>$1,957,503</td>
<td>$1,932,459</td>
<td>$25,044</td>
<td>$1,897,546</td>
<td>$1,932,512</td>
<td>$34,966</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td>-1,911,250</td>
<td>-1,975,166</td>
<td>63,916</td>
<td>-1,884,535</td>
<td>-1,975,166</td>
<td>-90,631</td>
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<tr>
<td><strong>Transfers</strong></td>
<td>-3,196</td>
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<td>0</td>
<td>0</td>
<td>-3,196</td>
<td>-3,196 (20)</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>-43,057</td>
<td>45,903</td>
<td>-88,960</td>
<td>-13,011</td>
<td>45,850</td>
<td>58,861</td>
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<tr>
<td><strong>NET</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

* All Other Programs include federal work study, surplus property, local funds, and unique military activities.
1. General Fund Revenues are lower than budgeted due to lower than projected interest earnings and credit rebates returned to the institution.

2. Tuition & Fee revenues are higher than projected due to lower tuition waivers than originally estimated and higher than projected specialized program fee revenues.

3. University Division all other income revenues are lower than projected due to timing of revenues.

4. University Division expenditures are lower than historical projections due to timing of expenses.

5. While the Commonwealth requires revenues and expenses be balanced for Educational and General Programs, year end balances are possible for continuing education programs.

6. 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 drawdown.

7. Cooperative Extension and Agriculture Experiment Station Division academic program expenditures are lower than historical projections due to timing of expenses.

8. While the Commonwealth requires that revenue and expenses be balanced for Educational and General Programs, variances in federal funds are possible due to the timing differences between drawdowns and expenses.

9. Quarterly and projected annual variances are explained in the Auxiliary Enterprises section of this report.

10. 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 expenditures are higher than projected. The sponsored research expenditures are 12.8% higher than June 30, 2022.

11. Expenses for All Other Programs were lower than projected due to timing of expenditures and lower than projected Surplus Property activity.

12. The annual budget for the University Division General Fund was decreased $0.2 million for the state share of salary and fringe benefit rate changes. The corresponding expenditure budgets have been adjusted accordingly.

13. The annual budget for Tuition and Fees was decreased $3.2 million for higher than projected codified Virginia Military Survivor Waivers, $1.9 million for scholarships and budget finalization, and $0.4 million for lower than projected professional program enrollments. The budget was increased $0.6 million for higher than projected summer and winter session revenues, $2.1 million for higher than projected undergraduate non-resident enrollment, $5.1 million for higher than projected graduate enrollment, $3.2 million for projected savings in rate discounts and waivers, and $0.9 million for higher than projected specialized program fee revenues. The corresponding expenditure budgets have been adjusted accordingly.

14. The University Division All Other Income revenue budget was increased $4.3 million for self-generated earmarked revenues and higher than projected continuing education activity. The corresponding expenditure budgets have been adjusted accordingly.
15. The Cooperative Extension/Agriculture Experiment State Division General Fund revenue budget was increased $0.1 million for the state share of salary and fringe benefit rate changes. The corresponding expenditure budgets have been adjusted accordingly.

16. The federal revenue budget in the Cooperative Extension/Agricultural Experiment Station Division has been increased $1.4 million for the carryover of unexpended federal funds in FY22. The corresponding expenditure budgets have been adjusted accordingly.

17. The All Other Income budget in the Cooperative Extension/Agricultural Experiment Station Division has been increased $0.3 million for the higher than projected VCE self-generated revenue. The corresponding expenditure budgets have been adjusted accordingly.

18. The Sponsored programs revenue and expenditure budgets were increased $1.0 million for Historical Horse Racing revenue to support the Virginia Maryland Regional College of Veterinary Medicine.

19. The Student Financial Assistance revenue and expenditure budgets were increased $2.0 million for the finalization of the scholarship budget, $0.3 million for the nongeneral fund scholarship program, and $0.4 million for higher than projected Virginia Military Survivor Stipends and 2-Year College Transfer Grant scholarships.

20. The projected annual budgets for All Other Programs were decreased $0.2 million to finalize budgets and increased $0.3 million for Surplus Property business volume. The revenue budget was increased $2.9 million for technical alignment. The projected annual expense budgets were increased $1.0 million for outstanding 2021-22 commitments that were initiated but not completed before June 30, 2022, increased $25.1 million for an approved capital plan, and a $3.2 million transfer was made to support an 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>$157,630</td>
<td>$154,896</td>
<td>$2,734 (1)</td>
<td>$149,746</td>
<td>$154,896</td>
<td>$5,150 (9)</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td>-153,220</td>
<td>-162,396</td>
<td>9,176 (1)</td>
<td>-148,362</td>
<td>-162,396</td>
<td>-14,034 (9,11)</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>-4,410</td>
<td>7,500</td>
<td>-11,910 (1)</td>
<td>-1,384</td>
<td>7,500</td>
<td>8,884 (11)</td>
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<tr>
<td><strong>Net</strong></td>
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<td>$0</td>
<td>$0</td>
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### Parking and Transportation

<table>
<thead>
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<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>$21,370</td>
<td>$19,813</td>
<td>$1,557 (2)</td>
<td>$18,213</td>
<td>$19,813</td>
<td>$1,600 (12)</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td>-16,758</td>
<td>-20,480</td>
<td>3,722 (2)</td>
<td>-15,602</td>
<td>-20,480</td>
<td>-4,878 (11,12)</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>-4,612</td>
<td>667</td>
<td>-5,279 (2)</td>
<td>-2,611</td>
<td>-667</td>
<td>3,278 (11,12)</td>
</tr>
<tr>
<td><strong>Net</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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### Telecommunications Services

<table>
<thead>
<tr>
<th></th>
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<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>$26,296</td>
<td>$25,480</td>
<td>$816</td>
<td>$27,007</td>
<td>$25,480</td>
<td>$1,527 (13)</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td>-27,097</td>
<td>-35,725</td>
<td>8,628 (3)</td>
<td>-26,836</td>
<td>-35,725</td>
<td>-8,889 (11,13)</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>801</td>
<td>10,245</td>
<td>-9,444 (3)</td>
<td>-171</td>
<td>10,245</td>
<td>10,416 (11,13)</td>
</tr>
<tr>
<td><strong>Net</strong></td>
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<td>$0</td>
<td>$0</td>
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### University Services * **

<table>
<thead>
<tr>
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<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>$62,555</td>
<td>$61,161</td>
<td>$1,394 (4)</td>
<td>$60,607</td>
<td>$61,161</td>
<td>$554 (14)</td>
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<tr>
<td><strong>Expenses</strong></td>
<td>-55,518</td>
<td>-70,721</td>
<td>15,203 (4)</td>
<td>-59,606</td>
<td>-70,721</td>
<td>-11,115 (10,11,14)</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>-7,037</td>
<td>9,560</td>
<td>-16,597 (4)</td>
<td>-1,001</td>
<td>9,560</td>
<td>10,561 (10,11,14)</td>
</tr>
<tr>
<td><strong>Net</strong></td>
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<td>$0</td>
<td>$0</td>
<td>$0</td>
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### Intercollegiate Athletics *

<table>
<thead>
<tr>
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<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>$94,666</td>
<td>$94,045</td>
<td>$621</td>
<td>$92,114</td>
<td>$94,045</td>
<td>$1,931 (15)</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td>-87,165</td>
<td>-89,895</td>
<td>2,730 (5)</td>
<td>-86,188</td>
<td>-89,895</td>
<td>-3,707 (11,15)</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>-7,501</td>
<td>-4,150</td>
<td>-3,351 (5)</td>
<td>-5,926</td>
<td>-4,150</td>
<td>1,776 (11,15)</td>
</tr>
<tr>
<td><strong>Net</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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</tbody>
</table>

### Electric Service *

<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>$39,015</td>
<td>$38,700</td>
<td>$315</td>
<td>$36,861</td>
<td>$38,700</td>
<td>$1,839 (10)</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td>-43,913</td>
<td>-45,533</td>
<td>1,620 (6)</td>
<td>-37,889</td>
<td>-45,533</td>
<td>-7,644 (10,11,16)</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>4,898</td>
<td>6,833</td>
<td>-1,935 (6)</td>
<td>1,028</td>
<td>6,833</td>
<td>5,805 (10,11,16)</td>
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<tr>
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<td>$0</td>
<td>$0</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>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenues</strong></td>
<td>$13,366</td>
<td>$11,502</td>
<td>$1,864 (7)</td>
<td>$10,410</td>
<td>$11,502</td>
<td>$1,092 (10,17)</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td>-11,347</td>
<td>-12,331</td>
<td>984 (7)</td>
<td>-9,984</td>
<td>-12,331</td>
<td>-2,347 (10,11,17)</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>-2,019</td>
<td>829</td>
<td>-2,848 (7)</td>
<td>-426</td>
<td>829</td>
<td>1,255 (10,11,17)</td>
</tr>
<tr>
<td><strong>Net</strong></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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</tr>
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</table>

### Other Enterprise Functions ***

<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>$15,637</td>
<td>$13,663</td>
<td>$1,974 (8)</td>
<td>$8,596</td>
<td>$13,663</td>
<td>$5,067 (10,18)</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td>-5,551</td>
<td>-6,467</td>
<td>916 (8)</td>
<td>-6,076</td>
<td>-6,467</td>
<td>-391 (10,11,18)</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>-12,086</td>
<td>-7,196</td>
<td>-4,890 (8)</td>
<td>-2,520</td>
<td>-7,196</td>
<td>-4,676 (10,11,18)</td>
</tr>
<tr>
<td><strong>Net</strong></td>
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<td>$0</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
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</table>

### 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>$430,535</td>
<td>$419,260</td>
<td>$11,275</td>
<td>$403,554</td>
<td>$419,260</td>
<td>$15,706</td>
</tr>
<tr>
<td><strong>Expenses</strong></td>
<td>-398,569</td>
<td>-443,548</td>
<td>44,979</td>
<td>-390,543</td>
<td>-443,548</td>
<td>-53,005</td>
</tr>
<tr>
<td>Reserve Drawdown/(Deposit)</td>
<td>-31,966</td>
<td>24,288</td>
<td>-56,254</td>
<td>-13,011</td>
<td>24,288</td>
<td>37,299</td>
</tr>
<tr>
<td><strong>Net</strong></td>
<td>$0</td>
<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.

Presentation Date: August 29, 2023
AUXILIARY ENTERPRISE BUDGET

1. Revenues in Residence and Dining Halls are higher than projected due to higher than budgeted self-generated revenues from summer conferences. Expenses are lower than projected due to timing of operating expenses, one-time facility improvement projects, and replacement of furniture and equipment normally scheduled during the summer months.

2. Revenues in Parking and Transportation Services are higher than projected due to higher than budgeted self-generated revenues. Expenses are lower than projected due to timing of operating expenses, Fleet Services vehicle replacement purchases, and transit equipment purchases.

3. Expenses in Telecommunications Services are lower than projected due to timing of network telecommunication projects and supply chain disruptions impacting delivery of telecommunication network equipment.

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, health services renovation projects, recreation field turf replacement, private funded table tennis project, and facility projects scheduled for summer months.

5. Expenses for Intercollegiate Athletics are lower than projected due to timing of expenses and one-time facility and equipment projects.

6. Expenses for the Electric Service auxiliary are lower than projected due to timing of items ordered but not yet received thus not paid at fiscal year-end.

7. Revenues for the Inn at Virginia Tech are higher than projected due to higher than budgeted self-generated revenue. Expenses are lower than projected due to timing of operating expenses and facility projects.

8. Revenues for Other Enterprise Functions are higher than projected due to increased business volume in New Student Programs, Licensing and Trademark, and Software Sales. Expenses are lower than projected due to the timing of operating expenses and facility related projects.

9. The annual revenue and expense budgets for Residence and Dining Halls were increased $2.0 million for the Dietrick Spirit Plaza project expenses and associated private gifts, $3.2 million for increased dining business volume, and $5.4 million for residence hall repair expenses.

10. In June 2022, the annual revenue, expense, and reserve budgets for Auxiliary Enterprises were adjusted for technical alignments and finalization of fixed cost estimates.

11. The annual expense budget for Auxiliary Enterprises was increased $24.2 million for outstanding 2021-22 commitments and projects that were initiated but not completed before June 30, 2022.

<table>
<thead>
<tr>
<th>Auxiliary Enterprise</th>
<th>Outstanding Commitments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Residence and Dining Halls</td>
<td>$3,436,244</td>
</tr>
<tr>
<td>Parking and Transportation</td>
<td>$1,927,844</td>
</tr>
<tr>
<td>Telecommunication Services</td>
<td>$6,835,353</td>
</tr>
<tr>
<td>University Services System</td>
<td>$4,662,413</td>
</tr>
<tr>
<td>Intercollegiate Athletics</td>
<td>$2,169,202</td>
</tr>
<tr>
<td>Electric Service</td>
<td>$3,528,523</td>
</tr>
<tr>
<td>Inn at Virginia Tech</td>
<td>$92,000</td>
</tr>
<tr>
<td>Other Enterprise Functions</td>
<td>$1,579,837</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>$24,231,416</strong></td>
</tr>
</tbody>
</table>
12. The annual expense and reserve budgets for Parking and Transportation Services were increased $2.2 million for transportation equipment maintenance. The revenue budget was increased $1.6 million and expense budget increased $0.6 million for higher business volume.

13. The annual revenue, expense, and reserve budgets for Telecommunications Services were increased $0.5 million for network infrastructure installation revenue and $2.0 million for associated equipment expenses. The revenue budget was decreased by $2.0 million for timing of the residential network refresh project.

14. The annual revenue, expense, and reserve budgets for University Services System were increased $0.5 million for private gift revenue and expenses increased $1.7 million for a private gift funded table tennis project, $2.0 million for Recreational Sports War Memorial Hall maintenance project expenses, and $2.0 million for recreational field turf replacement project.

15. The annual revenue, expense, and reserve budgets for Intercollegiate Athletics were increased $0.1 million for private gift revenue and $0.5 million expense to accommodate a temporary loan for the women’s basketball locker room renovation project. The annual revenue budget was increased $0.8 million for ACC network revenues, $0.4 million for football revenues, $0.2 million private support for sports operating projects, and $0.4 million increase in self-generated revenues. The annual expense budget was increased $0.6 million for coaching contracts and faculty leave payouts, $1.8 million for team travel inflationary increases and to fully fund sport operating budgets, $1.2 million for Lombardi Student Athlete Development Center renovations, $1.2 million for turf replacement, $0.9 million for scoreboard projects, and $1.0 million sports operating and repair expenses, partially offset by a decrease of $1.0 million for removal of bowl contingency, a decrease of $3.6 million for alignment of scholarship expenses resulting from the timing of the student athlete academic incentive, and a decrease of $1.0 million for alignment of scholarship expenses to private fundraising.

16. The annual revenue budget for the Electric Service auxiliary was decreased $0.7 million for lower electrical consumption. The annual expense and reserve budgets were increased $0.6 million due for higher than budgeted cost of wholesale electricity and electrical material costs, and increased $1.6 million for higher cost of electricity and operating costs.

17. The annual expense budget for The Inn at Virginia Tech and Skelton Conference Center was increased $0.7 million for higher operating costs.

18. The annual expense and reserve budgets for Other Enterprise Functions were increased for technical accounting alignments and scholarship expenses in Licensing and Trademark. The annual revenue and expense budgets were increased $0.2 million for private gift funded Tailor Shop renovation planning.
## Capital Outlay Projects

### Authorized As of June 30, 2023

**Dollars in Thousands**

### Fiscal Year Activity

<table>
<thead>
<tr>
<th>Project</th>
<th>Initiated</th>
<th>Annual Budget</th>
<th>YTD Expenditures</th>
<th>State Support</th>
<th>Nongeneral Revenue</th>
<th>Total Budget</th>
<th>Cumulative Expenditures</th>
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<tr>
<td><strong>Educational and General Projects</strong></td>
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<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
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<tr>
<td><strong>Design Phase</strong></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mitchell Hall (Replace Randolph Hall)</td>
<td>Jul 2020</td>
<td>$4,400</td>
<td>$5,019</td>
<td>$264,453</td>
<td>$11,000</td>
<td>$16,828</td>
<td>$292,281</td>
</tr>
<tr>
<td>Planning: New Business Building</td>
<td>Apr 2022</td>
<td>3,000</td>
<td>900</td>
<td>-</td>
<td>8,000</td>
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<tr>
<td><strong>Construction Phase</strong></td>
<td></td>
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<tr>
<td>Maintenance Reserve</td>
<td>On-going</td>
<td>18,109</td>
<td>14,571</td>
<td>20,729</td>
<td>-</td>
<td>-</td>
<td>20,729</td>
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<tr>
<td>Corps Leadership and Military Science Building</td>
<td>Jun 2019</td>
<td>20,000</td>
<td>17,990</td>
<td>-</td>
<td>21,600</td>
<td>30,400</td>
<td>52,000</td>
</tr>
<tr>
<td>Innovation Campus - Academic Building</td>
<td>Jul 2019</td>
<td>88,000</td>
<td>91,245</td>
<td>177,164</td>
<td>-</td>
<td>124,972</td>
<td>302,136</td>
</tr>
<tr>
<td>Hitt Hall</td>
<td>Apr 2017</td>
<td>28,000</td>
<td>24,869</td>
<td>-</td>
<td>31,657</td>
<td>53,343</td>
<td>85,000</td>
</tr>
<tr>
<td>Undergraduate Science Laboratory Building</td>
<td>Jul 2017</td>
<td>30,000</td>
<td>24,792</td>
<td>90,412</td>
<td>-</td>
<td>-</td>
<td>90,412</td>
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<tr>
<td>Building Envelope Improvements</td>
<td>Aug 2022</td>
<td>2,000</td>
<td>1,414</td>
<td>-</td>
<td>13,580</td>
<td>33,620</td>
<td>47,200</td>
</tr>
<tr>
<td>Life, Health, Safety, Accessibility, &amp; Code Compliance</td>
<td>Jul 2020</td>
<td>2,910</td>
<td>1,650</td>
<td>10,400</td>
<td>-</td>
<td>-</td>
<td>10,400</td>
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<tr>
<td><strong>Equipment and Special Initiatives</strong></td>
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<td></td>
</tr>
<tr>
<td>Commonwealth Cyber Initiative</td>
<td>May 2019</td>
<td>4</td>
<td>2</td>
<td>1,500</td>
<td>-</td>
<td>-</td>
<td>1,500</td>
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<tr>
<td>Fralin Biomedical Research Institute Equipment</td>
<td>Jul 2020</td>
<td>3,500</td>
<td>1,818</td>
<td>18,133</td>
<td>-</td>
<td>-</td>
<td>18,133</td>
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<tr>
<td>Equipment for Workforce Development</td>
<td>May 2021</td>
<td>3,000</td>
<td>5,118</td>
<td>24,902</td>
<td>-</td>
<td>-</td>
<td>24,902</td>
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<tr>
<td><strong>Close-Out</strong></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Improve Kentland Facilities</td>
<td>Sep 2013</td>
<td>132</td>
<td>112</td>
<td>12,463</td>
<td>-</td>
<td>-</td>
<td>12,463</td>
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<tr>
<td>Gas-Fired Boiler at the Central Steam Plant</td>
<td>Apr 2017</td>
<td>162</td>
<td>39</td>
<td>-</td>
<td>8,200</td>
<td>-</td>
<td>8,200</td>
</tr>
<tr>
<td>Chiller Plant Phase II</td>
<td>Oct 2016</td>
<td>3,081</td>
<td>2,518</td>
<td>32,655</td>
<td>-</td>
<td>10,312</td>
<td>42,968</td>
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<tr>
<td>Holden Hall Renovation</td>
<td>Oct 2016</td>
<td>5,327</td>
<td>3,943</td>
<td>57,215</td>
<td>8,962</td>
<td>8,750</td>
<td>74,927</td>
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<tr>
<td>Planning: Relocate Hampton Roads AREC</td>
<td>Jul 2022</td>
<td>200</td>
<td>365</td>
<td>500</td>
<td>-</td>
<td>-</td>
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<tr>
<td>Data and Decision Science Building</td>
<td>Jul 2019</td>
<td>20,000</td>
<td>22,540</td>
<td>69,000</td>
<td>-</td>
<td>10,000</td>
<td>79,000</td>
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<tr>
<td>Commerce Street Property Acquisition</td>
<td>Jun 2023</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>540</td>
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<td><strong>Total Educational and General Projects</strong></td>
<td></td>
<td>$238,100</td>
<td>$222,904</td>
<td>$804,800</td>
<td>$113,851</td>
<td>$277,913</td>
<td>$1,196,565</td>
</tr>
</tbody>
</table>

**Presentation Date:** August 29, 2023
1. **Mitchell Hall (Replace Randolph Hall):** This state authorized project will replace Randolph Hall with an approximately 285,000 gross square foot building to accommodate engineering instruction and research. The state authorized construction funding effective July 1, 2022. The Division of Engineering and Buildings issued the project’s Schematic Cost Report on May 24, 2023. The report increases the total budget to $280 million from $248 million. Working Drawings are underway. Resources are available and sufficient to cover the accelerated cash flows, and the project remains within the authorized total budget.

2. **Planning: New Business Building:** This planning project will design a 104,000 gross square foot building for the Pamplin College of Business. The project is progressing into preliminary design.

3. **Maintenance Reserve:** The total project budget reflects $3.27 million of carryforward from fiscal year 2022 and $17.462 million of new appropriations from the State for fiscal year 2023. The annual budget amount reflects the pace necessary to meet the state’s 85 percent spending performance requirement.

4. **Livestock & Poultry Research Facilities, Phase I:** The new swine, poultry, beef, and equine facilities are substantially complete. Market pricing for the two outstanding packages, three hay barns and demolition, is expected August 2023. Construction funding for the hay barns and demolitions are in process under the state’s supplement pool established during the 2022 General Assembly session.

5. **Corps Leadership and Military Science Building:** Substantial completion and occupancy expected July 2023.

6. **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. Construction is underway with substantial completion expected June 2024. Resources are available and sufficient to cover the accelerated cash flows, and the project remains within the authorized total budget.

7. **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 March 2024.

8. **Undergraduate Science Laboratory Building:** Construction of the 102,000 gross square foot science instruction laboratory building is underway with substantial completion June 2024.

9. **Building Envelope Improvements:** This project will complete envelope improvements to four buildings.

10. **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. Designs for accessible pathways on the north side of campus are underway.

11. **Commonwealth Cyber Initiative:** The Virginia Innovation Partnership Authority (VIPA) approves spending requests which are then allocated to Virginia Tech for procurement. To-date, $1.5 million has been allocated for renovations, space enhancements, and equipment; and these items are substantially complete. The maximum allocation amount for the program is $3.5 million.

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. Resources are available and sufficient to cover the accelerated cash flows, and the project remains within the authorized total budget.

14. **Improve Kentland Facilities:** The project is closed with a total cost of $12.442 million.

15. **Gas-Fired Boiler at the Central Steam Plant:** This project is closed with a total cost of $8.077 million.

16. **Chiller Plant Phase II:** This project is closed with a total cost of $42.406 million.

17. **Holden Hall Renovation:** This project is closed with a total cost of $71.769 million.

18. **Planning: Relocate Hampton Roads AREC:** The study is closed with a total cost of $365 thousand.

19. **Data and Decision Sciences Building:** The project is substantially complete and the total cost is expected to be $79 million. The project will be closed and financial accounts terminated when final invoices are received and paid. Resources are available and sufficient to cover the accelerated cash flows, and the project remains within the authorized total budget.

20. **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.
### AUXILIARY ENTERPRISE PROJECTS

#### Design Phase

**Football Locker Room Renovations**
- Initiated: Jun 2023
- Annual Budget: $-
- YTD Supports: $-
- Total Budget: $5,900
- Cumulative Expenditures: $5,900

**Planning: Student Life Village, Phase I**
- Initiated: Jun 2023
- Annual Budget: -
- YTD Supports: -
- Total Budget: $19,500
- Cumulative Expenditures: $19,500

#### Construction Phase

**Maintenance Reserve**
- On-going
- Annual Budget: 9,200
- YTD Supports: 12,970
- Total Budget: 12,970
- Cumulative Expenditures: 12,970

**New Upper Quad Residence Hall**
- Initiated: Jun 2019
- Annual Budget: 18,000
- YTD Supports: 17,941
- Total Budget: 25,929
- Cumulative Expenditures: 42,000

**Student Wellness Improvements**
- Initiated: Jun 2016
- Annual Budget: 10,000
- YTD Supports: 9,639
- Total Budget: 25,574
- Cumulative Expenditures: 70,000

**Slusher Hall Renovation**
- Initiated: Mar 2023
- Annual Budget: -
- YTD Supports: 2,470
- Total Budget: 7,500
- Cumulative Expenditures: 7,500

#### Close-Out

**Creativity & Innovation District LLC**
- Initiated: Oct 2016
- Annual Budget: 2,564
- YTD Supports: 1,325
- Total Budget: 15,880
- Cumulative Expenditures: 105,500

**Dietrick Renovation**
- Initiated: Sept 2017
- Annual Budget: 5,000
- YTD Supports: 6,470
- Total Budget: 9,129
- Cumulative Expenditures: 9,129

### TOTAL AUXILIARY ENTERPRISE PROJECTS

- Annual Budget: $44,764
- YTD Supports: $50,815
- Total Budget: $112,523
- Cumulative Expenditures: $159,975

### GRAND TOTAL

- Annual Budget: $282,863
- YTD Supports: $273,719
- Total Budget: $804,800
- Cumulative Expenditures: $437,889
Auxiliary Enterprise Projects

1. **Football Locker Room Renovation**: The project will renovate approximately 4,200 square feet within the Jamerson Athletic Facility to provide state-of-the-art hydrotherapy suite along with needed restroom and shower improvements in the player's locker room. Working drawings are underway.

2. **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. Procurement of AE services is underway.

3. **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 2023. 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. The total budget was increased during the fourth quarter and did not exceed the total resources encumbered for the program.

4. **New Upper Quad Residence Hall**: The project constructs a 300-bed residence hall in the upper quad section of campus. Substantial completion and occupancy are expected August 2023.

5. **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 underway with substantial completion expected July 2024.

6. **Slusher Hall Renovations**: The project renovates 38,000 square feet of Slusher Hall. Construction underway with substantial completion and occupancy expected August 2024.

7. **Creativity & Innovation District Living Learning Community (LLC)**: The project is closed with a total cost of $104.2 million.

8. **Dietrick Renovation**: This project is complete and the total cost is expected to be $9.129 million. The project will be closed and financial accounts terminated when final invoices are received and paid. Resources are available and sufficient to cover the accelerated cash flows, and the project remains within the authorized total budget.
APPROVAL OF FY23 FINANCIAL PERFORMANCE REPORT

TIM HODGE, ASSOCIATE VICE PRESIDENT FOR BUDGET AND FINANCIAL PLANNING

BOB BROYDEN, ASSOCIATE VICE PRESIDENT FOR CAMPUS PLANNING AND CAPITAL FINANCING

August 29, 2023
4th QUARTER FY23

Annual Budget Changes

Auxiliary Enterprises
Dining Services: $0.9 million increase for higher business volume.
Residential: $3.4 million for residence hall repairs.

Financial Performance

Education & General (E&G)
Successfully closed fiscal year in both Agencies.
E&G funds were fully utilized without deficit in accordance with State rules.

Auxiliary Enterprises
Auxiliary loan repayments (underwritten by reserves) & expenses lower than projected due to product availability, long lead times, and staffing challenges.
Auxiliary temporary year end savings due to timing of incomplete projects (carryover): estimated $18.9 million.
CAPITAL PROGRAM
KEY PROGRAM UPDATES

Mitchell Hall

- Final state funding report and budget adjustment

Projects Added

- Slusher Hall Renovation
- Football Locker Room Renovations
- Planning for Student Life Village, Phase I
- Commerce Street Property Acquisition

Projects Closed

- Chiller Plant Phase II
- Holden Hall Renovations
- Improve Kentland Facilities
- Planning: Relocate Hampton Roads AREC
- Gas-Fired Boiler at the Central Steam Plant
- Creativity & Innovation District Living Learning Community (LLC)
## CAPITAL OUTLAY TOTAL PROGRAM

<table>
<thead>
<tr>
<th></th>
<th>1st Quarter Ended</th>
<th>2nd Quarter Ended</th>
<th>3rd Quarter</th>
<th>4th Quarter</th>
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<td><strong>Equipment</strong></td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>3</td>
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<tr>
<td><strong>Closeout</strong></td>
<td>5</td>
<td>6</td>
<td>7</td>
<td>9</td>
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<td><strong>Total Projects</strong></td>
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<td>24</td>
<td>24</td>
<td>28</td>
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<td><strong>Total Budget</strong></td>
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<td>$1,387,574</td>
<td>$1,387,574</td>
<td>$1,469,063</td>
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<td>$504,893</td>
<td>$552,381</td>
<td>$622,302</td>
<td>$713,349</td>
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</table>
ACTIVITY THROUGH JUNE 30, 2023

Annual Budget $282,863

FY23 Cumulative Expenditures

Projected Expenditures
TIMING FOR CONSTRUCTION PRICING

FEB 2024
Mitchell Hall
$214,000,000

OCT 2024
New Business Building
$60,600,000

NOV 2023
Football Locker Room Renovations
$4,100,000

Spending on Projects in design phase through June 30, 2023 - $8,442,000
PROJECTS COMING ONLINE

2023

❖ JUL: Corps Leadership & Military Sciences Building
❖ AUG: Livestock & Poultry Research Facilities, Phase I
❖ AUG: New Upper Quad Residence Hall
❖ AUG: Slusher Hall Renovations

2024

❖ JAN: ADA & Code Compliance
❖ MAR: Hitt Hall
❖ JUN: Innovation Campus-Academic Building
❖ JUN: Undergraduate Science Lab
❖ JUL: Student Wellness Improvements

Spending on projects in construction phase through June 30, 2023: $365,251,000
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, 2022 through June 30, 2023 and the Capital Outlay report be approved.

August 29, 2023
DISCUSSION OF FUTURE AGENDA TOPICS AND CLOSING REMARKS

ANNA JAMES, COMMITTEE CHAIR

FINANCE AND RESOURCE MANAGEMENT COMMITTEE
Open Joint Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE
AND BUILDINGS AND GROUNDS COMMITTEE

Room 102 A/B, Fralin Biomedical Research Institute

10:45 a.m.

August 29, 2023

Agenda Item                      Reporting Responsibility

*#+  1. Ratification of the Capital Outlay Plan for 2024-2030  Ken Miller
                                                Chris Kiwus
                                                Bob Broyden

  2. Approval of Resolution to Amend a Long-term Lease for
     Children’s National Hospital                      Ken Miller
                                                Chris Kiwus
                                                Bob Broyden

* Requires full Board approval
# Discusses Enterprise Risk Management topic(s)
+ Discusses Strategic Investment Priorities topic(s)
Ratification of the Capital Outlay Plan for 2024-2030

JOINT FINANCE AND RESOURCE MANAGEMENT COMMITTEE
AND BUILDINGS AND GROUNDS COMMITTEE

July 20, 2023

Background:

At the March 2023 meeting, the Board of Visitors reviewed a resolution requesting approval of the university’s 2024-2030 Capital Outlay Plan (Plan). The Plan includes two attachments with lists of projects: i) Attachment A is a prioritized listing of projects requesting General Fund support that require review and approval by the General Assembly and ii) Attachment B is a listing of entirely nongeneral fund projects that may be authorized by the Board of Visitors. The resolution further requests authorization to submit Capital Budget Requests to the state, in accordance with future guidance from the state and based on the projects listed in Attachment A of the Plan. The resolution was approved, and the university has proceeded accordingly.

On May 25, 2023, the state issued instructions for the preparation and submission of Capital Budget Requests for the 2024-2026 Biennial Budget. The deadline for submission of the Capital Budget Requests to the state was June 22, 2023, and the university prepared and submitted its requests by the due date. The state instructions, consultation with the Department of Planning and Budget, and consultation with state budget policy makers resulted in adjustments to the Plan approved in March. The list below covers the main points of guidance provided by the state to the university:

i. the submission to the state is limited to projects requesting some portion of General Fund resources in their budget and projects requesting to participate in the state’s nongeneral fund bond pools,

ii. each agency may submit only a subset of its highest priorities for General Fund support,

iii. supplement funding for projects previously approved for construction will be considered top budget priorities,

iv. agencies should include small, medium, and large size projects in their submission,

v. agencies are encouraged to include maintenance reserve-like projects that are beyond the $2 million capital budget threshold and extend the useful life of an asset, and
vi. for projects being submitted, the state provided prescribed unit construction cost values and escalation rates to estimate the total project costs to the mid-point of construction.

In response to the instructions and guidance, Virginia Tech made the following adjustments to Attachment A of the Plan. Attachment B of the Plan, the list of entirely nongeneral fund projects, has not changed.

Attachment A:

i. retitled two projects to better align with state budget priorities: the Hahn Hall South Renovation and Expansion project (priority #2 in the University Division) and the System-wide Agricultural Research and Extension Centers Improvements, Phase I project (priority #2 in the Cooperative Extension / Agriculture Experiment Station Division),

ii. inserted the Derring Hall Envelope Repair project to align with the state’s funding priorities for Maintenance Reserve-like projects, and

iii. revised the budget amounts for the six projects submitted to use the state’s updated prescribed unit cost for construction and escalation rates, which made the amounts higher than the university’s original estimates.

The instructions limited the number of budget requests for the 2024-2026 biennium to a subset of the institution’s highest priorities in Attachment A. The table below summarizes the subset of six projects submitted for the 2024-2026 biennium.

<table>
<thead>
<tr>
<th>Dollars in Thousands</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Nongeneral Debt</th>
<th>Total</th>
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</thead>
<tbody>
<tr>
<td><strong>University Division</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Virginia Tech-Carilion School of Medicine and Fralin Biomedical Research Institute Expansion</td>
<td>$ 153,700</td>
<td>$ -</td>
<td>$ 30,000</td>
<td>$ 183,700</td>
</tr>
<tr>
<td>2. Chemistry/Physics Facilities Renovation &amp; Expansion (formerly titled Hahn Hall South)</td>
<td>100,500</td>
<td>-</td>
<td>40,900</td>
<td>141,400</td>
</tr>
<tr>
<td>3. Life, Health, Safety, Code Compliance Package</td>
<td>8,000</td>
<td>-</td>
<td>-</td>
<td>8,000</td>
</tr>
<tr>
<td>4. Derring Hall Envelope Repair (New Item)</td>
<td>16,800</td>
<td>-</td>
<td>-</td>
<td>16,800</td>
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<tr>
<td><strong>Total University Division Projects</strong></td>
<td>$ 279,000</td>
<td>$ -</td>
<td>$ 70,900</td>
<td>$ 349,900</td>
</tr>
<tr>
<td><strong>Cooperative Extension / Agriculture Experiment Station Division</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Center Woods Complex Improvements</td>
<td>$ 14,700</td>
<td>$ -</td>
<td>$ -</td>
<td>$ 14,700</td>
</tr>
<tr>
<td>2. Agricultural Research and Extension Center Improvements (formerly titled System-wide AREC Improvements, Phase I)</td>
<td>25,200</td>
<td>-</td>
<td>-</td>
<td>25,200</td>
</tr>
<tr>
<td><strong>Total CE/AES Division Projects</strong></td>
<td>$ 39,900</td>
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<td>$ -</td>
<td>$ 39,900</td>
</tr>
<tr>
<td><strong>GRAND TOTAL</strong></td>
<td>$ 318,900</td>
<td>$ -</td>
<td>$ 70,900</td>
<td>$ 389,800</td>
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</tbody>
</table>
**State Capital Budget Review and Approval Process:**

The next steps for the state’s 2023 budget session include at least five major phases as summarized below:

1) A state appointed Six-Year Capital Outlay Plan Advisory Committee (staffed by several central agencies and offices) will review all 2024-2030 capital plans submitted by agencies and institutions over the summer of 2023. This phase will include ongoing interactions by the university to best position its projects.

2) By November 1, 2023, the Six-Year Capital Outlay Plan Advisory Committee will provide a set of recommendations to the Governor, Chairman of the Senate Finance Committee, and Chairman of House Appropriations Committee to update the state’s capital outlay plan for the 2024-2030 period.

3) On December 20, 2023, the Governor is scheduled to present to the General Assembly a bill proposing the state’s updated capital outlay plan and a budget bill including planning funds or full funding for high priority items in the plan.

4) The legislature may amend the proposed plan and the proposed funding program in the Executive Budget Bill during the 2024 General Assembly. Depending on the overall size of the capital program and the amount of General Fund support for its projects, the university may submit legislative amendments for projects. This phase includes ongoing interactions by the university until a budget bill is passed.

5) July 1, 2024, the state’s updated 2024-2030 plan, capital funding program, and list of projects for the 2024-2026 biennium becomes effective.

In recognition of the adjustments in accordance with the instructions and guidance from state policy makers, the university is requesting ratification of an amended Attachment A of the Capital Outlay Plan for 2024-2030, attached. Attachment B of the Plan, the list of entirely nongeneral fund projects, remains as approved during the March 2023 meeting.

**Recommendation:**

That the Six-Year Capital Outlay Plan listing of projects shown on Attachment A for the period 2024 through 2030 be ratified for budget consideration with the state.

August 29, 2023
## ATTACHMENT A

**General Fund Six-Year Capital Outlay Plan for 2024-2030**  
*as of July 20, 2023*

### University Division

<table>
<thead>
<tr>
<th>Project Description</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Virginia Tech-Carilion School of Medicine and Fralin Biomedical Research Institute Expansion</td>
<td>$153,700</td>
<td>$ -</td>
<td>$30,000</td>
<td>$183,700</td>
</tr>
<tr>
<td>2 Chemistry/Physics Facilities Renovation and Expansion</td>
<td>100,500</td>
<td>-</td>
<td>40,900</td>
<td>141,400</td>
</tr>
<tr>
<td>3 Derring Hall Renovation</td>
<td>117,500</td>
<td>9,500</td>
<td>-</td>
<td>127,000</td>
</tr>
<tr>
<td>4 Newman Library Renovation</td>
<td>92,000</td>
<td>-</td>
<td>-</td>
<td>92,000</td>
</tr>
<tr>
<td>5 Robeson Hall Renovation</td>
<td>46,800</td>
<td>9,200</td>
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<td>56,000</td>
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<tr>
<td>6 Classroom Renovations</td>
<td>25,000</td>
<td>-</td>
<td>-</td>
<td>25,000</td>
</tr>
<tr>
<td>7 Life, Health, Safety, Code Compliance Package</td>
<td>8,000</td>
<td>-</td>
<td>-</td>
<td>8,000</td>
</tr>
<tr>
<td>8 Derring Hall Envelope Repair</td>
<td>16,800</td>
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<td>$649,900</td>
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### Cooperative Extension / Agriculture Experiment Station Division (CE/AES)

<table>
<thead>
<tr>
<th>Project Description</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Center Woods Complex Improvements</td>
<td>$14,700</td>
<td>$ -</td>
<td>-</td>
<td>$14,700</td>
</tr>
<tr>
<td>2 Agricultural Research and Extension Center Improvements</td>
<td>25,200</td>
<td>-</td>
<td>-</td>
<td>25,200</td>
</tr>
<tr>
<td>3 Relocate Animal-Based Facilities from Glade Road</td>
<td>41,000</td>
<td>-</td>
<td>-</td>
<td>41,000</td>
</tr>
<tr>
<td>4 Plant and Environmental Sciences Research Facility (HABB-II)</td>
<td>91,000</td>
<td>-</td>
<td>-</td>
<td>91,000</td>
</tr>
<tr>
<td>5 Renew Animal and Livestock Facilities</td>
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<td>-</td>
<td>34,000</td>
</tr>
<tr>
<td>Total CE/AES Division Projects</td>
<td>$205,900</td>
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<td>$ -</td>
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### Total General Fund Capital Plan for 2024-2030

<table>
<thead>
<tr>
<th></th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
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<td></td>
<td>$766,200</td>
<td>$18,700</td>
<td>$70,900</td>
<td>$855,800</td>
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</table>
### ATTACHMENT B

#### Nongeneral Fund Six-Year Capital Outlay Plan for 2024-2030

as of February 27, 2023

<table>
<thead>
<tr>
<th>Blacksburg &amp; Roanoke Academic</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Architecture, Arts, &amp; Design Renovations</td>
<td></td>
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<tr>
<td>Renovate Architecture Annex</td>
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<tr>
<td>Renovate Media Building</td>
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<td>Renovate Squires Performance Spaces</td>
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<td>Expand Vivarium Spaces</td>
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<td>FBRI Cancer Research Facility</td>
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<tr>
<td>Pamplin College of Business</td>
<td>-</td>
<td>$28,100</td>
<td>$52,700</td>
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<td>Renovate G. Burke Johnston Student Center</td>
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<tr>
<td>Veterinary Teaching Hospital Expansion</td>
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<td>$29,000</td>
<td>$20,000</td>
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<tr>
<td></td>
<td>-</td>
<td>$187,500</td>
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<table>
<thead>
<tr>
<th>Blacksburg Auxiliaries &amp; Campus Services</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
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<tbody>
<tr>
<td>Food Processing Center and Warehouse</td>
<td>-</td>
<td>-</td>
<td>$15,000</td>
<td>$15,000</td>
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<tr>
<td>Football Locker Room Renovation</td>
<td>-</td>
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<td>$5,000</td>
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<tr>
<td>Mail Services Facility</td>
<td>-</td>
<td>$3,000</td>
<td>-</td>
<td>$3,000</td>
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<tr>
<td>Parking Garage</td>
<td>-</td>
<td>$9,700</td>
<td>$26,300</td>
<td>$36,000</td>
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<tr>
<td>Replace Kmart Lease</td>
<td>-</td>
<td>-</td>
<td>$11,000</td>
<td>$11,000</td>
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<tr>
<td>Rescue Squad Facility</td>
<td>-</td>
<td>$6,000</td>
<td>-</td>
<td>$6,000</td>
</tr>
<tr>
<td>Student Life Village Phase I:</td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dining Component</td>
<td>-</td>
<td>-</td>
<td>$40,000</td>
<td>$40,000</td>
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<tr>
<td>Recreation Component</td>
<td>-</td>
<td>-</td>
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<td>$10,000</td>
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<tr>
<td>Residential Component</td>
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<td>$230,000</td>
<td>$250,000</td>
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<tr>
<td>Utilities and Infrastructure</td>
<td>-</td>
<td>-</td>
<td>$50,000</td>
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<tr>
<td></td>
<td>-</td>
<td>$43,700</td>
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<table>
<thead>
<tr>
<th>Greater Washington D.C., Metro Area</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Debt</th>
<th>Total</th>
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<tbody>
<tr>
<td>Children's National Lease Expansion, Phase II</td>
<td>-</td>
<td>-</td>
<td>$6,000</td>
<td>$6,000</td>
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<tr>
<td>Research Space Reconfiguration at VTRC-A</td>
<td>-</td>
<td>-</td>
<td>$5,000</td>
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<tr>
<td>Upfit Floor 6 of Innovation Campus Academic Building I</td>
<td>-</td>
<td>$9,000</td>
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<tr>
<td></td>
<td>-</td>
<td>$9,000</td>
<td>$11,000</td>
<td>$20,000</td>
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</tbody>
</table>

**Total Nongeneral Fund Capital Plan for 2024-2030**

$ - $ 240,200 $ 525,000 $ 765,200

**GRAND TOTAL SIX-YEAR CAPITAL OUTLAY PLAN**

$ 766,200 $ 258,900 $ 595,900 $ 1,621,000
Ratification of the 2024-2030 Capital Outlay Plan

BOB BROYDEN
Associate Vice President for Campus Planning and Capital Financing

AUGUST 29, 2023
Board approves Six-Year Capital Outlay Plan

State issues instructions

Capital Budgets submitted

Ratification of Six-Year Capital Outlay Plan

Executive Budget Bill

March 20th

May 25th

June 22nd

August 29th

December 20th
Each agency may submit only a subset of its highest priorities for General Fund support.

Supplement funding for projects previously approved for construction will be the top budget priorities.

Agencies should include small, medium, and large size projects in their submission.

Include maintenance reserve-like projects that extend the useful life of an asset.

Use state construction cost values and escalation rates to estimate the total project costs.
Attachment A – General Fund Projects

- Revised titles of two projects to better align with state budget perspectives
- Inserted a new project to align with the Maintenance Reserve-like funding priorities
- Updated cost estimates to use the state’s adjusted prescribed unit cost for construction and escalation rates

Attachment B – Nongeneral Fund Projects

- No adjustments
## CAPITAL BUDGET REQUESTS

<table>
<thead>
<tr>
<th>University Division</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expansion of VTC-SOM and FBRI</td>
<td>$153,700</td>
<td>$30,000</td>
<td>$183,700</td>
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<tr>
<td>Chemistry/Physics Facilities Renovation &amp; Expansion</td>
<td>100,500</td>
<td>40,900</td>
<td>141,400</td>
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<tr>
<td>Life, Health, Safety, Code Compliance Package</td>
<td>8,000</td>
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<tr>
<td>Derring Hall Envelope Repair</td>
<td>16,800</td>
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<td>16,800</td>
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<tr>
<td><strong>Total University Division Projects</strong></td>
<td><strong>$279,000</strong></td>
<td><strong>$70,900</strong></td>
<td><strong>$349,900</strong></td>
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<table>
<thead>
<tr>
<th>Cooperative Extension/Agricultural Experiment Station Division</th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
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<tbody>
<tr>
<td>Center Woods Complex Improvements</td>
<td>$14,700</td>
<td>-</td>
<td>$14,700</td>
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<tr>
<td>AREC Improvements</td>
<td>25,200</td>
<td>-</td>
<td>25,200</td>
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<tr>
<td><strong>Total CE/AES Division Projects</strong></td>
<td><strong>$39,900</strong></td>
<td><strong>-</strong></td>
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**Total General Fund Submissions for 2024-2026**

<table>
<thead>
<tr>
<th></th>
<th>General Fund</th>
<th>Nongeneral Fund</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total General Fund Submissions for 2024-2026</strong></td>
<td><strong>$318,900</strong></td>
<td><strong>$70,900</strong></td>
<td><strong>$389,900</strong></td>
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</table>
RECOMMENDATION:
That the Six-Year Capital Outlay Plan listing of projects shown on Attachment A for the period 2024 through 2030 be ratified for budget consideration with the state.

AUGUST 29, 2023
_resolution_to_amend_the_long-term_lease_with_the_children's_national_research_center_.

**JOINT FINANCE AND RESOURCE MANAGEMENT COMMITTEE AND BUILDINGS AND GROUND COMMITTEE**

**July 28, 2023**

Virginia Tech and Children’s National Research Center (Children’s National) enjoy a strong partnership to collaborate to develop novel treatments for pediatric cancer and diseases. As part of the collaboration, Virginia Tech holds a long-term lease of 12,350 rentable square feet of space on the hospital’s 160,000 square foot research and innovation campus. The campus is located on the former Walter Reed Army Medical Center in the northwest section of the city and is the nation’s first innovation campus focused on pediatric cancer and disease research.

Virginia Tech’s existing space at the Children’s National houses a team of the Fralin Biomedical Research Institute (FBRI) with a highly active and diverse research portfolio that encompasses cancer research, neuroscience, neurobiology, and more. The leased space includes a mix of laboratories, offices, meeting rooms, and other spaces for FBRI’s cancer research and pediatric portfolio.

The existing lease includes an option for Virginia Tech to expand its space in the facility, and the university is ready to exercise this option as part of a planned strategic research growth between FBRI and Children’s National. Under the option, Virginia Tech may expand the additional square feet of rentable space, effectively doubling its space to approximately 24,700 square feet.

The terms of the option include an initial ten years with extensions through 2051. The total costs of the lease expansion with all extensions through 2051 is $20 million including an $11.3 million net present value of lease payments and $8.7 million of one-time costs for upfits to create the type of research space required by FBRI. The university has developed an entirely nongeneral fund resource plan to support the one-time and ongoing costs of the lease expansion.

Under the 2006 Management Agreement between the Commonwealth of Virginia and the university, the Board of Visitors has the authority to approve the budget, size, scope, and funding of nongeneral fund capital outlay projects, including long-term leases. This request is for authorization to amend the university’s existing lease with Children’s National to include an additional 12,350 rentable square feet for furthering research.
RESOLUTION TO AMEND THE LONG-TERM LEASE WITH 
THE CHILDRENS NATIONAL RESEARCH CENTER 

WHEREAS, Virginia Tech is in the first phase of a partnership and lease with the Children's National Research Center (Children's National) to develop novel treatments for pediatric cancer and diseases; and, 

WHEREAS, as part of the collaboration, Virginia Tech currently leases 12,350 rentable square feet within Children's National 160,000 square foot facility with terms that provide extensions through the year 2051; and, 

WHEREAS, the existing lease includes an option for Virginia Tech to expand its space by leasing an additional 12,350 rentable square feet; and, 

WHEREAS, Virginia Tech desires to expand its research partnership with Children's National and to exercise its option to lease additional space; and, 

WHEREAS, Virginia Tech has developed an entirely nongeneral fund plan sufficient to cover the estimated $550,000 of incremental annual lease cost and a not-to-exceed one-time cost of $8.7 million for tenant improvements; and, 

WHEREAS, the present value of the lease terms through 2051, including the $8.7 million one-time tenant improvement costs, is $20 million; and, 

WHEREAS, under the 2006 Management Agreement between the Commonwealth of Virginia and Virginia Tech, the Board of Visitors has authority to approve the budget, size, scope, debt issuance, and overall funding of nongeneral funded major capital outlay projects, including long-term leases. 

NOW, THEREFORE, BE IT RESOLVED, that the university be authorized to amend the Long-term Lease with Children's National Research Center to include additional space up to 12,350 rentable square feet and to upfit the space with incremental leasing costs not to exceed a net present value of $20 million. 

RECOMMENDATION:

That the resolution authorizing Virginia Tech to amend the long-term lease with Children’s National be approved. 

August 29, 2023
Resolution to Amend Long-term Lease with Children's National Research Center

BOB BROYDEN
Associate Vice President for Campus Planning and Capital Financing

AUGUST 29, 2023
• Scope: 12,350 rentable square feet
• Schedule: occupancy Summer 2025
• Terms: 10-year initial with extensions through 2051
• Cost: $550,000 annual lease ($11.3M NPV) and $8.7 million in upfits for a total lease value of $20 million
• Funding Plan: University nongeneral funds
NOW, THEREFORE, BE IT RESOLVED, that the university be authorized to amend the Long-term Lease with Children's National Research Center to include additional space up to 12,350 rentable square feet and to upfit the space with incremental leasing costs not to exceed a net present value of $20 million.

RECOMMENDATION

That the resolution authorizing Virginia Tech to amend a Long-term Lease for Children's National Phase II be approved.

AUGUST 29, 2023