

BOARD OF VISITORS MEETING

June 2-3, 2025

Virginia Polytechnic Institute and State University

(As of 5/21/2025)

Board of Visitors Meeting Schedule June 2-3, 2025

Monday, June 2: *(Business casual attire; meetings are in the New Classroom Building (NCB) Room 260 unless otherwise noted.)*

- 9:00 – 10:30 a.m. **Academic, Research, & Student Affairs Committee** meets in Open Session
- 10:30 – 11:30 a.m. **Academic, Research, & Student Affairs and Finance & Resource Management Committees** meet jointly in Closed Session, followed by **Academic, Research, & Student Affairs Committee** Closed Session
- 11:30 – 12:30 p.m. **Governance & Administration Committee** meets in Open Session
- 12:30 – 1:30 p.m. **Executive Committee** meets in Closed Session in NCB 210
- 12:30 – 1:30 p.m. **Lunch** for Board members and invited administrators in NCB 220
- 1:30 – 3:30 p.m. **Buildings & Grounds Committee** tour of residence halls
- 3:30 – 5:30 p.m. **Compliance, Audit, & Risk Committee** meets in Open and Closed Sessions
- 5:30 p.m. **Nominating Committee (Long, James, Pearson)** meets in Open Session in New River Room at The Inn
- 6:00 p.m. **Dinner** for Board members

Tuesday, June 3: *(Business casual attire; all morning meetings are at the New Classroom Building Room 260 unless otherwise noted.)*

- 7:15 – 8:00 a.m. **Committee Chairs** meet with Administrators in Open Session in Old Guard at The Inn
- 8:15 – 9:00 a.m. **Buildings & Grounds and Finance & Resource Management Committees** meet in Open, then Closed Session
- 9:00 – 11:00 a.m. **Finance & Resource Management Committee** meets in Open Session
- 11:00 – 12:00 noon **Buildings & Grounds Committee** meets in Open Session
- 12:00 – 1:00 p.m. **Lunch** for Board members and invited administrators in NCB 220
- 1:15 p.m. **Full Board Meeting**
- 4:00 p.m. (time approximate) Meeting adjourns. Board members depart Blacksburg

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- Staff Representative to the Board – LaTawnya Burleson
- Administrative and Professional Faculty Representative to the Board – Janice Austin
- Faculty Representative to the Board – Rachel Miles

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- Resolution to Approve Appointments to Endowed Chairs, Professorships, or Fellowships (4)
- Resolution to Approve Reappointments to Endowed Chairs, Professorships, or Fellowships (11)
- Resolution to Approve Appointments with Tenure (3)
- Resolution to Approve Faculty Research Leaves (7)
- *Resolution to Ratify Personnel Changes Report
- *Resolution to Approve 2024-25 Promotion, Tenure, and Continued Appointments

Tab N Closed Session President's Report and Items for Board Approval

- Approval of Resolution for Facility Namings (5)

Tab O Closed Session Reports – (No action required)

- Litigation Report

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Tab Q Election of Rector and Vice Rector for 2025-26

****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.***

There is no public comment period at this meeting.

VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY

CURRENT MEMBERS OF THE BOARD OF VISITORS:

Mr. Edward H. Baine, Rector
Mr. David L. Calhoun, Vice Rector
Ms. Sandy C. Davis
Dr. Nancy Dye
Mr. William Holtzman
Mr. Donald Horsley
Ms. Anna L. James
Ms. Starlette Johnson
Ms. Letitia A. Long
Honorable Ryan D. McCarthy
Mr. Jim Miller
Mr. J. Pearson
Mr. John Rocovich, Jr.
Ms. Jeanne Stosser

Undergraduate Student Representative: Leslie Orellana
Graduate/Professional Student Representative: William Poland
Staff Senate Representative: LaTawnya Burleson
Administrative and Professional Faculty Representative: Janice Austin
Faculty Senate Representative: Rachel Miles

ADMINISTRATIVE STAFF:

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

Mr. Simon Allen: Vice President for Finance and Chief Financial Officer
Ms. Lynsay Belshe: Vice President for Auxiliary and Business Services
Mr. Dwyn Taylor: Vice President for Facilities
Dr. Lance Collins: Vice President and Executive Director for the Innovation Campus
Dr. Michael J. Friedlander: Vice President for Health Sciences and Technology
Mr. Bryan Garey: Vice President for Human Resources
Dr. Guru Ghosh: Vice President for Outreach and International Affairs
Dr. Frances B. Keene: Vice President for Student Affairs
Ms. Sharon M. Kurek: Vice President for Audit, Risk, and Compliance and Chief Risk Officer
Dr. Steven H. McKnight: Vice President for Strategic Research Alliances
Ms. Kim O'Rourke: Vice President for Policy and Governance and Secretary to the Board
Mr. Mark Owczarski: Interim Vice President for Communications and Marketing
Mr. Charles D. Phlegar: Senior Vice President for Advancement
Ms. Sharon Pitt: Vice President for Information Technology and Chief Information Officer
Dr. Menah Pratt: Professor of Education and Vice President for Strategic Affairs
Dr. Daniel Sui: Senior Vice President and Chief Research and Innovation Officer
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

**BOARD OF VISITORS
VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY
Committee Assignments for 2024-25**

Academic, Research, and Student Affairs Committee

Nancy Dye, *Committee Chair*

Sandy Davis

Bill Holtzman

Don Horsley

Tish Long

J. Pearson

Jeanne Stosser

Buildings and Grounds Committee

Tish Long, *Committee Chair*

Sandy Davis

Nancy Dye

Bill Holtzman

Don Horsley

J. Pearson

Jeanne Stosser

Compliance, Audit, and Risk Committee

Anna James, *Committee Chair*

Dave Calhoun

Starlette Johnson

Ryan McCarthy

Jim Miller

John Rocovich

Finance and Resource Management Committee

Dave Calhoun, *Committee Chair*

Anna James

Starlette Johnson

Ryan McCarthy

Jim Miller

John Rocovich

Governance and Administration Committee

Sandy Davis, *Committee Chair*

Dave Calhoun

Nancy Dye

Anna James

Tish Long

Executive Committee (6 members)

Ed Baine, Rector

Nancy Dye, *Academic, Research, and Student Affairs Committee Chair*

Tish Long, *Buildings & Grounds Committee Chair*

Anna James, *Compliance, Audit, and Risk Committee Chair*

Dave Calhoun, Vice Rector, *Finance and Resource Management Committee Chair*

Sandy Davis, *Governance and Administration Committee Chair*

[The Rector is an ex officio member of all standing committees when in attendance.](#)

The constituent representatives will sit in on the committee meetings of their choice:

Faculty Senate President – Rachel Miles

Administrative and Professional Faculty Senate President – Janice Austin

Staff Senate President – LaTawnya Burleson

Graduate/Professional Student Representative – William Poland

Undergraduate Student Representative – Leslie Orellana

MINUTES

March 25, 2025

The Board of Visitors of Virginia Polytechnic Institute and State University met on Tuesday, March 25, 2025, at 1:15 p.m. in Latham Ballroom AB at The Inn at Virginia Tech, 901 Price's Fork Road, Blacksburg, Virginia 24061.

Present

Edward H. Baine (Rector)
David Calhoun (Vice Rector)
Sandy C. Davis
Nancy Dye
William Holtzman (via Zoom)*
Donald Horsley
Anna L. James
Starlette Johnson
Letitia A. Long
Ryan D. McCarthy
Jim Miller
J. Pearson
John Rocovich
Jeanne Stosser

Absent

Constituent Representatives:

Leslie Orellana, Undergraduate Student Representative
William Poland, Graduate/Professional Student Representative
LaTawnya Burleson, Staff Representative
Janice Austin, Administrative and Professional Faculty Representative
Rachel Miles, Faculty Representative

*One Board member participated remotely from Florida while on vacation in accordance with Code of Virginia §2.2-3708.3(B) and the board's bylaws. A quorum was physically present.

Also present were the following: President Timothy Sands, Kim O'Rourke (Secretary to the Board), Simon Allen, Jordan Ayres, William Babb, Bradley Babcock, James Bailey, Callan Bartel, Kenneth Belcher, Mark Berman, Ashleigh Bingham, Eric Brooks, Amore Burch, Joseph Candiotti, Joseph Candiotti, Ann Cassell, Cyril Clarke, Emma Clevinger, Al Cooper, Reeve Cordice, Chandler Crean, Tayshaun Douglas, Katherine Drinkwater, Corey Earles, Eric Earnhart, Alisha Ebert, Lambert Edigin, Colin Edwards, Abbey Erwin, Juan Espinoza, Thomas Feely, Ron Fricker, Michael Friedlander, Ian Friend, Rachel Gabriele, Emily Gibson, Maurice Givens, Martha Glass, April Goode, Ellington Graves, Nancy Gruber, Rebekah Gunn, Andrew Gunsch, Nina Ha, Kathy Hager, Chelsea Haines, Dee Harris, Silke Hauf, Kay Heidbreder, Tim Hodge, Sydney Holland, Elizabeth Hooper, Kristen Houston, Cyndi Hutchison, Andrew Jessup, Frances Keene, Stephen Kleiber, Sharon Kurek, Mark Lawrence, Sara Leftwich, Barbara Lockee, Anna Lomascolo, Madeleine Macdougall, Mary Marble, Sandra Martin, Elizabeth McClanahan,

Nancy Meacham, Joe Merola, Jeffrey Meyer, Elizabeth Mitchell, Jeff Mitchell, Maria Montes, Mike Mulhare, April Myers, Lyonel Myrthil, Hannah Orndorff, Mark Owczarski, Anna Gabrielle Patarinski, Jordan Pennix, Aaliyah Perez, Charlie Phlegar, Alexandra Pirkle, Kevin Pitts, Lauren Pollard, Jon Porter, Menah Pratt, Sophia Puett, Isabel Quintana, Felix Redmond, Ashley Reed, Kim Rhodes, Susanna Rinehart, Paul Richter, Tanya Rogers, Lori Rose, Lisa Rowan, Lisa Royal, Saonee Sarker, Kiera Schneiderman, Amy Sebring, Brandon Senior, Brennan Shepard, Damira Shields, Oliver Shuey, Christine Smith, Jaida Smith, Dee Dee Somervell, Alexia Stanbridge, Michael Staples, Susan Stinson, Michael Stowe, Emma Stubbe, Dan Sui, Aimee Surprenant, Don Taylor, Dwyn Taylor, Johnathan Taylor, Jon Clark Teglas, Hanna Teshome, Crasha Townsend, Rob Viers, Heather Wagoner, Declan Wasnock, Kailey Watson, Luke Weir, Samantha Whilby, Sarah Wickwire, Stacey Wilkerson, Lisa Wilkes, Ella Williams, Teresa Ann Wilson, Paul Winistorfer, Chris Wise, and Chris Yianilos.

The meeting was livestreamed for the public via YouTube; there were 415 concurrent views on YouTube and a total of 1160 views.

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There was no public comment period.

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Rector Baine convened the meeting and welcomed everyone. He noted that the previous day, the board held a livestreamed information session.

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

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

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

- **Minutes from November 19, 2024, BOV Meeting**
- **Minutes from November 12-13, 2024, BOV State Council of Higher Education for Virginia (SCHEV) Orientation Meeting - Attachment A**
- **Minutes from March 5, 2025, Public Comment Session - Attachment B**

- **Minutes from March 17, 2025, Student Selection Committee - Attachment C**
- **Minutes of Information Session on March 24, 2025 - Attachment D**
- **Minutes of Committee Chairs Meeting on March 25, 2025 - Attachment E**
- **Academic, Research, and Student Affairs Committee General Report (3/25/25) - Attachment F**
- **Buildings and Grounds Committee General Report (3/25/25) - Attachment G**
- **Compliance, Audit, and Risk Committee General Report (3/25/25) – Attachment H**
- **Finance and Resource Management Committee General Report (3/24/25 & 3/25/25) – Attachment I**

From the Academic, Research and Student Affairs Committee Consent Agenda:

- **Approval of Resolution to Amend the Faculty Handbook Description of Administrative Support for University Distinguished Professors – Attachment J**
- **Approval of Resolution to Amend the Faculty Handbook Description of Clinical Faculty Ranks – Attachment K**
- **Approval of Resolution to Amend the Faculty Handbook Regarding Ethics of Intimate Relationships Involving Faculty – Attachment L**
- **Approval of Resolution to Amend the Faculty Handbook Regarding Procedures for Promotion and Tenure and Related Appeals – Attachment M**
- **Approval of Resolution for Closure of Department of Apparel, Housing, and Resource Management – Attachment N**

From the Buildings and Grounds Committee Consent Agenda:

- **Approval of Resolution for the Demolition of University Building 0800 – Attachment O**

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

- **Report of Research and Development Disclosures - Attachment P**

REPORT OF THE ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE

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

As part of the Academic, Research and Student Affairs Committee report, approval of the following resolution was moved by Dr. Dye, seconded by Mr. Rocovich, and passed unanimously.

Resolution to Approve Bachelor of Science Degree in Geography

That the resolution to approve a Bachelor of Science Degree in Geography be approved. (Copy filed with the permanent minutes and marked Attachment Q.)

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As part of the Academic, Research and Student Affairs Committee report, approval of the following resolution submitted in accordance with the board's bylaws by a member of the Board of Visitors was moved by Dr. Dye, seconded by Mr. Calhoun, and passed by a vote of 12 to 2, with Baine and James dissenting.

**Resolution Regarding the Presidential Executive Order
on Diversity, Equity, and Inclusion**

That the resolution regarding the Presidential Executive Order on Diversity, Equity, and Inclusion be approved. (Copy filed with the permanent minutes and marked Attachment R.)

Ms. James commented that she had read all of the notes on this topic that the board had received. She stated that she was proud of all the university had done over the eight years she has been on the board and considers this resolution a step backwards.

Dr. Dye stated that the resolution affirms the Equal Protection Clause of the U.S. Constitution and Title VI of the Civil Rights Act.

Ms. Miles reported that she has been receiving comments from her faculty constituents on how beneficial the Office for Inclusive Strategy and Excellence has been.

After the vote, Rector Baine stated his concerns that the university must continue to provide services for all students to be successful and that colleagues should be treated with respect as the provisions of this resolution are implemented.

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REPORT OF THE BUILDINGS AND GROUNDS COMMITTEE

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

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

Approval of the General Fund Capital Outlay Plan for 2026-2032

That General Fund Capital Outlay Plan for 2026-2032 be approved.
(Copy filed with the permanent minutes and marked Attachment S.)

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

Resolution to Construct the New Business Building

That the resolution authorizing the university to complete the new Business Building project and to secure temporary short-term financing be approved. (Copy filed with the permanent minutes and marked Attachment T.)

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As part of the Buildings and Grounds Committee report and with the endorsement of the Finance and Resource Management Committee, approval of the following resolution submitted by a member of the Board of Visitors in accordance with the board's bylaws was moved by Mr. Calhoun, seconded by Mr. Rocovich, and passed by a vote of 10 to 3, with Baine, James, and Long dissenting. Ms. Stosser recused herself from voting on the Resolution on the Student Life Village.

Resolution to Discontinue Planning for the Student Life Village

That the resolution on the Student Life Village be approved. (Copy filed with the permanent minutes and marked Attachment U.)

(Note: During the joint meeting of the Buildings and Grounds Committee and the Finance and Resource Management Committee, a resolution submitted by a member of the Board of Visitors on the Student Life Village and Slusher Hall was split into two separate resolutions through a motion that passed to divide the question. Subsequently, the resolution on the Student Life Village passed in committee and was brought forward to the full board. The resolution on Slusher Hall was defeated in committee and was not brought forward to the full board.)

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REPORT OF THE COMPLIANCE, AUDIT, AND RISK COMMITTEE

Rector Baine called on Ms. James for the report of the Compliance, Audit, and Risk Committee.

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REPORT OF THE FINANCE AND RESOURCE MANAGEMENT COMMITTEE

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

As part of the Finance and Resource Management Committee report, approval of the following resolution, as amended, was moved by Mr. Calhoun, seconded by Ms. Long, and passed unanimously.

Resolution for Approval of 2025-26 Tuition and Fee Rates

That the 2025-26 tuition and fee rates be approved, as amended: Contingent upon the outcome of the state budget, should a limit on tuition and mandatory educational and general fees for in-state undergraduates be adopted, the increases approved herein shall be modified to comply.

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

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

Approval of Year-to-Date Financial Performance Report (July 1, 2024 – December 31, 2024)

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, 2024, through December 31, 2024, be approved. (Copy filed with the permanent minutes and marked Attachment W.)

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PRESIDENT'S REPORT

President Sands began his remarks with a tribute to former University of Virginia President John Casteen, who passed away recently.

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

CONSTITUENT REPORTS (no action required)

Constituent reports were delivered orally at the board's Information Session on March 24, 2025.

- Undergraduate Student Representative – Leslie Orellana
- Graduate and Professional Student Representative – William Poland
- Staff Representative – LaTawnya Burleson
- Administrative and Professional Faculty Representative – Janice Austin
- Faculty Representative – Rachel Miles

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

Motion to Begin Closed Session

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

1. Appointment of faculty to emeritus status, the consideration of individual salaries of faculty, consideration of endowed professors, review of departments where specific individuals' performance will be discussed, and consideration of personnel changes including appointments, resignations, tenure, and salary adjustments of specific employees and faculty leave approvals.
2. The status of current litigation and briefing on actual or probable litigation.
3. Special awards.
4. Fundraising activities.

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

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

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**CLOSED SESSION REPORTS
(No Board action required)**

Litigation report – Ms. Kay Heidbreder
Fundraising report – Mr. Charlie Phlegar
President’s closed session report – Dr. Tim Sands

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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 and the livestream was resumed. Rector Baine asked Mr. Calhoun to make the motion to return to open session. Mr. Calhoun 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 Mr. Rocovich and passed unanimously.

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Upon motion by Mr. Pearson and seconded by Ms. Long, approval was given to the following group of resolutions as considered in closed session.

- **Resolution to Approve Appointments to Emeritus/a Status (19)** - Attachment Z
- **Resolution to Approve Appointments to Endowed Chairs, Professorships, or Fellowships (15)** - Attachment AA

- **Resolution to Approve Reappointments to Endowed Chairs, Professorships, or Fellowships (2)** - Attachment BB
- **Resolution to Approve Appointment to University Distinguished Professor (1)** - Attachment CC
- **Resolution to Approve Appointment to Alumni Distinguished Professor (1)** - Attachment DD
- **Resolution to Approve Appointments with Tenure (2)** – Attachment EE
- **Resolution to Approve Appointments with Tenure-to-Title (2)** – Attachment FF
- **Resolution to Approve Faculty Research Leaves (90)** – Attachment GG
- **Resolution to Ratify Personnel Changes Report** – Attachment HH
(Note that the threshold amount has been increased to \$150,000.)
- **Resolutions to Approve Conferral of Special Awards (2)** – Attachment II
- **Resolution to Approve Facility Naming (1)** – Attachment JJ

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

Ratification of 2025-26 Student Representatives to the Board of Visitors

Rector Baine called on Dr. Dye to present the nominations of the Selection Committee. On behalf of the Selection Committee, which consisted of the members of the Executive Committee and the Academic, Research, and Student Affairs Committee, Dr. Dye presented nominations for the 2025-26 undergraduate and graduate/professional student representatives to the board. Upon motion by Dr. Dye and second by Mr. Horsley, unanimous approval was given to the ratification of the 2025-26 student representatives to the Board of Visitors as considered in closed session. The 2025-26 representatives will be:

- Thomas Feely (undergraduate student representative) and
- Katherine “Katie” Drinkwater (graduate/professional student representative)

Appointment of the Nominating Committee for Officers of the Board

Rector Baine appointed the **Nominating Committee** that will bring nominations for Rector and Vice Rector for 2025-2026 to the June board meeting.

Chair: Tish Long
Members: Anna James and J. Pearson

Appointment of the 2025 Retreat Planning Committee

Rector Baine appointed the **Retreat Planning Committee** that will work along with President Sands and Ms. O'Rourke to plan the annual board retreat to be held on August 18.

Members: Starlette Johnson and Ryan McCarthy

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Rector Baine announced that the board's annual self-assessment will be conducted during the next month.

In his closing remarks, Rector Baine stated that despite the differing views of members of the Board of Visitors, the members of the board conducted themselves in a civil and respectful manner. He called on the university community to do the same and to live out the Principles of Community. He reminded all of the university's land-grant mission to serve all students of the community regardless of where they come from.

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The meeting was adjourned at 3:23 p.m.

The dates of the next regular meeting are June 2-3, 2025, in Blacksburg, VA.

Edward H. Baine, Rector

Kim O'Rourke, Secretary

RESOLUTION TO UPDATE LANGUAGE IN CHAPTER SEVEN OF THE FACULTY HANDBOOK ON THE A/P FACULTY GRIEVANCE PROCESS

WHEREAS, CAPFA Resolution 2020-21A Resolution to Approve the Constitution and Bylaws for the Administrative and Professional (A/P) Faculty Senate was approved by University Council on February 15, 2021 and approved by the Board of Visitors on March 22, 2021; and

WHEREAS, the A/P Faculty Senate Constitution and Bylaws outline the leadership, membership, and role of the A/P Faculty Senate; and

WHEREAS, Virginia Tech's Faculty Handbook includes policies for all university faculty; and

WHEREAS, Chapter 7 of the Faculty Handbook describes the employment policies for administrative and professional faculty; and

WHEREAS, Chapter 7, Section 8 of the Faculty Handbook describes the grievance policy and procedures for administrative and professional faculty; and

WHEREAS, the Administrative and Professional Faculty Senate is involved in the grievance process;

NOW, THEREFORE, BE IT RESOLVED, that the current Faculty Handbook chapter 7 be revised per the changes reflected by tracked changes in the attached document; and

BE IT FURTHER RESOLVED, that these revisions will become effective for the 2025-26 Faculty Handbook.

RECOMMENDATION:

That the resolution to revise Chapter 7 of the Faculty Handbook be approved and included in the 2025-26 Faculty Handbook.

June 3, 2025

CHAPTER SEVEN ADMINISTRATIVE AND PROFESSIONAL FACULTY INCLUDING VIRGINIA COOPERATIVE EXTENSION FACULTY

7.8 Grievance Policy and Procedures for Administrative and Professional Faculty

The following procedure is provided ~~as the means for resolution of~~ to resolve 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. The grievant, and those ~~involved in~~ responding to grievances, may consult ~~with the~~ Administrative and Professional Faculty Senate Vice President for additional information.

7.8.1 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-problem~~-solving rather than as a confrontation between adversaries.

University Ombuds: Any ~~member of the university community~~ university community member may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The Ombuds listens ~~and explores~~ and explore options for addressing and resolving concerns or complaints. The Ombuds Office ~~does not have the~~ has no authority to make ~~decisions or to reverse any decision made~~ reverse any decisions or actions taken by university authorities. ~~The Ombuds Office~~ it supplements, but does not replace, the university's existing ~~resources for conflict resolution and its~~ conflict resolution resources and 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 it does not constitute such notice ~~to the university. Should someone wish. However, if someone wishes~~ to make the university formally aware of a particular problem, the ~~Ombuds Office can provide information~~ office can provide instructions on how to do so. The only exception to this pledge ~~of confidentiality is where the Ombuds~~ the 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 and~~ 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. Contact Faculty Affairs in the provost's office for information on Reconciliation.

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~~before 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 and a copy is sent 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 and Other Conflict Resolution Services: Mediation is available through the Office for Equity and Accessibility offers a range of —, conflict resolution services, including conflict coaching, mediation, and group facilitations. In general~~Generally, OEA's —mediation and other conflict resolution services are available —specializing in matters related to the office's work to maintain working environments free from discrimination.~~

Mediation is a voluntary, ~~confidential~~ process through which one or more trained neutral third persons (mediators) facilitators assist employees people to express in expressing their concerns and developing solutions to at the conflict dispute in a safe and structured environment. Mediation differs from faculty reconciliation in that mediation facilitators do not conduct fact-finding or evaluate decisions. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate in order for mediation to occur. Mediation may be available prior to or after filing a grievance. Any party to a grievance process may request mediation prior to step three of the process. If both parties voluntarily agree to try mediation and the university, usually through the Office for Equity and Accessibility, appoints a facilitator, then the grievance is placed on administrative hold until the mediation process is complete. If a resolution is reached through mediation, then the parties are responsible to each other for ensuring that the provisions of the resolution agreement are followed. If any party withdraws from mediation or the facilitator terminates the process without agreement, then the grievant may request that the grievance be reactivated and the process continues.

A/P faculty members and supervisors are encouraged to consider using conflict resolution services like 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 any party may request mediation during the grievance process prior to step three. If, after the initiation of a formal grievance, both parties agree to participate in mediation after initiating a formal grievance, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to cannot 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 because mediators do not engage in fact finding or in evaluation of conduct fact finding or evaluate decisions. Both mediation and reconciliation, however, however, mediation and reconciliation are voluntary; no party is required to participate in either process.

7.8.2 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 to process the grievance, but the grievant alone is responsible for preparation of preparing the case. See "Valid issues for Grievance" in this chapter.

The number of steps in the process is determined by the reporting line of the grievant grievant's reporting line determines the number of steps in the process. 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 requested relief must be specified on the grievance form. A/P faculty grievance forms are available on the provost's Faculty Forms page.

The Administrative and Professional Faculty Senate Vice President will maintain an active list of trained A/P faculty members who can provide consultation to consult 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 department head, chair, school director, or appropriate supervisor/director; for A/P faculty in Virginia Cooperative Extension, the district director or appropriate step one administrator) and to the Administrative and Professional Faculty Senate Vice President within 30 calendar days of the date identified, or the grievant should have known, of the event or action that is the basis for the grievance. If appropriate, the step one administrator will provide a copy of the grievance to the supervisor of the grievant grievant's supervisor.

Grievability Panel: The Administrative and Professional Faculty Senate Vice President, within ten weekdays of receiving a copy of the grievance form, will convene a grievability panel. The panel consists of comprises the Administrative and Professional Faculty Senate Vice President and

two A/P faculty senators. The panel meets to deliberate and determine the admissibility of the matter to the grievance process. (See "Valid Issues for Grievance" in this chapter) 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, the administrator's written response, should cite reasons for action taken or not taken. If the written response of the department head, chair, school director, or appropriate supervisor/director 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~~ faculty member 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~~ whose program is under the responsibility of a different dean, the designated step two administrator consults with the programmatic dean before ~~rendering~~ making a decision.

The step two administrator gives the grievant a written decision within five weekdays after the meeting, citing reasons for the decision. If the step two administrator's written response to the grievance is satisfactory to the grievant, it ends the matter.

Step three: If the resolution of the grievance proposed in the written response by the step two administrator is not acceptable, the grievant may advance the grievance to the step three administrator. The step three administrator is the vice president for human resources or the vice provost for faculty affairs. The grievant must advance the complaint to the step three administrator within five weekdays of receiving the written response from the step two administrator. If the grievant works in a college or academic vice president's division, the step three administrator will provide the provost a copy of the grievance ~~to the provost~~.

Advancement of a grievance to step three includes consideration by an impartial Administrative and Professional Faculty Senate hearing panel unless the grievant petitions the step three administrator to bypass the hearing panel and rule on the grievance. If the step three administrator accepts the request to rule on the grievance, there is no subsequent opportunity for the grievance to be heard by an Administrative and Professional Faculty Senate hearing panel. If the step three administrator does not accept the petition, an Administrative and Professional Faculty Senate hearing panel is formed to review the grievance as outlined in these procedures. An Administrative

and Professional Faculty Senate hearing panel may also be convened to determine whether a complaint may be grieved under university policy.

Within five weekdays, the step three administrator, or appropriate designated representative, acknowledges receipt of the grievance ~~and forwards a copy of the "Hearing Procedures of the Committee on Administrative and Professional Faculty Grievances" to parties in the grievance process. The step three administrator also~~ and forwards a copy of the grievance immediately to the ~~chair of~~ Administrative and Professional Faculty Senate Vice President. Within five weekdays, the Administrative and Professional Faculty Senate Vice President acknowledges receipt of the grievance and forwards a copy of the "Hearing Procedures for Administrative and Professional Faculty Grievances" to parties in the grievance process.

Hearing Panel: A grievance hearing for A/P faculty is conducted by an ad hoc panel selected by the Administrative and Professional Faculty Senate Vice President from the current A/P Faculty Senate membership, including Senators and Alternates. A hearing panel consists of three A/P Faculty Senators or Alternates, an alternate panel member, and the non-voting chair. The chair polls all appointees to ensure ~~that they have~~ no conflict of interest in the case. Either party may challenge one of the appointments, including the alternate. Other replacements are made only for cause. The alternate serves as a replacement panel member if the need arises.

To ensure uniformity in practice, the Administrative and Professional Faculty Senate Vice President serves as the non-voting chair of each hearing— panel. If the Administrative and Professional Faculty Senate Vice President has a conflict of interest concerning a case, ~~they~~ the chair appoints a replacement from among the Administrative and Professional Faculty senators who serve on the Commission for Administrative and Professional Faculty Affairs (CAPFA) ~~at large~~ to serve as chair of the hearing panel. In the unlikely event that all A/P faculty senators and alternates have a conflict of interest concerning a case, the Administrative and Professional Faculty Senate Vice President, in consultation with the A/P Faculty Senate ~~president~~ 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~~ hearing panel members are appointed, the Administrative and Professional Faculty Senate Vice President requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Administrative and Professional Faculty Senate Vice 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 can occur. The hearing is then reconvened as appropriate (and within the 45-day period required by this policy, unless agreed upon by both parties).

Each party to the grievance may have a representative present during the ~~sessions of the hearing~~ hearing sessions ~~at, during~~ which testimony is presented. The representative may speak if requested. Representatives may also be legal counsel; if both parties are ~~so~~ represented, but if the grievant does not wish to have legal counsel at a hearing ~~present~~, 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 ~~participates~~ 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 ~~week~~days of receipt of the grievance by the Administrative and Professional Faculty Senate Vice President. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding the 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 satisfactory to the grievant, even if it differs from the recommendations of the hearing panel, then that ends the matter. If the step three administrator's decision is ~~ful~~entirely consonant with ~~(or exceeds) the recommendations of the hearing panel,~~ or if it is whether or not it is satisfactory to the grievant ~~even if it differs from the recommendations of the hearing panel,~~ and there is no further appeal.

Step four: If the step three administrator's decision is not consonant with the recommendations of the hearing panel and it is not acceptable to the grievant ~~and not consonant with the recommendations of the hearing panel,~~ only then may the grievant ~~may~~ appeal ~~in writing~~ to the university president. The appeal must be made within 20 calendar days of the step three administrator's decision and it must be in writing. The president's decision is final.

7.8.3 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 grievant is responsible for initiating 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 before the time of filing or advancement of filing or advancing~~ a grievance that precludes action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution is accepted as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the Administrative and Professional Faculty Senate Vice President in writing, who determines if there was ~~good~~reasonable cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the Administrative and Professional Faculty Senate Vice President is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations, other than time limit issues, the Administrative and Professional Faculty Senate Vice President rules on the question, as in disputes about the validity of procedural issues qualifying for the grievance procedure. The Administrative and Professional Faculty Senate Vice President has the following options: The Administrative and Professional Faculty Senate Vice President can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a ~~significant~~**substantial** 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~~**substantial** 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.

7.8.4 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 **university** 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~~**everyday** 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 example, complaints of unlawful discrimination or harassment, complaints related to unprofessional or unethical conduct, complaints related to non-reappointment, promotion, or abolition of position).

See chapter two of this handbook for information regarding “Allegations of Unprofessional or Unethical Conduct” against an A/P faculty member.

The Administrative and Professional Faculty Senate does not consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

7.8.5 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 or school office within the specified time frame is acceptable. ~~This is immediately followed by submission by mail of the original form and any related materials.~~

Time limits are subject to an extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the [provost's Faculty Forms page](#).)

~~At step three, if necessary, the principals and the Administrative and Professional Faculty Senate Vice President, if necessary, negotiate extensions of time limit~~ **negotiate time limit extensions at**

~~step three.~~ In case of disagreement, the ~~Administrative and Professional Faculty Senate~~ Vice President rules on time extensions and procedural questions or recommendations designed to expedite the proceedings while providing a 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 t~~. Those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave, the grievance process stops until ~~such time as~~ the grievant can resume duties. Exceptions to this provision are made at the ~~request of the grievant~~ grievant's request, 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~~ harm the grievant's health or exacerbate the ailment that required taking sick leave.

~~All costs of legal counsel employed by a grievant are borne by the~~ The grievant bears all costs of legal counsel employed by a grievant.

If a grievant is employed ~~away from~~ outside of Blacksburg and ~~is required to~~ must travel ~~away from~~ their duty station ~~in resolution of to resolve~~ their grievance, the university pays all travel costs permitted under state regulations.

~~In the event that~~ if 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 or school 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~~ proper administrative office to initiate a 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 an A/P faculty member concerning an action of either the provost, ~~senior executive~~ vice president and chief ~~business operating~~ officer, vice provost for faculty affairs, or the vice president for human resources is handled by the Administrative and Professional Faculty Senate Vice President and an impartial hearing panel. ~~but~~ Still, 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~~ university's president 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~~ Administrative and Professional Faculty Senate Vice President.

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.

7.8.6 Overview of the Formal Grievance Process for Administrative and Professional Faculty

Below is an abbreviated overview of the grievance process and deadlines. ~~Refer to,~~ Refer to “The Formal Grievance Procedure” in this chapter ~~for specific details and options available at each step for specific details and options available in each step of the grievance process.~~

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the [provost's Faculty Forms page](#).)

The ~~validity of a grievance under university policy can be determined by the Administrative and Professional Faculty Senate~~ Administrative and Professional Faculty Senate can determine the ~~validity of a grievance under university policy~~ [CAPFA](#) at any point in the process.

Step One	Step Number	Description
Within 30 days of event	1a.	Grievant submits written grievance to step one administrator (for Extension A/P faculty this is usually the district director) and Administrative and Professional Faculty Senate Vice President.
Within 10 weekdays	1b.	Administrative and Professional Faculty Senate Vice President CAPFA chair acknowledges in writing to grievant that copy of grievance has been received
	1c.	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.
	1d.	If the issue is not grievable, the grievance process concludes.
	1e.	If the issue is grievable, the step one administrator responds to grievance in writing on the grievance form.
	1f.	If step one administrator’s response is satisfactory to grievant, that ends the matter.

	1g.	If step one administrator's response is not satisfactory to the grievant, move to step two within 5 weekdays.
Step Two	Step Number	Description
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	Step Number	Description
Within 5 weekdays	3a.	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.
Within 5 weekdays	3b.	Step three administrator acknowledges receipt of grievance and forwards copy to Administrative and Professional Faculty Senate Vice President.
Within 5 weekdays	3c.	Administrative and Professional Faculty Senate Vice President acknowledges in writing to grievant that copy of grievance has been received from the step three administrator <u>and forwards a copy of the "Hearing Procedures for Administrative and Professional Faculty Grievances" to parties in the grievance process-</u>
Within 15 weekdays	3d.	Administrative and Professional Faculty Senate Vice President convenes a hearing panel that holds its initial meeting with both principals.

Within 45 weekdays	3e.	The hearing panel concludes its work and makes recommendation to step three administrator and grievant.
Within 10 weekdays	3f.	Step three administrator meets with grievant.
Within 10 weekdays	3g.	Step three administrator notifies grievant in writing of the decision.
	3h.	<u>If the step three administrator's decision is satisfactory to the grievant, even if it differs from the recommendations of the hearing panel, then that ends the matter. If the step three administrator's decision is fully consonant with the recommendations of the hearing panel, whether or not it is satisfactory to the grievant, that ends the matter and there is no further appeal. 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.</u>
	3i.	<u>If the step three administrator's decision is not consonant with the recommendations of the hearing panel and it is not acceptable to the grievant, only then may the grievant appeal to the university president. The appeal must be made within 20 calendar days of the step three administrator's decision. 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.</u>
Step Four	Step Number	Description
Within 20 calendar days	4a.	Grievant appeals in writing to president.
	4b.	The president's decision is final.

RESOLUTION TO RENAME THE DEPARTMENT OF BIOMEDICAL ENGINEERING AND MECHANICS

WHEREAS, during the 2023-2024 academic year, the College of Engineering relocated the Engineering Mechanics program from the Department of Biomedical Engineering and Mechanics to the Department of Mechanical Engineering; and

WHEREAS, the faculty and staff affiliated with the Engineering Mechanics program were also moved to the Department of Mechanical Engineering; and

WHEREAS, the Department of Biomedical Engineering and Mechanics is now solely focused on biomedical engineering in its course offerings, research, and degrees administered by the Department;

NOW, THEREFORE, BE IT RESOLVED that the Department of Biomedical Engineering and Mechanics be renamed the Department of Biomedical Engineering effect January 1, 2026.

RECOMMENDATION:

That the resolution to rename the Department of Biomedical Engineering and Mechanics be approved and the proposal forwarded to the State Council of Higher Education for Virginia (SCHEV) for approval.

June 3, 2025

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Institution

Virginia Polytechnic Institute and State University

Nature of Proposed Change

Virginia Polytechnic Institute and State University (Virginia Tech) requests approval to change the name of the current Department of Biomedical Engineering and Mechanics to the Department of Biomedical Engineering. The department is located in the College of Engineering. This change will be in name only and will not impact the organizational structure of the university or the college.

Appendix A presents the existing organizational structure of the college.

Appendix B presents the organizational structure of the college after the department name change.

Background

The Department of Biomedical Engineering and Mechanics was established in October 2015 by reorganizing the College of Engineering to merge the Department of Biomedical Engineering and the Department of Engineering Science and Mechanics and establish a new Department of Biomedical Engineering and Mechanics. The purpose of the department was to administer degree and other academic programs that combined the fundamental methods of the engineering science and mechanics field with the growing applications of biomedical engineering.

In fall 2023, the Dean of the College of Engineering met with the faculty of the Department of Biomedical Engineering and Mechanics to discuss relocating the Engineering Science and Mechanics faculty to another department in the college. The decision was made to relocate the Engineering Science and Mechanics faculty and academic programming to the Department of Mechanical Engineering. This realignment aimed to better reflect industry trends, foster academic synergy, and enhance student opportunities by moving engineering mechanics personnel and programs to another engineering department that is more directly aligned with the discipline's principles. On January 29, 2024, the Executive Vice President and Provost approved the relocation of the engineering science and mechanics graduate programs and associated faculty, staff, and students from the Department of Biomedical Engineering and Mechanics, effective July 1, 2024.

On June 27, 2024, the Department of Biomedical Engineering and Mechanics' biomedical engineering faculty discussed the department's degree programs and the minor and the alignment with the department name. The faculty also discussed the names of departments with similar degree programs at peer institutions. Based on the information reviewed, the faculty voted to propose changing the name of the department from the Department of Biomedical Engineering and Mechanics to the Department of Biomedical Engineering.

On June 28, 2024, the Department Head of the Department of Biomedical Engineering and Mechanics met with the College of Engineering Dean to discuss the possibility of changing the name of the department. The Department Head shared the faculty discussions and the results of the faculty vote with the Dean. During the meeting, the Dean endorsed proposing the name change of the department from the Department of Biomedical Engineering and Mechanics to the

Department of Biomedical Engineering. As a result of the process, the Dean determined the college should propose the name change. No further action was taken until fall 2024.

On December 18, 2024, the Executive Vice President and Provost contacted the Associate Vice Provost for Degree Innovation and SCHEV Compliance to assist the Department of Biomedical Engineering and Mechanics Department Head in developing a proposal to change the name of the department.

On [DATE], the Virginia Tech Board of Visitors approved the Department of Biomedical Engineering and Mechanics' proposal to change its name to the Department of Biomedical Engineering.

Purpose of Proposed Change

The purpose of the proposed organizational change is to change the name of the department to better reflect the academic programming in the department.

Mission

The proposed organizational change will not alter the university's mission. The mission of Virginia Tech states:

Inspired by our land-grant identity and guided by our motto, *Ut Prosim* (That I May Serve), 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.

The proposed new name aligns with the institution's mission. The proposed name supports Virginia Tech's commitment to "knowledge" and "discovery" given the department's focus is to use engineering principles to help solve medical and biological challenges.

Rationale for Proposed Change

The proposed name change will provide a more accurate description of the department's overall academic content. The proposed name change is needed and will help the department in two ways: 1) align the department's name with its academic and research focus, and 2) align department's name with peer institutions.

Alignment with Department Academic and Research Focus

Degree programs focused on engineering science and mechanics, as well as faculty who research engineering science and mechanics topics, such as solid mechanics, dynamics and control, and fluid mechanics, are no longer in the department. Therefore, the "mechanics" portion of the department's name no longer aligns with the department's academic or research focus.

The degree programs and minor program currently offered in the Department of Biomedical Engineering and Mechanics are focused solely on biomedical engineering. Faculty research in the department is focused on topics in the field of biomedical engineering, such as biomaterials, biomechanics, biomedical imaging, cardiovascular engineering, neuroengineering, and tissue

engineering. The proposed name change is needed to ensure the department has a name that accurately reflects its academic and research focus.

Alignment with Peer Institutions

During the spring of 2025, Virginia Tech's SCHEV Compliance staff conducted research to examine SCHEV peer institutions for academic units that offered degree programs and other academic programs similar to the Department of Biomedical Engineering and Mechanics. The SCHEV Compliance staff shared the results with the faculty, noted if a department was present, and reviewed the names of the departments.

Of the 25 SCHEV peer institutions, 25 have academic units that offer similar degree and other academic programs in the field of biomedical engineering. Of those 25 institutions, 15 have a Department of Biomedical Engineering, five (5) have a Department of Bioengineering, and two (2) have a School of Biomedical Engineering. Two (2) institutions have similar academic programming in biomedical engineering that are administratively housed at the college level, and one (1) institution has similar academic programming in biomedical engineering that is housed in a Department of Chemical and Biomedical Engineering.

The proposed name change is needed to align the department name with similar departments at Virginia Tech's peer institutions.

See Appendix C for a list of academic units at SCHEV peer institutions.

Academic Programs

The proposed name change will not impact the curricular offerings in the department. No degree programs will relocate as a result of the proposed name change. There will be no changes to the existing degree or minor program as a result of the proposed name change. The department offers the following degree and other academic programs:

Bachelor of Science (B.S.) in Biomedical Engineering
Master of Science (M.S.) in Biomedical Engineering
Doctor of Philosophy (Ph.D.) in Biomedical Engineering

Minor in Biomedical Engineering

Resources/Budget

There will be an initial expenditure of approximately \$9,500 to be used for purchasing signage and print materials associated with the proposed name change.

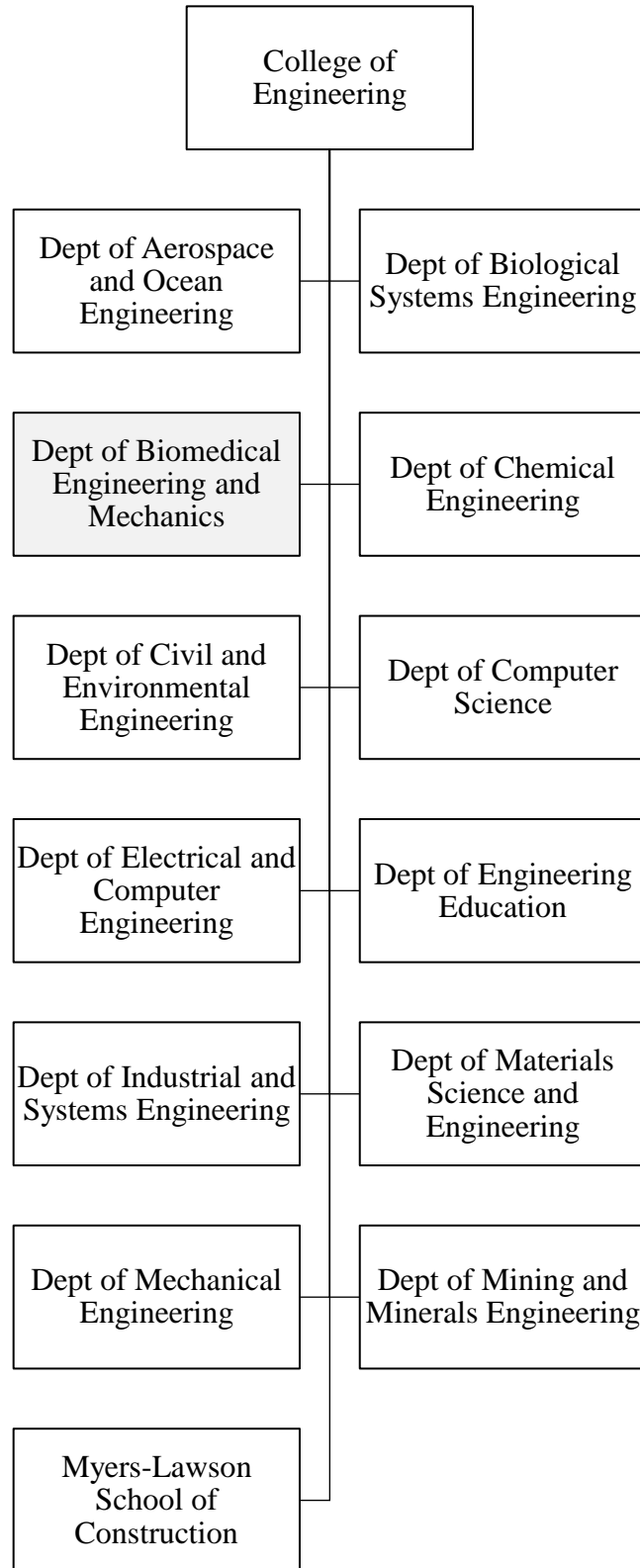
Signage (internal and external to the building)	\$7,000
Print materials (stationery and business cards)	\$2,500
Total	\$9,500

No additional expenses are required to implement the proposed name change. No new positions will be needed to implement the name change. Departmental administration, administrative

support, and space will not be changed by the proposed name change. Changes to the website will be completed during the normal course of business as internal updates are completed. Virginia Tech and the College of Engineering have adequate and sufficient resources for the proposed organizational change to change the department's name. No new resources will be requested from the state to initiate or sustain the organizational change to rename the Department of Department of Biomedical Engineering and Mechanics.

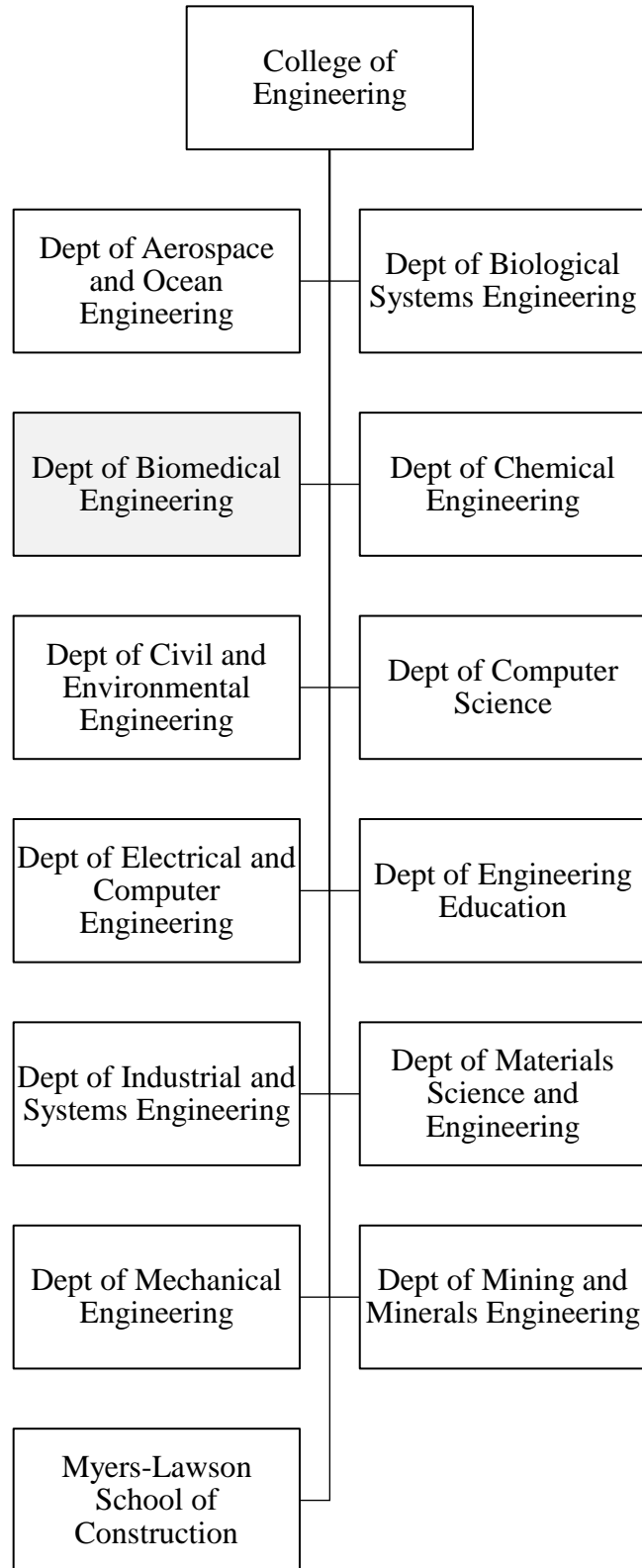
Appendices

Appendix A
Current Organizational Structure



Appendix B

Proposed Organizational Structure



Appendix C
Academic Units at Peer Institutions

	Institution	Department/Unit
1	Cornell University	Meinig School of Biomedical Engineering
2	Iowa State University	No department (biomedical engineering programming administered at the college level)
3	Michigan State University	Department of Biomedical Engineering
4	North Carolina State University	Department of Biomedical Engineering
5	Ohio State University-Main Campus	Department of Biomedical Engineering
6	Pennsylvania State University-Main Campus	Department of Biomedical Engineering
7	Purdue University-Main Campus	No department Weldon School of Biomedical Engineering
8	Rutgers University-New Brunswick/Piscataway	Department of Biomedical Engineering
9	Stony Brook University	Department of Biomedical Engineering
10	SUNY at Buffalo	Department of Biomedical Engineering
11	Texas A&M University	Department of Biomedical Engineering
12	The University of Texas at Austin	Department of Biomedical Engineering
13	University of California-Berkeley	Department of Bioengineering
14	University of California-Davis	Department of Biomedical Engineering
15	University of Colorado at Boulder	No department (biomedical engineering programming administered at the college level)
16	University of Florida	J. Crayton Pruitt Family Department of Biomedical Engineering
17	University of Illinois at Urbana-Champaign	Department of Bioengineering
18	University of Maryland-College Park	Fischell Department of Bioengineering
19	University of Michigan-Ann Arbor	Department of Biomedical Engineering
20	University of Minnesota-Twin Cities	Department of Biomedical Engineering
21	University of Missouri-Columbia	Department of Chemical and Biomedical Engineering
22	University of Pittsburgh-Main Campus	Department of Bioengineering
23	University of Southern California	Alfred E. Mann Department of Biomedical Engineering
24	University of Washington-Seattle Campus	Department of Bioengineering
25	University of Wisconsin-Madison	Department of Biomedical Engineering

RESOLUTION TO CLARIFY ELIGIBILITY FOR POSTDOCTORAL ASSOCIATE STATUS

WHEREAS, the Faculty Handbook describes the position titles and duties of all faculty;
and

WHEREAS, postdoctoral associate, a subcategory of research faculty, is an individual holding a doctoral degree who is engaged in a temporary period of mentored research and/or scholarly training for the purpose of acquiring the professional skills needed to pursue a career path of his or her choosing; and

WHEREAS, national bodies including the National Postdoctoral Association and the National Institutes of Health Advisory Committee to the Director Working Group on Re-envisioning NIH- Supported Postdoctoral Training recommend limiting the duration of a postdoctoral traineeship to five years total, even at multiple institutions; and

WHEREAS, consistent measurement of the duration of a postdoctoral trainee period supports implementation of these recommendations and clarity with university stakeholders; and

WHEREAS, occasional and well-defined exceptions to consistent measurement are justified when in the best interest of the postdoctoral associate;

NOW, THEREFORE, BE IT RESOLVED, that the faculty handbook, section 6.1.2, be revised as shown below with changes noted in red.

BE IT FURTHER RESOLVED, that these revisions will become effective for the 2025-26 Faculty Handbook.

RECOMMENDATION:

That the resolution to clarify eligibility for postdoctoral status be approved and included in the 2025-26 Faculty Handbook.

June 3, 2025

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 ~~with a terminal degree~~ 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~~s~~. 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 always on restricted not appropriate for regular~~ appointments. See section 2.6.2 for more information about restricted appointments.

Individuals are eligible to be postdoctoral associates for a ~~The maximum cumulative allowable duration of employment for a postdoctoral associate held by a single individual, even at multiple institutions,~~ five years, including prior experience in a postdoc position at another institution. Generally, eligibility is calculated from the date of conferral of a terminal degree. Appointment to this faculty rank is usually 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. ~~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~~ requires a promotion in rank. Exceptions for extenuating circumstances may be made by the Office of Research and Innovation.

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 head, chair, or school director, 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. ~~Review by the Office of Research and Innovation is required before an offer is made.~~

RESOLUTION TO AMEND THE FACULTY HANDBOOK TO CODIFY INTEREST- OR DISCIPLINE-BASED FACULTY ORGANIZATIONS

WHEREAS, the Faculty Handbook describes the policies related to faculty and the organizations within Virginia Tech to which they belong; and

WHEREAS, faculty with common disciplinary or professional interests may wish to organize for the purposes of networking and professional development; and

WHEREAS, formal recognition of such organizations by Virginia Tech is beneficial to the faculty and in alignment with mutual interests of advancing professional interests and fostering collegiality and collaboration among faculty;

NOW, THEREFORE, BE IT RESOLVED that Chapter 1 of the Faculty Handbook be amended with the changes noted below in red.

BE IT FURTHER RESOLVED, that these revisions will become effective for the 2025-26 Faculty Handbook.

1.1.12 Faculty Organizations

Faculty organizations may be established by faculty for the purposes of building communities of practice and networking for professional development. These organizations may be comprised of faculty around certain disciplinary interests, experiences, or towards specific goals. These faculty organizations have constitutions that designate their purposes, membership, officers, election procedures, standing committees and their duties, and other organizational and procedural matters. These faculty organizations do not have a formal role in university governance but are recognized by and supported in their activities, as appropriate, by the office of the Vice Provost for Faculty Affairs.

RECOMMENDATION:

That the resolution to codify interest-based or discipline-based faculty organizations be approved and included in the 2025-26 Faculty Handbook.

June 3, 2025

RESOLUTION TO INTEGRATE CHAPTER 12 INTO CHAPTERS 2 AND 5 OF THE FACULTY HANDBOOK

WHEREAS, the Faculty Handbook describes all position titles and duties for faculty; and

WHEREAS, the Virginia Carilion School of Medicine (VTCOSM) faculty position titles and duties have been included separately in the Faculty Handbook since the integration of the school into Virginia Tech in 2018; and

WHEREAS, VTCOSM faculty position titles and duties are being brought into alignment with other faculty at Virginia Tech and no longer require a separate chapter in the Faculty Handbook;

NOW, THEREFORE, BE IT RESOLVED, that Chapter 12 of the Faculty Handbook be removed and the content of Chapters 2 and 5 of the Faculty Handbook be amended as shown below with changes noted in red; and

BE IT FURTHER RESOLVED, that these revisions will become effective for the 2025-26 Faculty Handbook.

RECOMMENDATION:

That the resolution to integrate chapter 12 into chapters 2 and 5 be approved and included in the 2025-26 Faculty Handbook.

June 3, 2025

2.3.5 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.

2.3.5.1 Leadership of the Faculty of Health Sciences

The executive vice president and provost (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.

2.3.5.2 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.

2.3.6 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 Virginia Tech 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.~~

VTCSOM faculty members employed by Virginia Tech receive appointments in one of the ranks described in the faculty handbook. VTCSOM 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

VTCSOM faculty members employed by other entities 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. Faculty (e.g. physician, other clinicians) employed by other entities are not eligible for tenure as described in chapter three of the Faculty Handbook.

2.3.6.1 VTCSOM 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 (ACCME).

2.3.6.2 Additional Policy Obligations

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, ~~Individuals with appointment to the VTCSOM faculty are subject to all relevant and appropriate sections of this handbook and university policies.~~ including chapter two "Professional Responsibilities and Conduct" and chapter three "Imposition of a Severe Sanction or Dismissal for Cause".

2.6.6.2 Winter Session Appointments

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

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

2.6.6.3 Winter and Summer Session Appointments for A/P Faculty

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

2.6.7 Tenure-to-Title Track Faculty Appointments

General conditions and definitions. Exclusive to the VTCSOM, tenure-to-title is the conferring of a permanent, non-employment, appointment to ~~the~~ 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, 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 **only be** rescinded for imposition of a severe sanction or dismissal for cause.

Nomination and selection. 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.~~

~~The tenure-to-title dossier is reviewed by an appropriately charged departmental committee and the department head, and by an appropriately charged VTCSOM-level committee. After review by the appropriate departmental and college committee, the dean makes recommendations to the provost for approval by the Board of Visitors.~~

5.1 Non-Tenure-Track Instructional Faculty Series

5.1.1 Visiting **Professor** Faculty

Appointment to ~~the rank of~~ visiting ~~assistant, associate, or professor~~ faculty positions is for a restricted period to conduct learning, discovery, and engagement responsibilities within an academic department or school. A visiting faculty member may not serve in such a position beyond six years.

Service. Full-time service ~~at this rank as a visiting faculty member~~ 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 Faculty

Appointment to ~~the rank of~~ adjunct ~~assistant, associate, or professor~~ faculty positions is reserved for persons whose primary employment is with another agency, organization, educational institution, or with a non- instructional unit of the university. Appointments may be renewed annually.

Adjunct professors are usually compensated as wage employees using the university's P14 form found on the [Human Resources Adjunct Faculty](#) (P14) page.

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 or school 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.

RESOLUTION TO CODIFY THE FACULTY RECONCILIATION PROCESS WITHIN THE OFFICE OF FACULTY AFFAIRS

WHEREAS, the process of reconciliation for mediating issues affecting faculty is of critical importance to the ability of faculty to perform their jobs; and

WHEREAS, reconciliation is a complex process that requires professional training and extensive knowledge of the policies and administrative entities at Virginia Tech; and

WHEREAS, the Faculty Senate has an external Committee on Reconciliation that presently provides consultation for faculty members as part of the reconciliation process; and

WHEREAS, the reconciliation process is better handled through the Office of Faculty Affairs by a trained Director of Faculty Reconciliation;

NOW, THEREFORE, BE IT RESOLVED that the Faculty Handbook be revised as shown below in red to formalize and codify the role of a Director of Faculty Reconciliation (DFR) within the Office of Faculty Affairs and to remove mention of the Faculty Senate Committee on Reconciliation; and

THEREFORE, BE IT FURTHER RESOLVED that Article VIII of the Faculty Senate Constitution be revised as shown below with changes noted in red to remove reference to the Faculty Senate Committee on Reconciliation; and

BE IT FURTHER RESOLVED that these revisions will become effective for the 2025-26 Faculty Handbook.

RECOMMENDATION:

That the resolution to codify the faculty reconciliation process within the Office of Faculty Affairs be approved and included in the 2025-26 Faculty Handbook.

June 3, 2025

Faculty Handbook (excerpts)

2.31 Faculty Senate Standing Committees on Ethics, ~~Reconciliation~~, and Review

External Faculty Senate Standing Committees report to the vice president of the senate and are summarized in the Faculty Senate Constitution. See [Faculty Senate website](#) for information.

2.31.1 Faculty Senate Committee on Ethics

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

2.31.2 Faculty Senate Review Committee

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

2.32 Faculty ~~Senate Committee on~~ Reconciliation

The ~~Committee on Reconciliation~~ Office of the Vice Provost for Faculty Affairs provides support for the Director of Faculty Reconciliation. The Director of Faculty Reconciliation (DFR) serves as a private and independent resource to ~~offers~~ advice and counsel to faculty members who seek it, particularly in relation to disputes with immediate supervisors or university administrators. The ~~committee~~ DFR 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 DFR the committee~~ regarding serious disagreements with ~~colleagues~~, 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~~ The DFR operates informally as a facilitator, meetings with the respective parties to determine if there is common ground for resolution of the matter, and facilitating a solution that is agreeable to the principal parties and consistent with university policy and practice. The DFR may consult with the vice provost for faculty affairs but operates independently; any conversations will remain private unless permitted otherwise by the faculty member. For more information, consult [Faculty Reconciliation](#). ~~Contact Faculty Affairs in the provost's office for information on Faculty Reconciliation.~~

2.33 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.

2.34 Consulting Activities

Consult the [Conflicts of Interest and Commitment webpage](#) 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.

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

Professional service includes service on national commissions, on boards of governmental agencies, on granting agency peer review panels, on visiting committees or advisory groups to other universities, on professional associations, and on analogous bodies. Professional service activities may involve a token honorarium and/or expense reimbursement. These activities are considered part of the faculty member's institutional responsibilities for participation in the larger scholarly academic community. Participation in external professional service activities may require supervisor approval depending on departmental or school 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 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 webpage 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.

2.34.1 Consulting Activities for Virginia Cooperative Extension Faculty

See chapter seven of this handbook for additional information applicable to Extension faculty members. 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.

2.34.2 Virginia Tech Continuing and Professional Education Technical Assistance Program (TAP)

Consult 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% 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% for academic year faculty members. Faculty members on calendar year appointments may earn 33⅓% 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.

2.35 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.

2.36 Conflicts of Commitment

Consult the [Conflicts of Interest and Commitment](#) webpage for information and procedures. A conflict of commitment arises when the external activities of a faculty member are so demanding of time, attention, or focus that they interfere with the individual's responsibilities to the university.

Nothing in this policy statement shall be interpreted as interfering with the academic freedom of faculty members, nor with their primary responsibility to direct their own research.

Faculty members have traditionally been allowed wide latitude in defining their professional agendas and their degree of involvement in external activities when those activities advance the mission or prestige of the university. The university encourages active participation by faculty

members in external activities that are integral to and/or enhance their professional skills and standing or that constitute substantive outreach and public service activities.

Such activities are usually expected of faculty members to promote academic development, and to enrich their contributions to the institution, their profession, the state, and national and world societies. Additionally, Virginia Tech encourages entrepreneurial activities by faculty, recognizing that such activities are critical to promoting economic development and meeting society's needs, if participation in those activities complies with federal and state laws and policies, the Virginia Tech conflicts of interest policy, and these guidelines.

Faculty members should make the fulfillment of their responsibilities to the university the focal point of their professional effort. They are expected to arrange their external activities so that they do not impede or compromise their university duties and responsibilities. Responsibility for ensuring commitment to the university and for reporting activities that might be perceived as compromising that commitment rests with each faculty member in consultation with the department head, chair, school director, or supervisor and dean, or relevant senior manager.

The university recognizes that the balance of external activities varies among individuals, from discipline to discipline, and from one type of proposed activity to another. That balance is affected by unit goals and changing needs for teaching, research, creative and artistic activities, Extension, service, and outreach. Primary duties and responsibilities may vary from year to year for individual faculty members. Undergraduate and graduate enrollment demands, faculty-staffing levels, and changes in the nature and scope of outreach, teaching, and research within the unit may affect the primary duties and responsibilities of individual faculty. The primary judgment as to whether a faculty member is meeting professional responsibilities to the unit rests with the department head, chair, school director, or supervisor and dean, or relevant senior manager.

If a faculty member is committed to engaging in an external activity that compromises their ability to meet university responsibilities, a leave of absence or a reduction in their percentage of employment may be appropriate or necessary. Approval of a leave request or change in appointment depends on the needs of the unit and college and protection of university interests.

If a department head, chair, school director and/or dean, observes that a faculty member appears to not be fulfilling their primary responsibilities to the university, the administrator shall immediately address these concerns with the faculty member to ensure that these responsibilities are adequately met. Failure to meet primary departmental or school 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).

2.37 Conflicts of Interest

Consult the [Conflicts of Interest and Commitment](#) page and [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 webpage](#) maintained by the Research Conflict of Interest Program for a list of other Virginia Tech policies that touch on conflicts of interest more broadly.

2.37.1 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 provost (or relevant vice president for a non-academic appointment) prior to submission to the Board of Visitors for approval.

2.37.2 Conflicts of Interest Training and 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.

2.37.3 Conflicts of Interest Training and Disclosure Requirements for Certain Employees

[Chapter 31 of Title 2.2 of the Code of Virginia](#) outlines the Commonwealth's State and Local Government Conflict of Interests Act (the Act). 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.

[Chapter 31 of Title 2.2 of the Code of Virginia](#) outlines the Commonwealth's State and Local Government Conflict of Interests Act (the Act) requires that certain Virginia Tech employees must take training and disclose financial interests to the Commonwealth of Virginia that they or an immediate family member hold. Training for Statement of Economic Interests (SOEI) filers is provided by the Virginia Conflict of Interest and Ethics Advisory Council and is required initially and every two years. Note that this requirement is in addition to the Virginia Tech-specific COI training required for Investigators on sponsored research projects. SOEI filers must continue to disclose financial interests to Virginia Tech and take research COI training, as needed.

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.

2.37.4 Conflicts of Interest Training and 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.

2.37.5 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.

2.37.6 Participation of and Payment to Students in Projects Involving Faculty Owners

[Policy 13010](#) outlines Financial Conflict of Interest Management to Promote Objectivity in Research. The management plan is designed to mitigate the conflict, promote research objectivity, and provide academic and professional protection for graduate and professional students, and postdoctoral scholars respectively. See also the [Graduate Catalog](#) for information for graduate students seeking employment in university employee-owned businesses.

2.38 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.

2.38.1 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.

2.38.2 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.

2.38.3 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.

2.38.4 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.

2.38.5 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 webpage 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.

2.38.6 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.

2.38.7 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 or school responsible for the facility or equipment verifies, on the Request to Engage in External Activity Form 13010A, that the proposed use does not interfere with, or have priority over, anticipated university use of the facility or equipment.

In approving the Request to Engage in Outside Activities, the faculty member's department head, chair, school director, or supervisor and dean or vice president (and provost, when appropriate) determine that the consultation is of substantial professional merit and presents no conflict of interest in the use of the facilities or equipment. Particular care is given to the relationship of the consultation with current or potential grants or contracts and to the possibility of unfair competition with local firms and businesses.

If an employee uses equipment of a specialized service center, the employee is charged the "commercial" or "consulting" rate, as determined by the Controller's Office. The employee is billed based on actual use. The deposit is credited to the appropriate service center account established by the Controller's Office.

If the faculty member uses facilities such as those of the Virginia Tech athletic department, Moss Arts Center, or Student Engagement and Campus Life venues, the employee is charged at a rate established by the Controller's Office for such use. The deposit is made to the appropriate venue account.

For facilities other than specialized service centers, or other facilities for which a charge rate has been determined, the use of the facilities must be authorized and reimbursed at a rate determined

by the collaboration of the employee's department head, chair, school director, or supervisor and the Controller's Office.

The use of University Libraries facilities in connection with consulting is exempt from the above regulations since those facilities are available to the public.

2.38.7.1 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 hierarches 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.

2.38.8 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.

2.38.9 Domestic and International Travel

Consult the website of the Controller's Office for information. The university encourages faculty to pursue endeavors that will enhance their professional development and benefit university programs. For details on travel-related business expenses and travel reporting procedures, refer to [Controller's Office Procedures 20335A: Travel Overview](#). Consult [Policy 1070 "Global Travel Policy"](#). The university strongly encourages all members of the university community who are contemplating travel abroad for education, research, or other purposes to plan well in advance and to take precautions to ensure a safe trip.

2.38.10 Use of University Letterhead

As a primary identifier of the university, letterhead should only be used for appropriate university business. As such, university letterhead is not to be used for personal business or where personal gain results. Avoid endorsements of political personages, businesses, or products when using university letterhead. Discretion is advised if correspondence on university letterhead could be construed as a university endorsement.

3.10 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).

3.10.1 Adequate Cause

Adequate cause for imposition of a severe sanction or dismissal is related, directly, and substantially, to the fitness of faculty members in their professional capacity as teachers and scholars. Imposition of a severe sanction or dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights.

Adequate cause includes: violation of professional ethics (see chapter two of this handbook "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.

3.10.2 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 this 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.

3.10.3 Dismissal for Cause

The following procedures apply to faculty members with tenure or for dismissal of a tenure-track faculty member before the end of their current contract. Dismissal is preceded by:

Step one. Discussions between the faculty member, department head, chair, or school director, dean, and/or provost, looking toward a mutual settlement.

Step two. Informal inquiry by a standing (or, if necessary, ad hoc) faculty committee having concern for personnel matters. This committee attempts to affect an adjustment and, failing to do so, determines whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the president's decision whether to proceed.

Step three. The furnishing by the president (in what follows, the president may delegate the provost to serve instead) of a statement of specific charges, in consultation with the department head, chair, or school director and dean. The statement of charges is included in a letter to the faculty member indicating the intention to dismiss, with notification of the right to a formal hearing. The faculty member is given a specified reasonable time limit to request a hearing; that time limit is no less than 10 days.

Procedures for conducting a formal hearing, if requested. If a hearing committee is to be established, the president asks the Faculty Senate, through its president, to nominate nine faculty members to serve on the hearing committee. These faculty members are nominated based on their objectivity, competence, and regard. They must have no bias or untoward interest in the case and be available at the anticipated time of the hearing. The faculty member and the president each have a maximum of two challenges from among the nominees without stated cause. The president then names a five-member hearing committee from the remaining names on the nominated slate. The hearing committee elects its chair.

Pending a final decision on the dismissal, the faculty member is suspended only if immediate harm to him or herself or to others is threatened by continuance. If the president believes such suspension is warranted, consultation takes place with the ~~Faculty Senate Committee on Reconciliation~~ Director of Faculty Reconciliation concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.

Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the charges or asserting that the charges do not support a finding of adequate cause. In such a case,

the hearing committee evaluates all available evidence and makes its recommendation based on the evidence in the record.

The committee, in consultation with the president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentation or other evidence. The administration cooperates with the hearing committee in securing witnesses and evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements from unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The president and the faculty member are notified of the recommendation in writing and are given a written copy of the recording of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity to respond.

Appeal to the Board of Visitors. If the president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board).

The board's review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the committee with specific objections. The committee then reconsiders, taking into account the stated objections and receiving new evidence if necessary. The board makes a final decision only after studying the committee's reconsideration.

Notice of termination/dismissal. In cases where gross misconduct is decided, termination is usually immediate. The standard for gross misconduct is behavior so egregious that it evokes

condemnation by the academic community generally and is so utterly blameworthy as to make it inappropriate to offer additional notice or severance pay.

The first faculty committee that considers the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty member with tenure receives up to one year of salary or notice, and (b) a probationary faculty member receives up to three months' salary or notice. These terms of dismissal begin on the date of final notification of dismissal.

3.11 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.

3.11.1 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 [Virginia Tech Office of Interactive Communication and Empowerment \(VOICE\)](#), 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~~ Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. ~~Faculty members may also contact the provost's office of Faculty Affairs regarding options for reconciliation support.~~ Contacting the ~~Faculty Senate Committee on Reconciliation~~ DFR 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, the grievant must contact the ~~chair of the Faculty Senate Committee on Reconciliation DFR~~ 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 grievance process. If the grievant requests assistance from the ~~Faculty Senate Committee on Reconciliation DFR~~, ~~they that committee will~~ requests a postponement of the time limits involved in the formal grievance procedure while ~~it they deals~~ with the case. The request is submitted in writing to the vice provost for faculty affairs ~~and the vice president of the faculty senate~~ by the ~~chair of the Faculty Senate Committee on Reconciliation DFR~~. ~~Also~~In addition, the grievant should reach an understanding with the ~~Faculty Senate Committee on Reconciliation DFR~~ of the time frame planned for ~~that committee's~~ working on the case, ~~with~~ such time not to exceed 60 calendar days.

Faculty members may also consult the ~~Faculty Senate Committee on Reconciliation DFR~~ about serious disagreements with ~~colleagues~~, immediate supervisors, or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the ~~committee-DFR~~ 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 provost. For more information, consult [Faculty Reconciliation](#).

Mediation. Conflict resolution and mediation are provided by the [Office for Equity and Accessibility](#). Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of mediators: Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting mediation: Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. In the event that the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

3.11.2 The Formal Grievance Procedure

Visit the Faculty Forms on the provost's Faculty Affairs webpage for the [grievance form](#). If the assistance of ~~the director of fFaculty Senate Committee on Reconciliation~~ is not desired or is not requested; or if ~~that committee~~ the DFR determines that ~~it they~~ cannot provide assistance in the matter; or if the grievant finds that the length of time the ~~Committee on Reconciliation-DFR~~ plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of ~~that committee-the DFR~~, the grievant may pursue the issue as a formal grievance through the following procedure. Department heads, chairs, or school directors, deans, directors, and other administrative faculty will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of the case.

Step one. The grievant must meet with the immediate supervisor (usually the department head, chair, or school director) within 30 calendar days of the date that grievant knew or should have known of the event or action that is the basis for the grievance and orally identifies the grievance and the grievant's concerns. The supervisor provides an oral response to the grievant within five weekdays following the meeting. If the supervisor's response is satisfactory to the grievant, that ends the matter.

Step two. If a satisfactory resolution of the grievance is not achieved by the immediate supervisor's oral response, the grievant may submit a written statement of the grievance and the relief requested to the immediate supervisor. This statement must be on the faculty grievance form, must define the grievance and the relief requested specifically and precisely, and must be submitted to the immediate supervisor within five weekdays of the time when the grievant received the immediate supervisor's oral response to the first step meeting. Faculty grievance forms are available on the [provost's Faculty Forms page](#). Within five weekdays of receiving the written statement of the grievance, the immediate supervisor, in turn, gives the grievant a written response on the faculty grievance form, citing reasons for action taken or not taken. If the written response of the immediate supervisor is satisfactory to the grievant, that ends the matter.

Step three. If the resolution of the grievance proposed in the written response by the immediate supervisor is not acceptable, the grievant may advance the grievance to the next level of university administration by checking the appropriate place on the faculty grievance form, signing and sending the form to the next level administrator within five weekdays of receiving the written response from the immediate supervisor. The next level of administration for college faculty is usually the college dean. The administrator involved at this next level is hereafter referred to as the second-level administrator. Following receipt of the faculty grievance form, the second-level administrator, or designated representative, meets with the grievant within five weekdays. The second-level administrator may request the immediate supervisor of the grievant be present; the grievant may similarly request that a representative chosen from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the second-level administrator does not have legal counsel present. The second-level administrator gives the grievant a written decision on the faculty grievance form within five weekdays after the meeting, citing reasons for the decision. If the second-level administrator's written response to the grievance is satisfactory to the grievant it ends the matter.

Step four. If the resolution of the grievance proposed in the written response from the second-level administrator is not acceptable, the grievant may advance the grievance within five weekdays to the level of the provost, including consideration by an impartial hearing panel of the Faculty Senate Review Committee.

Upon receiving the faculty grievance form requesting step four review, the provost, or appropriate designated representative, acknowledges receipt of the grievance within five weekdays and forwards a copy of the Procedures of the Faculty Senate Review Committee to parties in the grievance process. The provost immediately forwards a copy of the grievance to the president of the Faculty Senate, who also writes to the grievant to acknowledge receipt of the grievance within five weekdays of receipt of the faculty grievance form from the provost.

The grievant may petition the provost to bypass the Faculty Senate Review Committee and rule on the grievance. If the provost accepts the request, there is no subsequent opportunity for the grievance to be heard by a hearing panel. The provost's decision, however, may be appealed to the president, as described in step five. If the provost does not accept the petition, the Faculty Senate Review Committee hears the grievance as outlined in these procedures.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

Hearing panel. A hearing panel consists of five faculty members appointed by the chair of the Faculty Senate Review Committee from among the members of the Faculty Senate Review Committee. The chair of the Faculty Senate Review Committee polls all appointees to ensure that they have no conflict of interest in the case. Both parties to the grievance may challenge one of the appointments, if they so desire, without need to state cause, and the chair of the Faculty Senate Review Committee appoints the needed replacement or replacements. Other replacements are made only for cause. The chair of the Faculty Senate Review Committee rules on issues of cause.

To ensure uniformity in practice, the chair of the Faculty Senate Review Committee or their designee serves as the non-voting chair of each hearing panel. If the chair of the Faculty Senate Review Committee has a conflict of interest concerning a case, the chair appoints a disinterested third party from among the members of the Faculty Senate Review Committee not already appointed to the hearing panel for the case to serve as chair of the hearing panel.

Hearing. After a hearing panel is appointed, the chair of the Faculty Senate Review Committee requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Faculty Senate president. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling. The hearing is then reconvened as appropriate.

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak on their behalf if so requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does

not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsels are present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel.

Findings and recommendations. The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Faculty Senate president. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the provost, the grievant, and the chair of the Faculty Senate Review Committee.

Provost's action. The provost meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant about the prospects for disposition of the case. Within 10 weekdays of that meeting, the provost sends to the grievant the decision in writing concerning the disposition of the grievance. If the provost's decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel that ends the matter.

Step five. If the provost's decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the president within 20 calendar days. The president's decision is final.

3.11.3 Timeliness of Grievance and Procedural Compliance (see chart below)

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time when the event or action should have been known and is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution was accepted as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the enforcement of the most

recently proposed resolution. The finding on the matter by the chair of the Faculty Review Senate Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee consisting of the president of the Faculty Senate, the chair of the Faculty Senate Committee on ~~Reconciliation~~ Ethics, 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.

3.11.4 Valid Issues for Grievance

For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation; unreasonable merit adjustment or salary level; excessive teaching load/work assignments; substantive violations of promotion and tenure procedures including the appeal process (see appeal process in chapter three of this handbook “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, appeals of non-reappointment, promotion and/or tenure decisions); the contents of personnel and other 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~~ Ethics, 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.

4.4.9 Appeals of Decisions on Reappointment, Continued Appointment, or Promotion

A faculty member who is notified of a negative decision following evaluation for a term reappointment during the probationary period, for continued appointment, or for promotion may appeal for review of the decision under conditions and procedures specified in this section. The appellant has a right to an explanation of the reasons contributing to the denial.

Such an appeal must be filed, in writing, within 14 calendar days of formal notification of the decision, which shall refer to appeal procedures. The appeal can only be based on the grounds that certain relevant information was not provided or considered in the decision, or that the decision was influenced by improper consideration.

In their recommendations, administrators and committees hearing an appeal should address the standards outlined in the previous paragraph. In particular, they shall not substitute their own judgment on the merits for that of the body or individual that made the decision under appeal. The recommendations should address the allegations in the appeal with specificity and cite appropriate evidence.

Appeals should be resolved as quickly as possible without compromising fairness or thoroughness of review. Whenever possible, the goal should be to achieve a final resolution in time to accommodate the first meeting of the Board of Visitors in the fall semester.

A faculty member who believes that the appeal procedures described in this section have been improperly followed may, at any point, seek advice from ~~the Faculty Senate Committee on Reconciliation~~ the Director of Faculty Reconciliation and/or file a grievance in accordance with the grievance procedure in chapter four of this handbook, "Faculty Grievance Policy and Procedures."

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 of this handbook, "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~~ Director of Faculty Reconciliation concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.

Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the charges or asserting that the charges do not support a finding of adequate cause. In such a case, the hearing committee evaluates all available evidence and rests its recommendation on the evidence in the record.

The committee, in consultation with the president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration cooperates with the hearing committee in securing witnesses and evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements of unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The university president and the faculty member are notified of the recommendation in writing and are given a written copy of the record of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the university president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the university president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity for response.

Appeal to the Board of Visitors. If the university president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board). The board's review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the hearing committee with specific objections. The hearing committee then reconsiders, taking into account the stated objections and receiving new evidence if necessary. The board makes a final decision only after studying the hearing committee's reconsideration.

Notice of Dismissal. In cases where gross misconduct is decided, dismissal is usually immediate. The standard for gross misconduct is behavior so egregious that it evokes condemnation by the academic community generally and is so utterly blameworthy as to make it inappropriate to offer additional notice or severance pay. The first faculty committee that considers the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty member with continued appointment receives up to one year of salary or notice, and (b) a probationary faculty member receives up to three months' salary or notice. These terms of dismissal begin at the date of final notification of dismissal.

4.7 Faculty Grievance Policy and Procedures

The following procedure is provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by members of the University Libraries faculty with continued appointment or on the continued appointment-track. [The Faculty Senate Review Committee](#) conducts the step four hearing if requested.

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 [Virginia Tech Office of Interactive Communication and Empowerment \(VOICES\)](#) 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 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~~ Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Contacting the ~~Faculty Senate Committee on Reconciliation~~ DFR 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. ~~Contact Faculty Affairs in the provost's office for information on Reconciliation.~~

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~~ DFR 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 grievance process. If the grievant requests assistance from the ~~Faculty Senate Committee on Reconciliation, DFR, that committee~~ the DFR 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~~ DFR submits the request in writing to the vice provost for faculty

affairs and the vice president of the Faculty Senate. Also In addition, the grievant reaches an understanding with the ~~Faculty Senate Committee on Reconciliation~~ DFR of the time frame planned for ~~that committee's~~ working on the case, with such time not to exceed 60 calendar days.

Faculty members may also consult the ~~Faculty Senate Committee on Reconciliation~~ DFR 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~~ DFR 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 provost. ~~Information on the Faculty Senate Committee on Reconciliation is on the Faculty Senate website.~~ For more information, consult [Faculty Reconciliation](#).

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 the [Office for Equity and Accessibility](#). Because mediation is voluntary, both parties must agree to participate in order for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of Mediators. Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting Mediation. Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

4.7.2 The Formal Grievance Procedure

If the assistance of the ~~Faculty Senate Committee on Reconciliation~~ Director of Faculty Reconciliation (DFR) is not desired or is not requested; or if the DFR determines that ~~it~~they cannot provide assistance in the matter; or if the grievant finds that the length of time the ~~Faculty Senate Committee on Reconciliation~~ DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of ~~that committee~~, the DFR, 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. [A grievance form is available on the Faculty Affairs Faculty Forms webpage.](#)

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 **consisting** of the president of the Faculty Senate, the chair of the Faculty Senate Committee on **Reconciliation Ethics**, 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 of this handbook, “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, appeals of non-reappointment, promotion and/or tenure/continued appointment decisions); the contents of personnel and other 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 Ethics**, 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.

5.4 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](#) conducts the step four hearing if requested.

5.4.1 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 Virginia Tech Office of Interactive Communication and Empowerment](#) (VOICE). 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 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~~ Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Contacting the ~~Faculty Senate Committee on Reconciliation~~ DFR 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. ~~Contact Faculty Affairs in the provost's office for information on Reconciliation.~~

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~~ DFR 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 grievance process. If the grievant requests assistance from the ~~Faculty Senate Committee on Reconciliation~~ DFR, that ~~committee~~ unit 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 and the vice president of the Faculty Senate by the ~~chair of the Committee on Reconciliation~~ DFR. ~~Also~~ In addition, the grievant should reach an understanding

with the ~~Faculty Senate Committee on Reconciliation~~ DFR of the time frame planned for that ~~committee's unit's~~ work on the case, such time not to exceed 60 calendar days.

Faculty members may also consult the ~~Faculty Senate Committee on Reconciliation~~ DFR 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~~ DFR 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 provost. ~~Information on the Faculty Senate Reconciliation Committee is in chapter two of this handbook and on the Faculty Senate website.~~ For more information, consult [Faculty Reconciliation](#).

Mediation. Conflict resolution 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 the [Office for Equity and Accessibility](#). Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of mediators. Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting mediation. Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

5.4.2 The Formal Grievance Procedure

If the assistance of the ~~Faculty Senate Committee on Reconciliation~~ Director of Faculty Reconciliation (DFR) is not desired or is not requested; or if ~~that committee~~ the DFR determines that ~~it they~~ cannot provide assistance in the matter; or if the grievant finds that the length of time the ~~Faculty Senate Committee on Reconciliation~~ DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of ~~that committee~~ the DFR, the grievant may pursue the issue as a formal grievance through the following procedure. [A grievance form is available on the provost's webpage](#). Department heads, chairs, school directors, deans, 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 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.

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 their 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.

5.4.3 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 **consisting** of the president of the Faculty Senate, the chair of the Faculty Senate Committee on **Reconciliation Ethics**, 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.

5.4.4 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 “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, appeals of non-reappointment or promotion decisions); the contents of personnel and other 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, of the Faculty Senate Committee on ~~Reconciliation~~ Ethics, 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 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 [Virginia Tech Office of Interactive Communication and Empowerment \(VOICES\)](#). The university 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.

Faculty 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~~ Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Contacting the ~~Faculty Senate Committee on Reconciliation~~ DFR 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. Contact Faculty Affairs in the provost's office for information on Reconciliation.

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~~ DFR 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~~ DFR, ~~that committee~~ the DFR 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~~ DFR submits the request in writing to the vice provost for faculty affairs and the vice president of the Faculty Senate. ~~Also~~ In addition, the grievant reaches an understanding with

the ~~Faculty Senate Committee on Reconciliation~~ DFR of the time frame planned for that ~~committee's unit's~~ work on the case, such time not to exceed 60 calendar days.

Faculty members may also consult the ~~Faculty Senate Committee on Reconciliation~~ DFR 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~~ DFR 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 provost. ~~Information on the Faculty Senate Committee on Reconciliation is in chapter two of this handbook and on the Faculty Senate website.~~ For more information, consult [Faculty Reconciliation](#).

Mediation. Mediation is available through the [Office for Equity and Accessibility](#) and is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of Mediators. Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting Mediation: Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

6.12.2 The Formal Grievance Procedure

If the assistance of the ~~Faculty Senate Committee on Reconciliation~~ Director of Faculty Reconciliation (DFR) is not desired or is not requested; or if ~~that committee~~ the DFR 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~~ DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of ~~that committee~~ the DFR, the grievant may pursue the issue as a formal grievance through the following procedure. A [grievance form](#) is available on the provost's webpage. The department head, chair, or school director, dean, and other administrative faculty will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of the case.

Step one: The grievant shall provide a written description of the event or action on the faculty grievance form and relevant supporting documentation of the grievance within 30 calendar days of the date when the event or action should have been known that is the basis of the grievance to the immediate supervisor. [Research faculty grievance forms](#) are available on provost's Faculty Forms page.

The supervisor meets with the grievant and provides a written response within five weekdays to the grievant citing reasons for action taken or not taken and the final decision. If the supervisor's response is satisfactory to the grievant, that ends the matter.

If the response is not satisfactory to the grievant or the supervisor does not respond within five weekdays, the grievant will indicate "no resolution" on the faculty grievance form, return a copy of the form to the immediate supervisor and proceed to step two.

Step two: The grievant advances the written description of the event or action, relevant supporting documentation, research faculty grievance form and the written response of the immediate supervisor (or statement of non-response if the supervisor did not respond within five 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, chair, or school director. If the department head, chair, or school director 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 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, chair, or school director 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 Senior 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; 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, appeals of non-reappointment, and/or promotion decisions); the contents of personnel and other 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~~ the Director of Faculty 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.

7.8 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. The grievant, and those involved in responding to grievances, may consult with the [Administrative and Professional Faculty Senate Vice President](#) for additional information.

7.8.1 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 [Virginia Tech Office of Interactive Communication and Empowerment \(VOICE\)](#). 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 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. ~~Contact Faculty Affairs in the provost's office for information on Reconciliation.~~

The ~~Faculty Senate Committee on Reconciliation~~ Director of Faculty Reconciliation (DFR) 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~~ DFR is not required prior to filing a grievance.

For a potential grievance issue to qualify for consideration by the ~~Faculty Senate Committee on Reconciliation~~ DFR, the A/P faculty member must contact the ~~chair of the Faculty Senate Committee on Reconciliation~~ DFR 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~~ DFR 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~~ DFR is unable to resolve the matter within 30 calendar days, the ~~chair~~ unit 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~~ DFR 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~~ DFR to the supervisor, validating the timeliness of the grievance.

Mediation: [Mediation is available through the Office for Equity and Accessibility](#). Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. A/P faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

Role of Mediators: Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting Mediation: Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step three. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

Faculty Senate Constitution (excerpt)

Article VIII. Faculty Senate External and Internal Standing Committees and Work Groups

Section 1. Description

Standing committees and work groups are established to carry out the functions and operation of the Faculty Senate. The actions of all standing committees are subject to review by the Faculty Senate.

There are two types of Faculty Senate standing committees: external and internal. External Faculty Senate standing committees serve in the preservation of academic freedom and the procedural integrity by which scholarly activities are evaluated, and in maintaining standards of professionalism. These committees report to the vice president of the Faculty Senate, are prescribed in the *Faculty Handbook*, and are summarized in the Faculty Senate Constitution (see below). Internal Faculty Senate standing committees serve the internal operations of the Faculty Senate, report to the operations officer, and are prescribed in Article XIII of the Faculty Senate Bylaws.

Internal Faculty Senate standing committees and work groups may be established, dissolved, or modified upon recommendation of the Faculty Senate president, the cabinet, or a senator, and approval by the Faculty Senate. In addition to Senate approval, the establishment, dissolution, or modification of external Faculty Senate standing committees requires approval through the resolution process.

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 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, students, and other supervisees 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.

~~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. Its purpose is to help facilitate conversations between faculty members and their supervisors with the goal of reaching mutually agreeable solutions. The Committee on Reconciliation operates informally as a facilitator. 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.~~

The Faculty Review Committee oversees the movement of grievances through the grievance process as prescribed in The Faculty Handbook, 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.

RESOLUTION TO APPROVE REVISIONS AND UPDATES TO THE 2025-26 STUDENT CODE OF CONDUCT

WHEREAS, the Code of Virginia §23.1-412 mandates all public institutions of higher education to maintain and enforce non-academic student codes of conduct that uphold the values and expectations of their respective communities; and

WHEREAS, Virginia Tech is committed to fostering a safe and secure environment for its students, faculty, staff, and community, where individuals are held accountable for their actions and are encouraged to act responsibly; and

WHEREAS, the Student Code of Conduct at Virginia Tech outlines the expectations for student behavior and the university's approach to managing instances of misconduct, applying to all enrolled students and student organizations; and

WHEREAS, the university has a longstanding commitment to ensuring that high-risk situations involving students are appropriately reported to Student Conduct, especially in cases where public safety may be at risk; and

WHEREAS, the Code of Virginia was amended in 2020 under § 19.2-152.14 to allow law enforcement to temporarily remove firearms from individuals who are a threat to themselves or others through the issuance of Emergency Substantial Risk Orders (ESROs), which are designed to prevent potential harm to individuals in the near future by prohibiting the possession or acquisition of firearms; and

WHEREAS, the university recognizes the importance of staying informed of such legal actions to ensure the safety of the campus community and to address any instances of potential risk posed by students; and

WHEREAS, the university seeks to update the existing "Arrest Disclosure" policy in the Student Code of Conduct to include the reporting of Emergency Substantial Risk Orders (ESROs), in line with the university's commitment to maintaining a safe environment for all; and

WHEREAS, the revisions to the "Arrest Disclosure" policy aim to reflect this broader scope of legal actions, ensuring that students report any summons, arrests, convictions, protective orders, or Emergency Substantial Risk Orders (ESROs) issued against them in a timely and transparent manner; and

WHEREAS, the university has updated office names referenced in the Code of Conduct to reflect the current organizational structure, including renaming the Office for Equity and Accessibility as the Office of Civil Rights Compliance and Prevention Education;

NOW, THEREFORE, BE IT RESOLVED that the Student Code of Conduct, applicable to undergraduate, graduate, professional students, and student organizations, be approved by the Board of Visitors to include the following revisions (**changes noted in red font**):

Section II. Student Rights and Responsibilities

Responsibilities

3. "Students who are offered admission to Virginia Tech and choose to matriculate have a continuing duty to report to the Office of Student Conduct any **summons received**, arrests, or convictions, other than **for** minor traffic violations. **Additionally, students who are offered admission to Virginia Tech and choose to matriculate have a continuing duty to report to the Office of Student Conduct any Emergency Protective Order (EPO), Preliminary Protective Order (PPO), Protective Order (PO) or Emergency Substantial Risk Order (ESRO)** issued against them. This duty applies regardless of where the arrest/**summons/conviction/order** occurred and regardless of whether the university is in session at the time of the arrest/**summons/conviction/** order. Students must notify Student Conduct in writing, using **the Court Action Disclosure Form** within 10 business days of the arrest/summons or within five business days of their conviction of a crime or issuance of a **beforementioned** order. Failure to comply with this continuing duty may result in disciplinary action under the Student Code of Conduct."

Revision to arrest disclosure policy with the inclusion of "Emergency Substantial Risk Order (ESRO)" as part of the admissions process.

Section VI. Additional university Policies

Formal Complaints of Sexual Harassment and Gender-Based Violence

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

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

Revision to update office name changes.

AND, BE IT FURTHER RESOLVED that the 2025-26 Student Code of Conduct be approved as attached.

RECOMMENDATION:

That the Board of Visitors approve the 2025-2026 Student Code of Conduct as outlined in the above resolution.

June 3, 2025



STUDENT CODE OF CONDUCT



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I. Introduction

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

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

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

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

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

The Office of Student Conduct and the University Conduct System

The Student Code of Conduct is overseen by the Office of Student Conduct.

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

The system assumes that students and student organizations have the capacity to assume responsibility for their own behavior and that the university has the authority to establish an internal structure for the enforcement of its policies and procedures, which students have agreed to accept by enrolling in the university. As part of its authority, Student Conduct may suspend or dismiss students from the university.

Conduct matters are addressed by Student Affairs professionals who have been appointed as hearing officers by the Director of Student Conduct. These individuals each have significant education and training on student development, student discipline, and university policies and procedures.

Additional Community-Specific Regulations

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

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

II. Student Rights and Responsibilities

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

Rights

1. Students at Virginia Tech will be treated fairly and with dignity regardless of age, color, disability, sex (including pregnancy), gender, gender identity, gender expression, genetic information, national origin, political affiliation, race, religion, sexual orientation, or military status as described in university policy 1025.
2. Students at Virginia Tech enjoy those rights guaranteed by the Constitutions of the United States and the Commonwealth of Virginia as applicable. This includes activities protected under the First Amendment. In accordance with the Code of Virginia, incidents of disruption of constitutionally protected speech may be reported via the Speech on Campus webpage.
3. The Student Code of Conduct and the policies and procedures it outlines, under the administration of the Office of Student Conduct, provides an administrative process for resolving allegations of misconduct. This process includes certain procedural guarantees to ensure that students receive a fair and equitable resolution.

Responsibilities

1. Students are responsible for understanding and following university policies and procedures, including the *Student Code of Conduct*, and for abiding by all applicable state, federal, and local laws.
2. University email is the primary means by which the university communicates with students; therefore, students are responsible for reading all official communications delivered to their university email address.
3. Students who are offered admission to Virginia Tech and choose to matriculate have a continuing duty to report to the Office of Student Conduct any **summons received**, arrests, conviction, or issuance of a protective order, other than **for** minor traffic violations. **Additionally, students who are offered admission to Virginia Tech and choose to matriculate have a continuing duty to report to the Office of Student Conduct any Emergency Protective Order (EPO), Preliminary Protective Order (PPO), Protective Order (PO) or Emergency Substantial Risk Order (ESRO) issued against them.** This duty applies regardless of where the arrest **summons/conviction/order** occurred and regardless of whether the university is in session at the time of the arrest/**summons/conviction**, or issuance of a protective order. Students must notify Student Conduct in writing, using the **Court Action Disclosure Form** within 10 business days of the arrest/summons or within five business days of their conviction of a crime or issuance of a **beforementioned** order. Failure to comply with this continuing duty may result in disciplinary action under the *Student Code of Conduct*.

III. Jurisdiction

Enrollment Status

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

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

Student Organizations

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

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

by the organization.

- Members and/or non-members of the organization learned about the event through members or communication associated with the organization.
- The incident occurred as a result of individual members of the organization acting in the capacity as members of the organization.

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

Location of Incidents

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

The *Student Code of Conduct* may also apply to behavior conducted online or through an electronic medium. Students should also be aware that online postings such as blogs, web postings, chats and social networking sites are in the public sphere and are not private. The university does not regularly search for this information but may take action if and when such information is brought to the attention of university officials.

Alleged Violations of Criminal Law

Virginia Tech reserves the right to address any behavior or act that potentially violates local, state, or federal law. When conduct violates both criminal law and the *Student Code of Conduct*, disciplinary action may be taken by the university, irrespective and separate from criminal action. At the university's discretion, the Office of Student Conduct may proceed with disciplinary action prior to a criminal trial or postpone action until after trial.

IV. Definitions

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

TERM	DEFINITION
Advisor	An advisor is one person of a student's choosing and cost who may accompany a student throughout the conduct process. They may consult with the student but not speak on the student's behalf or participate actively in the process.
Aggravating Factors	An aggravating factor is information, used during sanctioning (i.e., <i>after</i> a violation has been determined to have occurred), that may increase the sanction. Some factors may include but are not limited to a student's past conduct record and the nature and severity of the behavior and its impact.

TERM	DEFINITION
Appeal	An appeal is a written request for review of a hearing and findings, based on specific grounds.
Appellate Officer	An appellate officer is an employee of Virginia Tech, external to the Office of Student Conduct staff, designated by the Vice President of Student Affairs to review and respond to appeals.
Charge(s)	A potential violation of the <i>Student Code of Conduct</i> .
Complainant	Any individual who has reported a potential violation of the <i>Student Code of Conduct</i> .
Conduct Officer or Hearing Officer	A conduct or hearing officer is an individual designated by the Director of Student Conduct to adjudicate cases involving allegations of conduct violations.
Conduct Referral	A report or complaint that alleges violations of the <i>Student Code of Conduct</i> by a student(s) or student organization(s).
Consent (general)*	Consent is generally defined as knowing, voluntary, and clear permission for something to occur. *For a more specific definition of consent in the context of sexual activity, please see the definition below.
Consent (in the context of sexual activity)	<p>Consent is defined as knowing, voluntary, and clear permission by word or action, to engage in mutually agreed upon sexual activity. The existence of consent is based on the totality of circumstances, including the context in which the alleged consent occurred. Silence does not necessarily constitute consent and coercion, force, or threat of either party invalidates consent.</p> <ul style="list-style-type: none"> • Consent cannot be given where a person is incapacitated; or where a person has a disability; or is not of legal age to consent as defined by law. • Consent to any one form of sexual activity cannot automatically imply consent to any other forms of sexual activity. Consent can be withdrawn at any time. • Previous relationships or prior consent cannot imply consent to future sexual acts.
Incapacitation	Physical or mental inability to make informed, rational judgments. Incapacitation includes but is not limited to being asleep, being unconscious, and the inability to make decisions due to the voluntary or involuntary use of alcohol or drugs.
Mitigating Factors	A mitigating factor is information, used during sanctioning (i.e., <i>after</i> a violation has been determined to have occurred), that may decrease the sanction. Some factors may include but are not limited to a student's past conduct record and steps taken to remedy their behavior

TERM	DEFINITION
Notice	Written notice of the alleged violations of the Code. Notice will be presumed to have been furnished when the notice is sent to the student's Virginia Tech email address or, when appropriate, provided at a prehearing meeting.
Preponderance of the evidence	The Office of Student Conduct uses preponderance of the evidence to determine whether or not a student has violated a policy in the <i>Student Code of Conduct</i> . This determination is made based on the information available to determine if it is more likely than not that a violation occurred.
Respondent	Any student or student organization alleged to have violated the <i>Student Code of Conduct</i> .
Student	For the purposes of disciplinary action, a "student" is defined as any individual who has accepted an offer of admission as an undergraduate, graduate, or professional student and who has not yet graduated or officially transferred to another institution.
Student Organization	For the purposes of disciplinary action, a "student organization" includes Registered Student Organizations (RSO), Extended Campus Student Organizations (ECSO), and University Chartered Organizations (UCSO), as defined in <u>university policy 8010</u> .
University Official	A university official is any person given authority by the university to perform administrative or professional responsibilities, including, but not limited to university police officers, residential well-being student leaders, graduate/teaching assistants, administrative support staff, faculty, etc.
University Property or University Facilities	University property or university facilities are any location, either permanent or temporary, owned or leased by Virginia Tech, and includes satellite campuses and offices. This includes, but is not limited to, the buildings, grounds, and the surrounding perimeters, including the parking lots, field locations, classrooms, alternate work or class locations, and university owned or leased vehicles.
Witness	A witness is a person who provides relevant information about an incident in a hearing or through a written statement. Character witnesses are not generally considered relevant.

V. Prohibited Conduct

Alcohol and Other Drug Offenses

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

- Drugs: Possessing, using, manufacturing, selling, or misusing any illegal or controlled substance and/or possession of drug paraphernalia in violation of state or federal law.
 - Cannabis (Marijuana): Virginia law permits adults aged 21 or older to possess, use, and grow cannabis under certain circumstances; however, federal law continues to prohibit it and requires institutions of higher education that receive federal funds, including financial aid, to have policies prohibiting cannabis on university property or at university-sponsored off-campus events.
Therefore, in accordance with federal and state laws, Virginia Tech prohibits the following conduct related to cannabis. (Additional information is available in Appendix II):
 - Possession or use of any form of cannabis, or any substance containing more than 0.3% THC, for any purpose, including medical or recreational use, on university property or at university-sponsored events off campus. This includes but is not limited to smoking, consuming edibles, and using vaporizers. “Use” includes being under the influence of marijuana.
 - Possession of cannabis paraphernalia on university property or at university-sponsored event off campus.
 - Improper possession or use of cannabis off university property (with the exception of university-sponsored events) as defined by the regulations of the Commonwealth of Virginia, including but not limited to possession/use under the age of 21, possession of greater than 1 ounce, consuming in public, and selling, as outlined in Appendix II.
- Driving Under the Influence: Operating or attempting to operate a motor vehicle, bicycle, or other personal transportation device while intoxicated or impaired by alcohol or other drugs.
- Tobacco: Improper use of tobacco as defined by the laws of the Commonwealth of Virginia and the university, including but not limited to underage possession of any tobacco product, nicotine vapor products, alternative nicotine products, or hemp products intended for smoking, providing any tobacco product to any underage person, or any violation of university policy No. 1010. Tobacco products include but are not limited to cigarettes, cigars, bidis, and rolling papers. The use of tobacco products is prohibited within 25 feet of any Virginia Tech building.

Offenses Against People

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

- Endangerment: Actions that intentionally or recklessly endanger the health, safety, or well-being of oneself or another person or group.
- Harassment: Unwelcome conduct not of a sexual nature that is sufficiently severe, pervasive, or persistent that it could reasonably be expected to create an intimidating, threatening, or hostile environment that limits the ability of an individual to work, study, or participate in the activities of the university. *Note: the Code also includes a Gender-Based Harassment policy.*
- Hazing: Any mental or physical requirement, request, or obligation placed upon any person for the purpose of admission, initiation, or continued association with a group or organization that could cause discomfort, pain, fright, disgrace, or injury; that is personally degrading; or that violates any federal, state, local statute, or university policy, regardless of the willingness of an individual to participate in such activity. Additional information is available in Appendix IV.
- Stalking: Repeated contact of another person not based on gender when the contact is unwanted and may cause the other person reasonable apprehension of imminent physical harm or cause substantial impairment of the other person's ability to perform the activities of daily life. *Note: the Code also includes a Gender-Based Stalking policy.*
- Recording and/or Distribution of Audio/Visual Material Without Consent: Making, attempting to make, sharing, or distributing an audio and/or visual recording of any person(s) without the knowledge and consent of all participants subject to such recordings, in locations where there is a reasonable expectation of privacy, and when the action is likely to cause injury, distress, or damage to one's reputation.
- Gender-Based Violence (these policies apply in cases outside of the jurisdiction of Title IX; for Title IX policy definitions, refer to Appendix III):
 - Sexual Violence: Physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent. Sexual violence includes rape, sexual assault, sexual battery, and sexual coercion.
 - Sexual Assault: Actual or attempted sexual contact with another person without that person's consent.
 - Sexual Battery: Intentional touching of another person's intimate parts without the person's consent; or other intentional sexual contact with another person without that person's consent.
 - Sexual Coercion: Using physical or verbal aggression or pressure to force or attempt to force a person to touch another person's intimate parts without that person's consent.
 - Rape: Penetration, no matter how slight, of (1) the vagina or anus of a person by any body part of another person or by an object, or (2) the mouth of a person by a sex organ of another person, without that person's consent.

- ▶ Gender-based Harassment: Acts of verbal, nonverbal, or physical aggression, intimidation, or hostility based on sex or sex-stereotyping, even if those acts do not involve conduct of a sexual nature.
- ▶ Sexual Exploitation: An act or acts committed through non-consensual abuse or exploitation of another person's sexuality for the purpose of sexual gratification, financial gain, personal benefit or advantage, or any other non-legitimate purpose. The act or acts of sexual exploitation are prohibited even if the behavior does not constitute one of the other sexual misconduct offenses.
- ▶ Domestic Violence: A pattern of abusive behavior that is used by an intimate partner to gain or maintain power and control over the other intimate partner. Domestic violence can be physical, sexual, emotional, economic, or psychological actions or threats of actions that influence another person. This includes any behaviors that intimidate, manipulate, humiliate, isolate, frighten, terrorize, coerce, threaten, blame, hurt, injure, or wound someone.
- ▶ Dating Violence: Acts of physical or sexual abuse committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim.
 - The existence of such a relationship shall be determined based on the reporting party's statement and with consideration of the length of the relationship, the type of relationship and the frequency of interaction between the persons involved in the relationship.
 - Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse, but does not include acts covered under the definition of domestic violence.
- ▶ Gender-Based Stalking: Repeatedly contacting another person when the contact is unwanted. Additionally, the contact may cause the other person reasonable apprehension of imminent physical harm or cause substantial impairment of the other person's ability to perform the activities of daily life. Contact includes but is not limited to communicating with (either in person, by phone, or by computer) or remaining in the physical presence of the other person.

Offenses Against Property

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

- Fire Safety: The misuse of or tampering with firefighting equipment and/or signage, unauthorized burning, disregarding fire alarm signals, deliberately initiating a false alarm or, tampering with fire detection or suppression equipment.
- Theft: Theft is the unauthorized taking, appropriation, use, or possession of property belonging to another person or entity. Failing to tender payment for services rendered may also constitute theft. Found property should be presumed lost and delivered to an appropriate University authority immediately. Failure to return found property to an appropriate authority may constitute theft.
- Unauthorized Entry: Entering, attempting to enter, or being present in buildings, residences, public or private property, and/or facilities or other areas without proper authority.

Offenses Against the Community

- Disorderly or Disruptive Conduct: Engaging in disorderly or disruptive conduct that interferes with university, community, or individual activities, including but not limited to studying, teaching, research, and university administration.
- Failure to Comply: Failure to comply with a request and directives of university officials acting within the scope of their authority, including but not limited to the following: failure of a student to present their university identification card, failure to keep or attend a required meeting, and failure to leave an area when requested by an authorized university official. Upon the request of the student questioned, university officials must identify themselves and state the source of their authority.
- Impersonation: Impersonating any person, group, or office, with the intent to deceive another.
- Public Exposure: Any act or attempted act of public nudity or urinating/defecating in public.
- Hazardous Materials: Unauthorized possession, use, or threat of use of fireworks, explosives, or hazardous and potentially hazardous materials.
- Weapons: Unauthorized possession, use, threat of use, or storage of firearms, ammunition, or weapons on university property at any location, either permanent or temporary, owned or leased by Virginia Tech. Refer to Virginia Polytechnic Institute and State University Policy and Procedures No. 5616 for additional information.

Offenses Against the University

- Climbing: Unauthorized climbing, scaling, rappelling, or attempting to climb, scale, or rappel, inside or outside campus buildings or structures.
- Furnishing False Information: Knowingly giving false information to a university official who is performing their official duties, including but not limited to perjury in a conduct hearing.

- Interference with University Complaint Processes: Attempting or actively influencing, impeding, intimidating, interfering, coercing, or retaliating against any person involved in a potential, actual, or past student complaint in a formal university complaint process.
- Involvement in a University Violation: Presence, regardless of participation, during any violation of the *Student Code of Conduct* and/or other university policies in such a way as to condone, support, or encourage that violation. Students who anticipate or observe a violation of university policy are expected to remove themselves from participation and are encouraged to report the violation.
- Visitation/Guest Policies: Students or student organizations will be held responsible for the conduct of their guests and are expected to inform them of all university regulations, including but not limited to Housing policies.

Other Prohibited Conduct

- Actions Leading to the Conviction of Criminal Offenses: Any student convicted of a criminal offense is subject to university disciplinary action.
- Failure to Observe Rules and Regulations: Failure to observe rules and regulations issued by the university that are not listed specifically as “Prohibited Conduct” in the document, including but not limited to regulations linked above in the “Additional University Policies” and “Additional Community Specific Regulations” sections.
- Forgery or Fraud: Forgery or fraud, including attempts to obtain any item of value under false pretenses, falsification of official university documents, or possession of forged or altered identification or another person’s identification.
- Gambling: Participation in any form of illegal gambling.
- Prohibited Conduct: Violations of federal, state, or local laws, regulations, orders, or ordinances.

Statement on Sanction Enhancements for Policy Violations Motivated by Bias

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

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

Statement on Self-Reporting and Bystander Intervention

Virginia Tech recognizes that the health and safety of students is of utmost importance. Therefore, if someone requires assistance for themselves or others because of alcohol or drug use, we want them to call for help. If medical assistance is sought, Student Conduct will not pursue conduct charges against the individual or organization who sought assistance, or the individual in need of assistance. However, Student Conduct will still require students to attend a meeting with a hearing officer to discuss the incident and will assign substance-related and other educational assignments to the involved parties.

Violations having a significant individual or community impact and students with prior violations that demonstrate an actual, potential, or perceived pattern of behavior are not likely to have outcomes that are mitigated and are not likely to be protected under this policy.

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

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

Statement on Immunity for Reports of Hazing

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

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

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

VI. Additional University Policies

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

- Dining Policies
- Housing Policies

- Housing and Dining Contract
- Parking and Traffic Regulations
- Student ID Cards
- University-Level Policies (see the university's policy library at policies.vt.edu/policy-library for a full list of policies relevant to students; the following policies are those most frequently referenced):
 - Acceptable Use and Administration of Computer and Communications Systems
 - Arrest, Conviction, and Protective Order Disclosures
 - Bicycles and Personal Transportation Devices
 - Campus and Workplace Violence Prevention
 - Facilities Usage and Events
 - Harassment, Discrimination, and Sexual Assault
 - Operation of Unmanned Aircraft Systems
 - Sales, Solicitation, and Advertising on Campus
 - Serving Alcohol
 - Smoking
 - Social Media
 - Tobacco
 - University Names and Trademarks

• **Student Conduct Process**

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

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

Step 1: Submitting a Conduct Referral/Complaint

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

Student Conduct will review the conduct referral to determine if there is information regarding behavior that may violate the *Student Code of Conduct* and thus warrants resolution within the conduct system.

This review may include a meeting with the person(s) who submitted the complaint and/or an investigation to gather additional information.

Potential outcomes of the review include the following:

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

Formal Complaints of Sexual Harassment and Gender-Based Violence

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

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

Step 2: Resolution

After reviewing a conduct referral, Student Conduct will determine an appropriate resolution process from among the following:

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

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

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

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

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

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

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

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

Additional Information

Standard of Proof

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

VIII. Sanctions

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

SANCTION	DESCRIPTION
Formal Warning	A formal written notice that the student or student organization has violated a policy in the Student Code of Conduct and that further violations may result in more serious conduct action. Students or student organizations who receive a formal warning are still considered in good conduct standing with the university. A formal warning is not shared with third-parties during a student disciplinary records check, unless waived by the student or under court order or subpoena.
Probation	A specified period of time during which the student or student organization is considered not in good conduct standing with the university. Further violations during that time period may result in more serious conduct action, including a potential separation from the university.

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

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

Failure to complete sanctions

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

IX. Formal Hearing Appeals

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

The appeal process for formal Title IX hearings is outlined in [Appendix III](#).

Grounds for appeal

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

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

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

Potential Outcomes of an Appeal

The appellate officer will review the appeal and may:

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

Timeframe to submit an appeal

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

Format of appeal

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

Appellate Officers

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

X. Interim Measures and Administrative Actions

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

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

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

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

- Procedures: The following steps explain the procedure for imposing an interim suspension:
 - ▶ Initiating an Interim Suspension: When a situation, as defined above, occurs, the responding university official contacts the Threat Assessment Team or the Vice President for Student Affairs or their designee to assess the situation and determine if an interim suspension is appropriate.
 - ▶ Notification of an Interim Suspension: The student will be sent an interim suspension letter immediately, which states that the student is either suspended from the university and/or suspended from all or selected campus residential facilities until a final resolution is determined through the Student Conduct process.
 - ▶ Interim-Suspension Meeting: The student can immediately request an interim suspension meeting to be conducted by the Vice President for Student Affairs or their designee. The interim suspension letter will contain instructions on how to request a review. Those present at the meeting may include the responding university official and other witnesses as deemed appropriate by the Vice President for Student Affairs, or their designee. During the review, the student will be given an opportunity to demonstrate why their continued presence on campus does not constitute a threat to themselves, others, or property. As part of the review, the student may be required to submit to an immediate medical/psychological evaluation. In such instance, the student will be evaluated by the director of the Cook Counseling Center or their designee.
 - ▶ Timeframe to Request Interim-Suspension Review: A student must request a meeting within five (5) business days; after that time frame, the interim suspension and/or suspension from campus residential facilities and all student activities will remain in effect until the matter is resolved through the student conduct process.
 - ▶ Decision: The decision made after the interim suspension meeting will be final. There will be no additional appeal.
 - ▶ Student Conduct Process/Resolution: Interim suspension information will be shared with Student Conduct and others who need to know. Student Conduct will determine and schedule, as soon as possible, the appropriate resolution process to determine whether the student is responsible for violating university policy and, if so, appropriate sanctions.

No Contact Order: In certain situations, Student Conduct may issue no contact orders to students for a period of time to prevent communication between two or more students if it is determined that contact between the parties may perpetuate or escalate behavior that may interfere with a person's rightful actions, including but not limited to their safety and security. No contact orders prevent students from face-to-face, electronic, or third-party contact.

If a no contact order is issued, all parties involved will receive the order in writing. Unless issued as a sanction in a student conduct hearing, a no contact order does not appear on a student's official conduct record.

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

The process for no contact orders includes the following:

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

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

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

XI. Student Conduct Records

Violations of the *Student Code of Conduct* are maintained in a student's conduct record for a period of five years from the date of the incident, excluding cases resulting in dismissal from the University, which will be kept in perpetuity. This record is maintained electronically by the Office of Student Conduct and is separate from a student's academic transcript, though it is considered part of a student's educational record.

In accordance with the Clery Act, records regarding incidents involving Clery Act reportable violations will be kept for a minimum of seven years from the date of the incident.

Records of formal Title IX hearings will also be maintained by the **Office for Civil Rights Compliance and Prevention Education** for a period of seven years, as described in the Title IX Reporting and Grievance Procedures for Sexual Harassment and Violence.

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

Information Sharing within the University

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

Notification to Victims of Crimes of Violence

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

Parental Notification

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

Student Conduct Transcript Notations in Cases of Suspension and Dismissal

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

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

Petitions for Expungement

The university offers two opportunities for students to petition for expungement of documentation related to their disciplinary record:

1. In cases involving low-level violations of the *Student Code of Conduct*, such as cases in which a student received probation, the student may petition the Office of Student Conduct to have the record of that case expunged prior to the end of the five-year period (early record expungement).
2. In cases involving sanctions of suspension or permanent dismissal resulting in a notation on the academic transcript, the student may petition the Office of Student Conduct to have the notation on their academic transcript expunged. Expungement of the notation is not the same as expungement of the entire case record.

The process and timeline for each opportunity is outlined below.

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

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

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

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

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

- An undergraduate student is classified as a senior, is not on an active status sanction (e.g., probation), and has completed all assigned educational sanctions.
- An undergraduate student is classified as a freshman, sophomore, or junior, has been off of an active sanction (e.g., probation) for at least one full semester (i.e., fall or spring), and has completed all assigned educational sanctions.
- A graduate or professional student is not on an active status sanction (e.g., probation) and has completed all assigned educational sanctions.

2. Transcript Notation Expungement for Cases Involving Suspension or Dismissal:

A student or former student may petition for a transcript notation to be expunged—or removed—from the academic transcript after a period of three years from the final resolution of the case if the student can show good cause. In cases involving suspension, the student must have completed the term of the suspension and all educational sanctions prior to submitting their petition. The Office of Student Conduct will work with former students who have outstanding educational sanctions to determine options, which could include alternate sanctions that are mutually agreed upon, for fulfilling sanction requirements so that the individual may petition to have the transcript notation expunged.

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

Evaluation of Expungement Petitions

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

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

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

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

XII. Appendices

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

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

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

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

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

For more information related to federal and state laws and regulations regarding alcohol or illegal drugs or prevention and substance-use programs available at Virginia Tech, please consult the university's Drug and Alcohol Prevention Program document.

Appendix II: Additional Information about Policies and Laws Governing the Use of Cannabis (Marijuana)

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

Federal and State Laws and University Policy

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

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

2. Students at off-campus locations/properties and off-campus events that are not sponsored by the university are expected to abide by Virginia laws related to cannabis (medical) use, possession, or growth. These include, among others, the list below. This list serves only as an overview; students should refer to the Code of Virginia for the most updated and accurate description of the law.
 - Legal age: Legal possession, use, or cultivation is limited to adults 21 or older.
 - Quantity: Individuals may not possess more than one ounce (28 grams) or the equivalent amount of another marijuana product.
 - Home growth: Individuals may cultivate up to four marijuana plants; these plants must be marked and may not be visible from a public street or accessible to children.
 - Locations: Use of cannabis (marijuana) is not permitted in public spaces or on public school grounds.
 - Selling: Sales of cannabis (marijuana) are prohibited; however, an adult over 21 may "gift" up to 1 ounce to another adult over 21.
 - Driving: Using cannabis (marijuana) in any form is prohibited while driving or riding in a motor vehicle, as is having an "open container" of cannabis (marijuana) in the passenger area of the vehicle.

3. As of July 1, 2022, Virginia state law prohibits the sale of hemp-derived Delta-8, Delta-10, HHC, THC-0, and other synthetically derived cannabinoids in edible products such as food and beverages. Food and beverages with a THC content of 0.3% or higher is categorized as cannabis and can only be sold in state-licensed medical cannabis dispensaries to individuals 21 years or older.

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

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

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

Title IX Definitions

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

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

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

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

Domestic Violence means felony or misdemeanor crimes committed by: (a) a current or former spouse or intimate partner of the victim; (b) a person with whom the victim shares a child in common; (c) a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner; (d) a person similarly situated to a spouse of the victim under the domestic or family violence laws of Virginia; or any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of Virginia.

Respondent means an individual who has been reported to be the perpetrator of conduct that could constitute Title IX Sexual Harassment.

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

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

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

Formal Title IX Adjudication Process

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

A. Procedural Guarantees

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

- To receive a copy of the final investigation report, including any attachments and supporting documents from the Title IX Coordinator or designee at least ten (10) days in advance of the hearing.
- To receive written notice of the date, time, location, participants, and policies charged at least five (5) business days in advance of the hearing to allow the parties sufficient time to prepare for the hearing.
- To be accompanied by an advisor of their choice, at their own cost, or to have an advisor provided to them by the Office of Student Conduct without fee or charge.
- To inspect and review, during the hearing, all evidence obtained during the investigation that is directly related to the allegations in the formal complaint.
- To present that evidence that supports or refutes the alleged conduct.*
- To present witnesses, including fact and expert witnesses.
- To have their advisor conduct live cross-examination on the other party and any witnesses.

- To remain silent or to participate as they see fit, including full, partial, or no participation; however, they should carefully review the section on [cross-examination](#), below, to understand the potential impacts should they choose to limit participation.
- To challenge the objectivity of a hearing officer(s), given reasonable cause to believe they may be biased or have a conflict of interest.
- To appeal, regardless of the outcome, based on the following grounds: 1) Procedural irregularity; 2) Significant and relevant new information that was not available at the time of the hearing; 3) The Title IX Coordinator, Investigator, or hearing officer(s) had a conflict of interest or bias, which affected the outcome; 4) Unduly harsh or arbitrary findings or sanctions.

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

B. Advisors

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

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

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

C. Cross-Examination

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

Relevance

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

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

Questions or information that disclose or seeks to disclose privileged information, such as medical or psychological records.

For more information about relevant information, please refer to the Relevant Evidence section in the Title IX Reporting and Grievance Procedures for Sexual Harassment and Violence.

Declining to Participate in Cross-Examination

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

D. Recording

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

E. Hearing Location and Virtual Participation

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

F. Determination of Responsibility

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

Standard of Proof

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

Decision Letter

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

Range of Possible Sanctions

If a respondent is found responsible for the alleged conduct, the hearing officers will make a determination regarding appropriate sanctions. One or more of the following sanctions may be imposed:

- Formal warning
- Probation
- Deferred Suspension
- Suspension
- Deferred Dismissal (i.e., deferred expulsion)
- Dismissal (i.e., expulsion)
- Denial of privileges or associations
- Educational, Community, and Wellness Activities

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

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

Remedial Action

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

Appeal Process

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

A. Grounds for Appeal

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

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

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

B. Potential Outcomes of an Appeal

The appellate officer will review the appeal and may:

- Uphold the original decision and sanctions
- Uphold the original decision and either decrease or increase the sanction
- Vacate a finding
- Send the case back to the Title IX Coordinator for further investigation
- Send the case back to Student Conduct for a new partial or full hearing

C. Time Frame to Submit an Appeal

The parties have seven (7) business days from the date of the decision to submit the appeal. The date the decision is given is considered the first day of the appeal period. Appeals submitted after the deadline will not be accepted except in extenuating circumstances, as determined by Student Conduct.

D. Format of Appeal

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

E. Notification to the Other Party

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

F. Appellate Officers

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

G. Appeal Decision Letter

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

Appendix IV: Additional Information Regarding the Hazing Policy

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

The *Student Code of Conduct* defines hazing as follows:

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

Hazing shall include, but not be limited to, forcing, compelling, requiring, encouraging, or expecting, whether direct or implied, any individual to participate in any of the following actions or activities. Hazing also includes soliciting, directing, aiding, or otherwise participating actively or passively in these acts:

- Physical Acts
 - Encouraging or requiring persons to consume alcohol or other substances (i.e., food, other beverages) regardless of the age of the participant.
 - Encouraging or requiring that a person do or submit to any act that will alter his or her physical appearance in any significant degree for any substantial period of time (e.g. burning, branding, tattooing, using makeup, paint or markers on a person, or shaving the head or body).
 - Encouraging or requiring activities that disrupt a person's normal schedule. A normal schedule includes three reasonably spaced meals per day, the opportunity for sufficient rest at night (at least six full hours) and reasonable time for personal hygiene.
 - Encouraging or requiring a person to engage in physical activity of unusual kind or duration, such as: calisthenics, overly difficult work assignments, activities that may be excessive for a person, activities that require a person to remain in a fixed position for an extended period of time, binding or restricting an individual in any way that would prohibit them from moving on their own, confining a person or exposing participants to uncomfortable elements like in environments that are too hot, cold, noisy, small, or threatening/intimidating.
 - Hinting, pretending, or misleading a prospective member into believing that they will be hit, hurt, or physically altered.
 - Encouraging or requiring acts that are or seem to be dangerous.
- Psychological Acts
 - Encouraging or requiring a person to pretend to or actually violate a law.
 - Encouraging or requiring an individual to obtain or possess items or complete tasks in an unlawful manner (i.e. for a scavenger hunt).
 - Verbally abusing prospective members. Examples include but are not limited to yelling or screaming; calling individuals demeaning names; booing, hissing, or demeaning individuals when they make mistakes.
 - Encouraging or requiring a person to perform acts of servitude, perform personal errands for others, or engage in activities that are demeaning.
 - Misleading prospective members in an effort to convince them that they will not become members unless they complete tasks, follow instructions, or act in a certain way.
 - Misleading prospective members into believing that they will be hurt during induction or initiation.
 - Encouraging or requiring a person to publicly carry objects or wear apparel that is abnormal, not normally in good taste, conspicuous and/or indecent.
 - Encouraging or requiring a person to appear nude or reveal body parts.

- ▶ Encouraging or requiring an individual or group to remain in a certain place or transporting them to a location without their knowledge (e.g. taking a person on a road trip or excursion to an unknown destination or kidnapping).
- ▶ Parading individuals in public areas, transporting individuals in a motor vehicle while blindfolded, or privately conducting blindfolding activities that serve no constructive purpose.
- ▶ Requiring an individual to “pledge” or “associate” for a period of unusual length (more than 10-12 weeks) for reasons other than achieving academic requirements or extraordinary circumstances.

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

- Customary athletic events, contests, or competitions that are sponsored by the institution or the organized and supervised practices associated with such events.
- Any activity or conduct that furthers the goals of a legitimate educational curriculum, extracurricular program or military training program, as approved by the institution.

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

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

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

- Student Conduct
- Student Engagement and Campus Life
- Fraternity and Sorority Life
- Recreational Sports
- Virginia Tech Police Department
- Virginia Tech Corps of Cadets

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

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

Public Reporting of Violations of Hazing: Per § 23.1-822 in the Code of Virginia, the university shall maintain and publicly report actual findings of violations of the institution's code of conduct or of federal or state laws pertaining to hazing that are reported to campus authorities or local law enforcement.

RESOLUTION TO REVISE THE GRADUATE HONOR SYSTEM CONSTITUTION

WHEREAS, there are cases referred to the Graduate Honor System (GHS) that may also involve research misconduct defined as fabrication, falsification, or plagiarism in the process of research that must be investigated by the Research Integrity Office (RIO) as required by federal regulation following specific steps; and

WHEREAS, a parallel investigation by the GHS and RIO may cause confusion and undue hardship for a graduate student,

WHEREAS, the RIO has a wider array of tools and resources and must follow federal guidelines to uncover relevant facts; and

WHEREAS, the Graduate Student Assembly became the Graduate and Professional Student Senate in 2021; and

WHEREAS, GHS personnel has identified two areas where procedural clarifications could streamline case processing without negatively impacting the rights and responsibilities of referred students and referrers codified in the GHS Constitution;

NOW, THEREFORE, BE IT RESOLVED that the Graduate Honor System Constitution be updated to reflect the revisions noted below and detailed in the following document (edits noted in red):

1. New procedures for cases involving research misconduct allegations with investigative responsibilities resting solely in the Research Integrity Office and the GHS making a final decision about applicable academic penalties
2. Updated references to the Graduate and Professional Student Senate
3. Clarified procedures for cases where a single incident/infraction is referred to the GHS by more than one referrer, and
4. The automatic granting of Preliminary Review Panel waivers for cases where students plead guilty during the evidence gathering phase.

RECOMMENDATION:

That the Board of Visitors approve the resolution to revise the Graduate Honor System Constitution, effective Fall 2025.

June 3, 2025

Recommendations for GHS Constitution Revision approved by the GHS Constitution Revision Committee

At the request of the Dean of the Graduate School, a Constitution Revision Committee was convened in the fall of 2024. Committee members included:

Emmanuel Edusei, GHS student panelist
Dr. Donna Fortune, GHS faculty panelist
Jonathan Gendron, GHS student panelist
Monika Gibson, GHS advisor
Dr. Mary Lanzerotti, GHS faculty panelist
Rose McGroarty, GHS chair
Ronnie Mondal, GPSS designee
Dr. Phil Nelson, GHS faculty panelist
Chizoba Obunadike, GHS student panelist
Amelia Simmons, GHS student panelist
Sami Thomas, GPSS designee
Emily Tirrell, GHS student panelist
Nawar Wali, GHS student panelist

The committee considered the following needs/requests for constitution updates:

1. Managing Research Misconduct Allegations

The Research Integrity Office, Provost's Office, and the Graduate School identified the need for more streamlined procedures and clearly stated responsibilities for cases involving alleged GHS violations that may also constitute research misconduct. The committee worked with the Research Integrity Office (RIO) to define clear guidelines and procedures to ensure that proposed new procedures are consistent with federally mandated policies and procedures the RIO must follow while maintaining the rights and responsibilities of graduate students as delineated in the GHS constitution.

2. Updating Graduate Student Assembly to Graduate and Professional Student Senate

In 2021 the Graduate Student Assembly became the Graduate and Professional Student Senate, an entity recognized as part of the university's shared governance system and the pre-eminent governance organization representing graduate and professional students across all campuses at Virginia Tech.

3. Managing cases where a single incident/infraction is referred to the GHS by more than one referrer

Based on some recent cases, GHS personnel identified the need to clarify how cases will

be managed when multiple referrers ((multiple faculty; student and faculty; multiple students) witness a single incident and submit referrals independently of one another.

4. Automatic PRP waiver for cases where students plead guilty during the evidence gathering phase

GHS personnel identified the need to streamline the preliminary review waiver process in cases when a referred student accepts responsibility during the evidence-gathering phase.

Below is a summary of the recommended updates to language in the GHS constitution, approved by 85% of committee members (with two abstentions, surpassing the 2/3 majority requirement).

1. Managing Research Misconduct Allegations

Article I, Section 3 - Violations

- Pg. 2-3. New language about research misconduct allegations investigated by the VT Research Integrity Office and deleted reference to outdated information:

Misconduct in research and teaching is not a separate violation category since it may involve **the violations discussed above**. **Research misconduct in particular is restricted to fabrication, falsification, or plagiarism**. [...]

Research misconduct allegations **will be** investigated by the [Virginia Tech Research Integrity](#) Office (RIO), **and the outcome of the investigation is shared with the Graduate Honor System**. The investigation by the RIO replaces in its entirety the GHS evidence gathering, Preliminary Review Panel, and decision about guilt or innocence (see Articles IV and V for details).

~~For further information on misconduct in research and its definition, see the references listed under item 4 of 1991 Revision – Reference Material Used.~~

Article II, Section 4 – Duties and Functions of the Chair

- Pg. 4. New language about referring cases that involve allegations of research misconduct to the Research Integrity Office for review and investigation:

The Chair shall receive reports of suspected violations and determine, in consultation with the GHS Advisor, if the referred student is eligible for a Facilitated Discussion. **If the**

report involves the allegation of research misconduct, the Chair will refer the case to the Research Integrity Office for review and investigation.

Article III, Section 3 – Eligibility for the Facilitated Discussion

- Pg. 5. New criteria added to exiting list regarding eligibility requirements for Facilitated Discussion. A suspected Honor Code violation is eligible for a Facilitated Discussion if ALL of the following criteria are met:
 1. The referrer of the case is a Faculty member;
 2. The suspected violation involves an allegation of either 1) cheating or 2) plagiarism as outlined in Article I, Section 3 of the GHS Constitution **and does not involve Research Misconduct**
 3. ...

Article V, Section 1 – Composition of the Review Panel

- Pg. 7. New language about RIO representative presence in a Review Panel hearing:
 3. If the case involves a Research Integrity Office-finding of responsibility for research misconduct, a representative of the RIO shall be present in a non-voting capacity to answer panelist questions about the investigation and finding of responsibility.

Article V, Section 2 – Functions of the Review Panel

- Pg. 7-8. New language to explain the role of the Review Panel regarding evidence gathering, review, and decisions about responsibility and penalties:

The Review Panel shall perform the following functions:

1. It shall hear evidence gathered by the Associate Chair. **In cases involving research misconduct, it shall receive and review the Research Integrity Office final report (after a potential appeal has been exhausted) that includes the charge(s), summary of evidence, finding of responsibility, and recommendations.**
2. It shall hear testimony of the referrer, referred student, and witnesses. **Students who have been found responsible for research misconduct may provide in their testimony contextual information and clarification that can be considered by the Review Panel in their deliberation of appropriate penalties.**
3. It shall hear the remarks of the University community representative of the referred.

4. It shall assure that the rights of the referrer and referred student are protected and assure due process.
5. It shall determine whether a violation occurred. **In cases involving research misconduct, finding of responsibility is determined by the Research Integrity Office and shared with the Review Panel after the appeal deadline has passed or decision on an appeal has been reached.**
6. It shall recommend the penalty when the referred is determined to have violated the honor code.

Article V, Section 3 – Operation [of the Review Panel]

- Pg. 8. New language regarding the participation of a RIO representative in a non-voting capacity:
 1. For each case, a hearing shall be conducted by a Review Panel. The Review Panel shall consist of the Chair, a minimum of four (4) graduate students, a minimum of three (3) faculty members, and the Graduate Honor System Advisor. The number of voting faculty shall not exceed the number of voting graduate students present. The graduate students and faculty members shall be selected by the Chair with the approval of the Graduate Honor System Advisor. Each graduate student and faculty member shall have full voting privileges, while the Chair (or designee) shall be a non-voting member and shall serve as the moderator of the hearing. **If the case is based on a Research Integrity Office-finding of responsibility for research misconduct, a representative of the RIO shall be present in a non-voting capacity to answer panelist questions about the investigation and finding of responsibility.** In addition, the Graduate Honor System Advisor shall be a non-voting member and shall serve in an advisory capacity to the Chair and the Review Panel.
- Pg. 8. New language regarding determination of responsibility:
 5. The referred must be adjudged to have violated the honor code before any consideration is given to the penalty, unless the referred acknowledges **or the Research Integrity Office has determined responsibility**, in which case the deliberations shall focus solely on the penalty.

Article VI, Section 1 – University Action: Review and Decision

- Pg. 8. Clarifying statement added regarding appealing the GHS decision vs. the Research Integrity Office's finding of responsibility:
3. The official decision of the Dean of the Graduate School (or designee) shall be transmitted in writing to the referred, the referrer, and the course instructor (or major professor for a research-related violation). The referred shall also be notified of the right to appeal the decision. **The Research Integrity Office's finding of responsibility for research misconduct is appealable to the President of the University.**

Article VI, Section 2 – Appeals

- Pg. 9. New language about GHS and research misconduct appeals:
 1. The referred may appeal the official decision to the Dean of the Graduate School on grounds of (1) failure of the Graduate Honor System to follow proper procedures, (2) introduction of new evidence, and/or (3) severity of the penalty. **Appeals concerning the finding of research misconduct by the Research Integrity Office are submitted to the president of the university before the final report is shared with the GHS.** The imposition of the penalty shall be deferred until the termination of the appeals process.
 - Pg.9. Further clarification about appeals:
 3. In the event of an appeal, the case will be forwarded to an appellate officer, who is well versed in the Graduate Honor System, graduate academic policies, and Virginia Tech standards of ethics, and has received training from the Graduate Honor System. Such officers include, but are not limited to, the Director of Undergraduate Academic Integrity, Associate Dean for Professional Programs in the College of Veterinary Medicine, or Associate Vice President for Research Compliance. **Graduate Honor System appeal procedures do not apply to appeals of research misconduct findings, which are reviewed by the president of the university.**
2. **Updating Graduate Student Assembly to Graduate and Professional Student Senate**
 - Pg. 3. Appointment of the Chair (2 instances)

- Pg. 4. Appointment of Associate Chair(s)
- Pg. 11 Announcement
- Pg. 16 Amendments (2 instances)

3. Managing cases where a single incident/infraction is referred to the GHS by more than one referrer (multiple faculty; student and faculty; multiple students)

Article XI, Section 1 – Reporting of Violations

- New language clarifying the role of multiple referrers:

If an alleged violation is reported by multiple referrers separately, the case will proceed based on the first referral; secondary referrers may be included in the case, if they desire, as a witness to the referral.

4. Automatic PRP waiver for cases where students accept responsibility during the evidence gathering phase

Article IV, Section 1 – Preliminary Review Panel Waiver

- Pg. 6. New language about automatic waiver of PRP:

If, after review of the materials presented in the report, the referred student(s) accepts that there is substantive evidence to support the charge and warrant a full hearing of the case by the Review Panel, the student may request a Preliminary Review Panel Waiver. This request must be submitted to the Chair within five (5) University business days of the student(s) receiving the Associate Chair's report. If during the evidence gathering the referred student(s) admit responsibility for the charge and this is documented in the report prepared by the Associate Chair, a Preliminary Review Panel Waiver will be granted automatically, and the case will proceed to the Review Panel.

- Pg. 6. #4 unnecessary language was removed

A request for a Preliminary Review Panel Waiver does not, in any way, imply responsibility on the part of the student(s).

ARTICLE I: PURPOSE AND DESCRIPTION

Section 1 - Graduate Honor Code

The Graduate Honor Code establishes a standard of academic integrity. As such, this code demands a firm adherence to a set of values. In particular, the code is founded on the concept of honesty with respect to the intellectual efforts of oneself and others. Compliance with the Graduate Honor Code requires that *all* graduate students exercise honesty and ethical behavior in all their academic pursuits at Virginia Tech, whether these undertakings pertain to study, course work, research, extension, or teaching. Anyone facing a charge of violating the Graduate Honor Code is presumed to be innocent.

It is recognized that graduate students have very diverse cultural backgrounds. In light of this, the term *ethical behavior* is defined as conforming to accepted professional standards of conduct, such as codes of ethics used by professional societies in the United States to regulate the manner in which their professions are practiced. The knowledge and practice of ethical behavior shall be the full responsibility of the student. Graduate students may, however, consult with their major professors, department heads, International Graduate Student Services, or the Graduate School for further information on what is expected of them.

More specifically, all graduate students, while being affiliated with Virginia Tech, shall abide by the standards established by Virginia Tech, as described in this Constitution. Graduate students, in accepting admission, indicate their willingness to subscribe to and be governed by the Graduate Honor Code and acknowledge the right of the University to establish policies and procedures and to take disciplinary action (including suspension or expulsion) when such action is warranted. Ignorance shall be no excuse for actions which violate the integrity of the academic community.

The fundamental beliefs underlying and reflected in the Graduate Honor Code are that (1) to trust in a person is a positive force in making a person worthy of trust, (2) to study, perform research, and teach in an environment that is free from the inconveniences and injustices caused by any form of intellectual dishonesty is a right of every graduate student, and (3) to live by an Honor System, which places a positive emphasis on honesty as a means of protecting this right, is consistent with, and a contribution to, the University's quest for truth.

Section 2 - Implementation

The Graduate Honor System was established to implement the Graduate Honor Code, and its functions shall be:

1. To promote honesty and ethical behavior in all academic pursuits, including, but not limited to, study, research, teaching, and extension.
2. To disseminate information concerning the Graduate Honor System to all new graduate students, faculty, and other interested parties.
3. To consider and review all suspected violations of the Graduate Honor Code in an impartial, thorough, and unbiased manner.
4. To review all cases involving academic infractions of the Graduate Honor Code brought before the System.
5. To assure that the rights of all involved parties are protected and assure due process in all proceedings.

Section 3 - Violations

All forms of academic work including, but not limited to, course work, lab work, thesis or dissertation work, research, teaching, and extension performed by any graduate student enrolled on a part-time or full-time basis under any of the admission categories listed in the Virginia Tech Graduate Catalog shall be subject to the stipulations of the Graduate Honor Code. Violations of the Graduate Honor Code are categorized as follows: Cheating, Plagiarism, Falsification, and Academic Sabotage. Violations are defined as follows:

1. *Cheating*: Cheating is defined as the giving or receiving of any unauthorized aid, assistance, or unfair advantage in any form of academic work. Cheating applies to the products of all forms of academic work. These products include, but are not limited to, in-class tests, take-home tests, lab assignments, problem sets, term papers, research projects, theses, dissertations, preliminary and qualifying examinations given for the fulfillment of graduate degrees, or any other work assigned by an instructor or professor, graduate committee, or department that pertains to graduate work or degrees.

Any student giving or receiving unauthorized information concerning a test, quiz, or examination shall be responsible for an Honor Code violation. Submitting work that counts towards the student's grade or degree which is not the sole product of that student's individual effort shall be considered cheating, unless, for example, the professor explicitly allows group work, use of out-of-class materials, or other forms of collective or cooperative efforts. In general, all academic work shall be done in accordance with the requirements specified by the instructor or professor. In the absence of specific allowances or instructions by the professor, students shall assume that all work must be done individually.

Some uses of permanently returned, graded material ("koofers") are cheating violations of the Code. By permanently returning graded materials, a faculty member or instructor demonstrates the intent that these materials should be accessible to all students. Such materials may be used for study purposes, such as preparing for tests or other assignments, and other uses explicitly allowed by the professor or course instructor. Once test questions have been handed out, koofers may not be used. Other specific examples of the unauthorized use of koofers include, but are not limited to, using koofers during closed-book exams, handing in any type of copy (e.g., a photocopy or a transcribed copy) of someone else's work (partial or complete) from a previous term, and copying a current answer key or one that was handed out in a previous term. Students may not copy and hand in as their own work answers taken from any kind of koofer. When in doubt of what may or may not be used, students should consult with the course instructor. In the absence of specific instructions concerning koofers from the instructor, students shall assume that all submitted work must be the product of their own efforts without koofers or other unauthorized aid/ materials.

2. *Plagiarism:* Plagiarism is a specific form of cheating, and is defined as the copying of the language, structure, idea, and/or thoughts of another and claiming or attempting to imply that it is one's own original work. It also includes the omitting of quotation marks when references are copied directly, improper paraphrasing (see Plagiarism), or inadequate referencing of sources. Sources used in preparing assignments for classes, theses, dissertations, manuscripts for publication, and other academic work should be documented in the text and in a reference list, or as directed by the instructor or professor. Sources requiring referencing include, but are not limited to, information received from other persons that would not normally be considered common knowledge (Plagiarism), computer programs designed or written by another person, experimental data collected by someone else, graded permanently-returned materials such as term papers or other out-of-class assignments (koofers), as well as published sources. A more detailed discussion of plagiarism may be found in Plagiarism.
3. *Falsification:* Students who falsify, orally, in writing, or via electronic media, any circumstance relevant to their academic work shall be responsible for a violation of this Code. Included are such actions as forgery of official signatures, tampering with official records or documents, fraudulently adding or deleting information on academic documents, fraudulently changing an examination or

testing period or due date of an assignment, and the unauthorized accessing of someone else's computer account or files. Violations also include willfully giving an improper grade or neglecting to properly grade submitted material, improperly influencing the results of course evaluations, and knowingly including false data or results in any paper or report submitted for a grade, as a degree requirement, or for publication.

4. *Academic Sabotage:* Academic sabotage is purposeful vandalism directed against any academic endeavor or equipment. It includes, but is not limited to, the destruction or theft of written material, laboratory or field experiments, equipment used in teaching or research, or computer files or programs. Unauthorized tampering with computer programs or systems shall constitute a violation. Academic sabotage includes deliberately crashing or attempting to crash a computer system or the use of files intended to cause or actually causing computer systems to behave atypically, thereby impeding another person's or group's efforts. In particular, knowingly infecting any system with a virus, worm, time bomb, trap door, Trojan horse, or any other kind of invasive program shall be considered a serious violation. Note that violations under this category may also lead to University judicial action or to criminal suits charged by the University.

Misconduct and unethical behavior in research and teaching ~~deserves special mention in the Code since it is an area of special interest to graduate students.~~

Misconduct in research and teaching. ~~It is not a separate violation category since it may involve cheating, plagiarism, falsification, and/or academic sabotage as the violations discussed above. Research misconduct is research in particular is restricted to fabrication, falsification, or plagiarism. Research misconduct~~ does not include those factors intrinsic to the process of research, such as honest error, conflicting data, or differences in interpretation concerning data or experimental design. Likewise, *misconduct in teaching* does not include honest disagreement over the method of presentation of instructional material to a class or in the evaluation of the performance of a student.

Research misconduct allegations ~~may also will~~ be investigated by the [Virginia Tech Office of Research Integrity \(RIO\)](#), and the outcome of the investigation is shared with the Graduate Honor System. The investigation by the RIO replaces in its entirety the GHS evidence gathering, Preliminary Review Panel, and decision about guilt or innocence (see Articles IV and V for details).

~~* For further information on misconduct in research and its definition, see the references listed under item 4 of 1991 Revision—Reference Material Used.~~

Section 4 - Composition

The Graduate Honor System shall consist of an Advisor, a Chair, one or more Associate Chair(s), GHS Facilitators, and Panelists for the Preliminary Review Panel and Review Panel. The Dean (or designee) of the Graduate School shall be responsible for the continued operation of the System. Appointment of Graduate Honor System personnel shall be made in accordance with Article II and Article XI, Section 7.

ARTICLE II: GENERAL ADMINISTRATION

Section 1 - Appointment of the Graduate Honor System Advisor

A member of the staff of the Dean of the Graduate School shall be appointed by the President to serve as the Graduate Honor System Advisor. The Advisor shall serve in an advisory capacity to the Chair and shall be present (or represented) at all hearings of both the Preliminary Review Panel and the Review Panel.

Section 2 - Duties and Functions of the Advisor

The following duties and functions shall be performed by the Advisor:

1. The advisor shall have the responsibility to train the Chair, Associate Chair(s), Facilitators, and new panel members.
2. The advisor shall provide counsel to the Chair and Associate Chair(s) in the preparation of cases.
3. The advisor shall provide staff for handling training sessions, scheduling meetings, and other matters related to the administration of the Graduate Honor System.
4. The advisor shall counsel faculty or students referring cases as well as those students charged with offenses.
5. The advisor (or designee) shall attend all hearings.
6. The advisor, in consultation with the Chair, shall be responsible for appointing the Associate Chair(s).
7. The advisor, upon receiving the recommendation of the Chair, shall be responsible for approving the membership of the Preliminary Review Panel and Review Panel.

Section 3 - Appointment of the Chair

1. Nominations for the position of Chair shall be accepted from the ~~Graduate Student Assembly~~ Graduate and Professional Student Senate, College Deans, and other members of the academic community, and applications by qualified persons shall be welcomed. Candidates for the position of Chair must be graduate students in good standing and must have been in residence for at least one (1) semester immediately preceding nomination. Preferably, the nominee will have served as an Associate Chair or as a graduate student panelist for at least one (1) semester prior to appointment.
2. The term of office shall be one (1) year, but if available and willing, the current Chair may be re-appointed by the President of the University to serve subsequent terms, up to four (4) years, upon the recommendation of the Graduate Honor System Advisor.
3. The Chair Nominating Committee shall be convened by the Dean upon the resignation of the current Chair, upon completion of term of office, or upon termination of office. This committee shall consist of the Graduate Honor System Advisor, up to three (3) graduate student members of the Graduate Honor System, and one (1) faculty member having previously served on a Review Panel and appointed by the Dean of the Graduate School. All members shall have equal voting privileges. The function of this committee shall be to nominate a candidate for appointment by the President. The nomination process shall be to: (1) invite nominations and accept applications, (2) review applications and conduct interviews with applicants, and (3) recommend to the President of the University, from among these applicants, a nominee for the position of Chair. The recommendation of this committee shall be by majority vote.
4. The recommendation of the nominating committee is voted on by the ~~Graduate Student Assembly~~ Graduate and Professional Student Senate (GPSS) ~~(GSA)~~ and the Commission on Graduate and Professional Studies and Policies (CGPS&P).
5. The Dean of the Graduate School will forward the nomination to the President conveying the vote of the ~~GSA~~ GPSS and CGPS&P.
6. The President shall appoint the Chair.
7. In the absence of a timely appointment, the President, through the recommendation of the Dean, can appoint the nominee as an interim Chair until the conclusion of the appointment process.

Section 4 - Duties and Functions of the Chair

The Chair shall perform the following duties and functions:

1. The Chair shall receive reports of suspected violations and determine, in consultation with the

GHS Advisor, if the referred student is eligible for a Facilitated Discussion. If the report involves the allegation of research misconduct, the Chair will refer the case to the Research Integrity Office for review and investigation.

2. The Chair shall assign to the Preliminary Review Panel all cases not eligible for Facilitated Discussion.
3. The Chair shall preside at all Review Panel hearings. The Chair may request a member of the Review Panel to preside in his or her place.
4. The Chair shall assure justice, fairness, and due process.
5. The Chair shall secure nominations and select graduate student and faculty members for the Facilitated Discussion Process, the Preliminary Review Panel, and Review Panel, subject to approval by the Graduate Honor System Advisor.
6. The Chair shall assume responsibility for the instruction and training of graduate student and faculty members in the operation, function, and responsibility of the Graduate Honor System.
7. The Chair shall orient entering graduate students and new faculty to the values and obligations of the Graduate Honor Code.
8. The Chair shall conduct information activities and coordinate activities of the Graduate Honor System.
9. The Chair shall administer the operation of the Graduate Honor System throughout the entire calendar year.
10. The Chair shall keep the graduate community apprised of relevant activities of the Graduate Honor System.
11. The Chair shall consult with the Graduate Honor System Advisor in the appointment of the Associate Chair(s) and Facilitators.
12. The Chair shall select the panelists to hear the cases.

Section 5 - Staff of the Chair

The Chair, with the approval of the Graduate Honor System Advisor, shall appoint sufficient staff to assist with the duties of the office.

Section 6 - Appointment of Associate Chair(s)

1. The Graduate Honor System Advisor, in consultation with the Chair, shall appoint one or more Associate Chair(s). Nominations for this position shall be accepted from the ~~Graduate Student Assembly~~ Graduate and Professional Student Senate, College Deans, and other members of the academic community; and applications from qualified personnel shall be welcomed. Students being considered for Associate Chair positions must be graduate students in good standing and must have been in residence for at least one (1) semester

immediately preceding appointment. Preferably, the nominee will have served as a graduate student panelist of the Graduate Honor System for at least one (1) semester prior to the appointment. Associate Chair(s) shall serve a one (1) year term but may be re-appointed to serve subsequent terms, up to four (4) years, if available and willing.

2. The appointment of the new Associate Chair(s) shall be made upon the resignation of the current Associate Chair(s), upon completion of term of office, or upon termination of office.

Section 7 - Duties of Associate Chair(s)

Associate Chair(s) shall perform the following duties:

1. Associate Chair(s) shall conduct a confidential gathering of evidence regarding the alleged violation by interviewing all individuals whom they believe may possess facts directly bearing upon the incident, including referred student(s), and the referrer.
2. Associate Chair(s) shall examine any documents or records pertinent to the case.
3. Associate Chair(s) shall prepare a brief report summarizing the evidence.
4. Associate Chair(s) shall present the report summarizing the evidence as promptly as possible, having due regard for the right of the referred student(s) and the referrer to assemble and present any relevant evidence.
5. Associate Chair(s) shall convene and chair Preliminary Review Panel meetings.
6. Associate Chair(s) shall prepare a brief report for the Chair that summarizes the decision of the Preliminary Review Panel and shall brief the Chair on all the details of the case at hand.
7. Associate Chair(s) may attend and may present the evidence to the Review Panel.
8. Associate Chair(s) shall aid the Chair in convening and conducting training sessions for Preliminary Review Panel members.

Section 8—Appointment of Panelists

1. Panelists will include graduate students and faculty members from each College. Panelists will be recruited from all qualified graduate students and faculty (see Article XI Section 7).
2. Graduate student panelists shall be approved by the Graduate Honor System Advisor after training by the Chair and/or Associate Chair and following clearance of graduate student records (see Article XI Section 8). Graduate students may serve for up to four (4) years. After four years, graduate students will take a one-year break from all duties related to the Graduate Honor System.

3. Faculty member panelists shall be approved by the Graduate Honor System Advisor after training by the Chair and/or Associate Chair. Faculty panelists may serve for up to four (4) years. After four years, faculty will take a one-year break from all duties related to the Graduate Honor System.

Section 9—Duties of Panelists

1. Panelists shall serve on either the Preliminary Review Panel or the Review Panel.
2. Panelists shall evaluate the evidence and make recommendations regarding the case within a Preliminary Review Panel or Review Panel.
3. Panelists shall maintain the rights and confidentiality of the referred student(s) and referrer.
4. Panelists may assist in conducting educational sessions on campus and/or training sessions for new panelists.

Section 10 – Appointment of Graduate Honor System Facilitators

1. The Graduate Honor System Advisor, in consultation with the Chair, shall appoint one or more Graduate Honor System Facilitators. Applications for this position shall only be taken from current panelists. Graduate Honor System Facilitators must have significant experience with the Graduate Honor System as determined by the Graduate Honor System Advisor and Chair before appointment as Discussion Facilitators. Facilitators shall serve a one (1) year term but may be re-appointed to serve subsequent terms, up to four (4) years, if available and willing.
2. The appointment of new Facilitators shall be made as necessary to meet the needs of the Honor System.

Section 11 – Duties of Graduate Honor System Facilitators

1. Graduate Honor System Facilitators shall facilitate a discussion meeting between the referrer and the referred student(s).
2. Graduate Honor System Facilitators shall ensure that all applicable GHS guidelines are observed and followed.
3. Graduate Honor System Facilitators shall ensure that the rights of the referred and referrer are upheld.
4. Graduate Honor System Facilitators shall, upon examination of the facts of the case, have the authority to refer cases to the Chair so that they may be assigned an Associate Chair for evidence gathering and interviews.
5. Graduate Honor System Facilitators shall prepare a full report for the Chair, which summarizes the

outcome of the facilitated discussion and shall brief the Chair on all the details of the case at hand.

6. Graduate Honor System Facilitators shall aid the Chair in conducting the training session(s) for new Graduate Honor System Facilitators.

ARTICLE III: FACILITATED DISCUSSION

Section 1 - Composition

1. The Facilitated Discussion shall be attended by the referrer(s) of the case, the referred student(s), and one Graduate Honor System Facilitator (as outlined in Article II, Sections 10 and 11).

Section 2 – Functions of the Facilitated Discussion

The Facilitated Discussion shall fulfill the following functions:

1. It shall assure that the rights of the referred and the referrer are protected and assure due process.
2. It shall facilitate a discussion between the referrer and referred student(s).
3. It shall attempt to build a consensus resolution to a suspected Honor Code violation without convening a Preliminary Review Panel or a Review Panel.
4. It shall create a record of an Honor Code violation if all parties conclude that a violation did occur. This record shall be kept in the Graduate Honor System case files.

Section 3 – Eligibility for the Facilitated Discussion

A suspected Honor Code violation will be eligible for a Facilitated Discussion if **ALL** of the following criteria are met:

1. The referrer of the case is a Faculty member;
2. The suspected violation involves an allegation of either 1) cheating or 2) plagiarism as outlined in Article I, Section 3 of the GHS Constitution and does not involve Research Misconduct;
3. The referred student(s) is(are) not on Graduate Honor System Probation at the time the report of the suspected violation is received by the Graduate Honor System;
4. And the violation is one for which a reasonable person who is familiar with the form and functions of the Graduate Honor System would not assign a penalty of more than the sanctions outlined in Article VII, Section 1, Item 1, Parts a-f of this Constitution.

Section 4 – Operation of the Facilitated Discussion

1. The Chair, after determining a case eligible for a Facilitated Discussion, will notify the referrer and the referred of this determination.
2. The referrer and referred will then have no more than ten (10) University business days to notify the Chair of their desire to participate in a Facilitated Discussion; otherwise the case will be sent for evidence gathering and panel review. Exceptions to the ten-day period will only be made under extenuating circumstances, as determined by the Chair or Graduate Honor System Advisor.
3. If either the referrer or the referred student(s) does not agree to participate in the Facilitated Discussion, the case will be sent for evidence gathering and panel review.
4. During the Facilitated Discussion, the referrer of the alleged violation and the referred student will attempt to reach a resolution to the case, with the assistance of the Graduate Honor System Facilitator. The question that the referred student and the referrer must answer is “did the student commit a violation of the honor code?” A determination of a violation shall require both the referrer and the referred student to agree that the student is responsible for violating the honor code. A determination of no violation shall require both the referrer and the referred student to agree that the student did not violate the honor code. In the absence of such an agreement, the case shall be sent for evidence gathering and panel review.
5. If the referrer and student agree that the student has committed a violation of the honor code, the referrer and student may then decide upon an appropriate penalty. Sanctions for the Facilitated Discussion will be limited to those sanctions outlined in Article VII, Section 1, Item 1, Parts a-f of this Constitution. The referrer and referred must both come to an agreement on the appropriate penalty. In the absence of such an agreement, the case shall be sent for evidence gathering and panel review.
6. The GHS Facilitator shall prepare a record of the outcome of the Facilitated Discussion. This record, the original report of the alleged violation, and any relevant evidence shall be held in the Chair’s confidential file. The Chair shall inform the Dean of the Graduate School (or designee), in writing, of the outcome of all Facilitated Discussions.
7. For cases in which the referrer or the referred withdraws from the Facilitated Discussion, no record shall be kept that either the referrer or referred participated in a Facilitated Discussion and the fact that they did participate in such a proceeding shall not be deemed relevant in any future Honor System proceedings.

Section 5 – Withdrawal from the Decision of the Facilitated Discussion

1. The referred or referrer may withdraw from a decision reached during a Facilitated Discussion for any reason.
2. If the referred or referrer wishes to withdraw from the Facilitated Discussion decision, the Chair must be notified of the desire to withdraw from the decision within two (2) calendar days of the conclusion of the Facilitated Discussion.
3. If the referred or referrer withdraws from the Facilitated Discussion decision, the case shall be immediately sent for evidence gathering and panel review.
4. In these instances no record shall be kept that the Facilitated Discussion occurred and the fact that they did participate in such a proceeding shall not be deemed relevant in any future Honor System proceedings.

ARTICLE IV: PRELIMINARY REVIEW PANEL

Section 1 – Preliminary Review Panel Waiver

1. The referred student(s) and referrer shall have the opportunity to review the report prepared by the Associate Chair, before it is presented to a Preliminary Review Panel.
2. If, after review of the materials presented in the report, the referred student(s) accepts that there is substantive evidence to support the charge and warrant a full hearing of the case by the Review Panel, the student may request a Preliminary Review Panel Waiver. This request must be submitted to the Chair within five (5) University business days of the student(s) receiving the Associate Chair’s report. If during the evidence gathering the referred student(s) admit responsibility for the charge and this is documented in the report prepared by the Associate Chair, a Preliminary Review Panel Waiver will be granted automatically, and the case will proceed to the Review Panel.
3. A request for a Preliminary Review Panel Waiver must be received before a Preliminary Review Panel is scheduled.
4. A ~~request for a~~ Preliminary Review Panel Waiver does not, in any way, imply responsibility on the part of the student(s).
5. In cases involving multiple referred students, if all referred students do not request a Preliminary Review Panel Waiver, the case will proceed to a Preliminary Review Panel.

6. Cases for which a Preliminary Review Panel waiver is granted shall proceed directly to a Review Panel for a hearing.

Section 2 - Composition

1. The Preliminary Review Panel shall consist of trained graduate student and faculty panelists. Graduate student members of the Preliminary Review Panel shall have full voting privileges, whereas the faculty members shall serve in an advisory capacity to the student members and shall not have voting privileges.
2. The Associate Chair(s) (or designees) shall chair Preliminary Review Panel meetings and shall not have voting privileges.
3. The Graduate Honor System Advisor shall be a non-voting member and shall serve in an advisory capacity to the Associate Chair and the Preliminary Review Panel.

Section 3 - Functions of the Preliminary Review Panel

The Preliminary Review Panel shall perform the following functions:

1. It shall evaluate the evidence provided for the case.
2. It shall decide whether a hearing before the Review Panel should be held.

Section 4 - Operation

1. For each case without a Preliminary Review Waiver, a hearing shall be conducted by a Preliminary Review Panel, consisting of a minimum of five (5) graduate students and at least two (2) faculty members, to be selected by the Chair. The Associate Chair managing the case shall serve as chair of the Preliminary Review Panel. In addition, the Graduate Honor System Advisor shall be a non-voting member and shall serve in an advisory capacity to the Associate Chair and the Preliminary Review Panel.
2. Evidence gathering shall adhere to the basic tenets of due process and to the rights and responsibilities for referrer and referred as outlined in Article VIII and Article IX.
3. A decision to send the case to the Review Panel should be based upon substantive evidence to support the charge. The lack of such evidence should lead the Preliminary Review Panel to vote against sending the case to the Review Panel and consequently lead to the termination of the proceedings. Otherwise, the Preliminary Review Panel should send the case forward for the further scrutiny of the Review Panel. The fact that the case is forwarded to the Review Panel shall in no way

imply responsibility for the violation; the Preliminary Review Panel is simply stating that the case should be reviewed with the aid of personal testimonies.

4. The student members shall have full voting privileges while the faculty members serve in an advisory capacity. Recommendations of the Preliminary Review Panel must be by majority vote of the graduate student members present. In the event of a tie vote, the case will go forward.

ARTICLE V: REVIEW PANEL

Section 1 - Composition

1. The Review Panel shall consist of trained graduate student and faculty panelists. Both graduate student and faculty members of the Review Panel shall have full voting rights. The Chair (or designee) shall be a non-voting member and shall serve as the panel moderator.
2. The Graduate Honor System Advisor shall be a non-voting member and shall serve in an advisory capacity to the Chair and the Review Panel.
- 2.3. If the case involves a Research Integrity Office finding of responsibility for research misconduct, a representative of the RIO shall be present in a non-voting capacity to answer panelist questions about the investigation and finding of responsibility.

Section 2 - Functions of the Review Panel

The Review Panel shall perform the following functions:

1. It shall hear evidence gathered by the Associate Chair. In cases involving research misconduct, it shall receive and review the Research Integrity Office final report (after a potential appeal has been exhausted), that includes the charge(s), summary of evidence, final finding of responsibility, and recommendations.
2. It shall hear testimony of the referrer, referred student, and witnesses. Students who have been found responsible for research misconduct may provide in their testimony contextual information and clarification that can be considered by the Review Panel in their deliberation of appropriate penalties.
3. It shall hear the remarks of the University community representative of the referred.
4. It shall assure that the rights of the referrer and referred student are protected and assure due process.
5. It shall determine whether a violation occurred. In cases involving research misconduct, finding of

responsibility is determined by the Research Integrity Office and shared with the Review Panel after the appeal deadline has passed or decision on an appeal has been reached.

6. It shall recommend the penalty when the referred is determined to have violated the honor code.

Section 3 - Operation

1. For each case, a hearing shall be conducted by a Review Panel. The Review Panel shall consist of the Chair, a minimum of four (4) graduate students, a minimum of three (3) faculty members, and the Graduate Honor System Advisor. The number of voting faculty shall not exceed the number of voting graduate students present. The graduate students and faculty members shall be selected by the Chair with the approval of the Graduate Honor System Advisor. Each graduate student and faculty member shall have full voting privileges, while the Chair (or designee) shall be a non-voting member and shall serve as the moderator of the hearing. If the case is based on a Research Integrity Office-finding of responsibility for research misconduct, a representative of the RIO shall be present in a non-voting capacity to answer panelist questions about the investigation and finding of responsibility. In addition, the Graduate Honor System Advisor shall be a non-voting member and shall serve in an advisory capacity to the Chair and the Review Panel. The Associate Chair who gathered the evidence may attend the Review Panel as a non-voting member.
2. All Review Panel hearings shall adhere to the basic tenets of due process and rights and responsibilities of the referrer and referred student(s) as outlined in Article VIII and Article IX.
3. All persons involved with the hearing have the right to be treated with respect. Persons displaying disrespect for another person at the hearing or contempt for the proceedings shall be dismissed, and the hearing shall be concluded in their absence.
4. All evidence regarding cases should be submitted to the Associate Chair(s) during the evidence gathering and interviewing process (prior to the Preliminary Review Panel meeting). If additional information is submitted after the case is sent forward by the Preliminary Review Panel, the Review Panel will decide the relevancy of that information.
5. The referred must be adjudged to have violated the honor code before any consideration is given to the penalty, unless the referred acknowledges or the Research Integrity Office has determined responsibility, in which case the deliberations shall focus solely on the penalty.
6. In evaluating evidence and testimony regarding whether a violation of the honor code has occurred, each member of the Review Panel shall consider whether or not there exists substantive evidence of a

violation. The decision whether a violation occurred shall be based solely on the facts regarding the charge, i.e., based on evidence collected and testimony presented at the Review Panel hearing.

7. At the conclusion of the deliberations on whether a violation occurred for each charge against the student, the Chair shall poll the members of the Panel on the question: "Has the student violated the honor code?" An affirmative vote represents "a violation," while a negative vote represents "no violation." A determination of a violation shall require a majority vote. In the absence of such a vote, the Panel shall found that no violation has occurred. An abstention shall not be counted as a vote. In the unlikely event that a majority of the Review Panel members do not vote, the current panel shall be dismissed and a new panel shall be convened to re-hear the case.
8. In determining the appropriate sanction, such factors as the referred student's past history of violations, attitude, intent, severity of the violation, and the degree of cooperation may be considered.
9. Recommendations of penalty shall be by majority vote. An abstention shall not be counted as a vote.
10. A recording of the proceedings, the confidential recommendations of the Review Panel, together with all submitted evidence and votes recorded, shall be held in the Chair's confidential file. The Chair shall inform the Dean of the Graduate School (or designee), in writing, of the findings and recommendations of the Review Panel.

ARTICLE VI: UNIVERSITY ACTION

Section 1 - Review and Decision

1. The recommendations (decision of violation, and penalty if required) of the Review Panel shall be submitted in writing by the Chair to the Dean of the Graduate School (or designee) for review and decision.
2. No penalty shall be announced until an official decision has been rendered by the Dean of the Graduate School (or designee).
3. The official decision of the Dean of the Graduate School (or designee) shall be transmitted in writing to the referred, the referrer, and the course instructor (or major professor for a research-related violation). The referred shall also be notified of the right to appeal the decision. The Research Integrity Office's finding of responsibility for research misconduct is appealable to the President of the University.
4. When the Review Panel's recommendation is not accepted by the Dean (or designee), the Panel shall

be notified of the final decision of the Dean (or designee).

Section 2 - Appeals

1. The referred may appeal the official decision to the Dean of the Graduate School on grounds of (1) failure of the Graduate Honor System to follow proper procedures, (2) introduction of new evidence, and/or (3) severity of the penalty. Appeals concerning the finding of research misconduct by the Research Integrity Office are submitted to the president of the university before the final report is shared with the GHS. The imposition of the penalty shall be deferred until the termination of the appeals process.
2. The Dean of the Graduate School must receive the appeal within five (5) University business days after the referred receives written notification of the decision and penalty.
3. In the event of an appeal, the case will be forwarded to an appellate officer, who is well versed in the Graduate Honor System, graduate academic policies, and Virginia Tech standards of ethics, and has received training from the Graduate Honor System. Such officers include, but are not limited to, the Director of Undergraduate Academic Integrity, Associate Dean for Professional Programs in the College of Veterinary Medicine, or Associate Vice President for Research Compliance. Graduate Honor System appeal procedures do not apply to appeals of research misconduct findings, which are reviewed by the president of the university.
4. The appeal is not a retrial and must be focused solely upon one or more of the following: (1) failure of the Graduate Honor System to follow proper procedures, (2) introduction of new evidence, (3) severity of penalty. The appeal shall be limited to the consideration of the specific information pertaining to one or more of the above. The burden shall be placed on the appealing student to demonstrate why the original finding or sanction should be changed.
5. The decision of the appellate officer is limited to the grounds of the appeal. Judgments are made according to the following guidelines:
 - a. *Failure of the Graduate Honor System to Follow Proper Procedures*
Determine whether or not the Graduate Honor System followed proper procedures. If proper procedures were followed, then the official decision is enforced. If proper procedures were not followed, then the referred student is acquitted and the case is closed.
 - b. *Introduction of New Evidence*
Determine whether or not the new evidence is relevant to the official decision. In the event that the information is determined to be relevant, the

appellate officer shall inform the Dean of the Graduate School or the Graduate Honor System Advisor that a new Review Panel is requested. The new Review Panel shall have no members from a previous panel. If information is determined to be irrelevant or there is no new evidence, then the original decision is upheld.

c. *Severity of Penalty*

Determine if the penalty is too severe for the violation(s), for which the student was found responsible. The finding of a violation is not appealable and the case will not be reheard. The appellate officer has the option to consult GHS facilitators or experienced panelists who were not involved with the original case, as identified by the Chair or Advisor to the GHS, if perspective on the severity of the penalty is required. In the event that the penalty is found to be too severe, a lower penalty may be determined by the appellate officer from those specified under Article VII of this Constitution.

6. The final determination of an appeal shall be the sole responsibility of the appellate officer. The student shall be notified in writing of the disposition of the appeal.

ARTICLE VII: ACTIONS OF THE GRADUATE HONOR SYSTEM

Section 1 - Penalties

Where a violation is determined, the Review Panel or Facilitated Discussion shall also be responsible for determining an appropriate sanction. There are four major penalty levels (1-4) with increasing severity. These penalties are (1) Graduate Honor System Probation, (2) Suspension in Abeyance, (3) Suspension, and (4) Permanent Dismissal. For each charge of a Graduate Honor Code violation for which a student acknowledges responsibility or is found responsible, one of these four penalties must be given.

For cases resolved through Facilitated Discussion, only penalty 1 (Graduate Honor System Probation), subparts a-f may be applied.

For those cases where suspension or dismissal is not warranted, the subparts of penalty 1 (Graduate Honor System Probation) provide a further gradation in the penalty action. Whereas penalties 2, 3, and 4 must be given as a whole (i.e., no parts may be given without the others), penalty 1 may be given in part or in full. However, *if penalty 1 is selected, parts a and b are required.* Only parts

c-i of penalty 1 shall be optional. The very minimum penalty given shall be penalty 1, parts a and b.

1. Graduate Honor System Probation (parts a and b mandatory, parts c-i optional)

- a. The referred shall not be suspended from the University, but shall be placed on Graduate Honor System Probation until graduation or termination of enrollment. The sentence of Probation is a warning and is intended to serve as a deterrent against future misconduct. In the event of any other University or Graduate Honor Code violation, the appropriate parties shall be notified of the previous history of the referred. In the event of resignation and re-enrollment within a period of one (1) year, the referred shall be reinstated on Graduate Honor System Probation (penalty 1, part a only) subsequent to re-enrollment.
- b. The referred shall also automatically receive a zero on the assignment on which the violation occurred. In cases other than those involving course work (or other similar work where a zero is applicable), action shall be taken to negate any advantages obtained by the violation.
- c. A record of the action shall be kept in the referred student's folder (*not* the official transcript) in the Graduate School until graduation from the University or termination of enrollment.
- d. The referred shall be required to attend a meeting or meetings with the Chair and the Dean of the Graduate School for the purpose of achieving a better understanding on the student's part of the requirements and purpose of the Graduate Honor System. Failure to participate in this meeting(s) shall constitute grounds for the *automatic* invocation of part "g" below.
- e. The referred shall be required to write an essay on academic integrity, prevention of academic misconduct, and/or what they have learned regarding academic integrity. Additional essay topics may be requested by the Review Panel. The Chair or Associate Chair from the case will review and guide the writing of the essay. Failure to complete this assignment shall constitute grounds for the *automatic* invocation of part "g" below.
- f. The referred shall be required to complete GRAD 5014: Academic Integrity and Plagiarism course. Failure to successfully complete this course shall constitute grounds for the *automatic* invocation of part "g" below.
- g. The notation "placed on Graduate Honor System Probation" shall appear on the student's permanent record (transcript) under the semester in which the violation occurred.

- h. If substantial unfair academic advantage was gained, that is to say, if the violation, undetected, would have led to an advantage over the other students (or if the referred thought it would), then a grade of "F" for the course in which the offense occurred shall also be a penalty action under this part. This grade shall appear on the student's grade report and permanent record (transcript) as an "F."
- i. If substantial unfair academic advantage was gained, that is to say, if the violation, undetected, would have led to a substantial grade advantage over the other students (or if the referred thought it would), then a grade of "F for violation of the Graduate Honor Code" for the course in which the offense occurred shall also be a penalty action under this part. This grade shall appear on the student's grade report and permanent record (transcript) as an "F*", and it shall be a permanent notation.

2. Suspension in Abeyance (all parts mandatory)

- a. The referred shall be allowed to remain in the University to complete the semester in which the offense occurred or in which the hearing is held.
- b. The penalty shall automatically include a grade of "F for violation of the Graduate Honor Code" for the course (or equivalent) in which the offense occurred. This grade shall appear on the student's grade report and permanent record (transcript) as an "F*", and it shall be a permanent notation.
- c. After the completion of the semester as specified in item (a) above, the referred shall be suspended for a period not to exceed two (2) successive semesters or one (1) full academic year as specified by the official notification of the University action (as specified under Article VI, Section 1, item 3 of this Constitution).
- d. The notation "suspended for violation of the Graduate Honor Code" shall appear on the student's permanent record (transcript) under the semester in which the violation occurred.
- e. Upon the referred student's re-enrollment at Virginia Tech at the end of the period of suspension, the student shall be placed on Graduate Honor System Probation (penalty 1, part a only) until graduation or termination of enrollment.

3. Suspension (all parts mandatory)

- a. Suspension is immediate and the student shall not be allowed to complete the current semester. In addition, the referred shall be suspended for a period not to exceed two (2) successive academic semesters or one (1) full academic year following the current semester (as specified under Article VI, Section 1, item 3 of this Constitution).

- b. All credits shall be lost for work done during the semester in which the student is currently enrolled. The penalty shall automatically include a grade of "F for violation of the Graduate Honor Code" for the course (or equivalent) in which the offense occurred. This

grade shall appear on the student's grade report and permanent record (transcript) as an "F*", and it shall be a permanent notation.

- c. The notation "suspended for violation of the Graduate Honor Code" shall appear on the student's permanent record (transcript) under the semester in which the violation occurred.
 - d. Upon the referred student's re-enrollment at Virginia Tech at the end of the period of suspension, the student shall be placed on Graduate Honor System Probation (penalty 1, part a only) until graduation or termination of enrollment.
4. **Permanent Dismissal** (all parts mandatory)
- a. The referred shall be permanently dismissed from the University without being allowed to complete the current semester.
 - b. All credits shall be lost for work done during the semester in which the student is currently enrolled. In addition, if the offense did not occur during the semester in which the hearing is held, then a grade of "F for violation of the Graduate Honor Code" shall also be assigned for the course in which the offense was committed. This grade shall appear on the student's grade report and permanent record (transcript) as an "F*", and it shall be a permanent notation.
 - c. The referred may never re-enroll in the University.
 - d. The notation "permanently dismissed for violation of the Graduate Honor Code" shall appear on the student's permanent record (transcript) under the semester in which the violation occurred.

Section 2 - Acquittal

In the event of acquittal by the Graduate Honor System, all records of any description in conjunction with the trial shall be completely destroyed, except the "charges" and the "Findings of the System," which shall be filed in the Chair's confidential file.

Section 3 - Announcement

1. In cases where students are found in (or claim responsibility for) violation of the honor code, the penalty and specifications may be published without names, when the case is resolved, in such media as the GHS annual report and reports to the Graduate Student Assembly- Graduate and Professional

Student Senate or Commission on Graduate and Professional Studies and Policies.

2. Exonerations may also be published (without names) if the referred so desires. A written release must be obtained from the referred prior to publication.

ARTICLE VIII: RIGHTS AND OBLIGATIONS OF THE REFERRED STUDENT

Section 1 - Rights of the Referred Student

A student referred for violating the Graduate Honor Code shall have certain procedural guarantees to ensure fair hearing of evidence. These rights under the Graduate Honor Code shall be as follows:

1. Students shall be considered innocent until judged guilty.
2. Students shall have the right to refrain from speaking for or against themselves.
3. Students shall have the right to speak in their own behalf.
4. Students may choose a member of the university community, such as a fellow student, faculty member, or staff member who is willing to assist them in preparing their defense. This person may attend a Facilitated Discussion, but may only participate in an advisory capacity to the student. During a Review Panel, the student's representative shall only be allowed to address the Review Panel; they may not question witnesses. Lawyers retained by referred students shall not be permitted in Review Panel hearings or at Facilitated Discussions.
5. Students may terminate a Facilitated Discussion at any time, without reason.
6. Students shall have the right to review the report prepared by the Associate Chair, prior to the scheduling of a Preliminary Review Panel.
7. Students shall have the right to suggest corrections and/or additions to the report prepared by the Associate Chair, prior to the scheduling of a Preliminary Review Panel. All suggestions will be considered at the discretion of the Chair and the Associate Chair for the case.
8. Students may at any time privately seek counsel with their university community representative. Statements made at this time shall be confidential.
9. Students may have any Graduate Honor System function that they are entitled to attend stopped at any time for a point of clarification.
10. Students may leave any Graduate Honor System function at any time; however, it is in their best interest to remain until they are made aware of all the details.

11. Students shall have the right to receive written notice of the charges, the "Order of Events for Review Panel Hearings," and any other pertinent information sufficiently in advance of the Review Panel hearing and in reasonable enough detail to allow them to prepare a case in their behalf. Likewise, students shall have the right to examine all evidence collected during evidence gathering prior to the Review Panel hearing. The students and their representatives shall have a copy of the evidence during the Review Panel hearing.
12. Students shall have the right to be aware of all testimony.
13. Students shall have the right to face the referrer, when such opportunity exists, at the Review Panel hearing and to present a defense against the charges, including presenting witnesses on their behalf. Consequently, students shall be consulted in the scheduling of the Review Panel hearing. However, students shall only be allowed to reschedule the Review Panel hearing once. Except under extenuating circumstances, Review Panel hearings shall not be rescheduled unless the Chair or the Graduate Honor System Advisor is notified of the requested change prior to three (3) days preceding the scheduled hearing date.
14. Failure of students to be present at Review Panel hearings, assuming reasonable effort has been made to ensure their presence, shall indicate that they are waiving their rights to face the referrer and to appear before the Review Panel.
15. Students may ask that a panel member be excused from the Review Panel hearing if they can give reasonable cause why that panel member may be biased or have some other conflict of interest. The Chair and the Graduate Honor System Advisor shall make a final ruling on any such request.
16. Students shall have the right to an appeal as specified under Article VI, Section 2.

Section 2 - Obligations of the Referred Student(s)

Students referred for suspected Graduate Honor Code violations shall have the responsibility of cooperating with Graduate Honor System personnel. Furthermore, when a case involves other students, these students' rights to privacy should be observed. Students should be aware that the confidentiality of Honor System proceedings may be covered under the Family Educational Rights and Privacy Act (FERPA) as outlined on the University Registrar's website.

ARTICLE IX: RIGHTS AND OBLIGATIONS OF THE REFERRER

Section 1 - Rights of the Referrer

A person referring charges of a Graduate Honor Code violation against a graduate student shall be accorded the following rights:

1. Discussion of the charges between the referrer and referred prior to the Review Panel hearing shall be allowed, although the referrer shall have the right to decline to discuss the case with the referred. The referrer shall have the right, with the permission of the referred, to have one witness present when talking with the referred about the alleged violation.
2. The referrer shall have the right to choose one person (any member of the university community, such as a graduate student, a faculty or staff member, or department head) to assist them in preparation of the case. This person is not allowed to be present at the Review Panel hearing or during a Facilitated Discussion.
3. The referrer shall have the right to terminate a Facilitated Discussion at any time, without reason.
4. The referrer shall have the right to review the report prepared by the Associate Chair, prior to the scheduling of a Preliminary Review Panel.
5. The referrer shall have the right to suggest corrections and/or additions to the report prepared by the Associate Chair, prior to the scheduling of a Preliminary Review Panel. The referrer shall have the right to receive a copy of the evidence collected during the evidence gathering, the "Order of Events for Review Panel Hearings," and any other pertinent information, if the Preliminary Review Panel sends the case to the Review Panel.
6. The referrer shall have the right to receive written notification of the final disposition of the case.
7. The referrer shall have the right to be secure in person and property.
8. Professors referring charges of violations may opt to grade or refrain from grading any assignment referred to the Graduate Honor System. It is recommended that instructors, if they are able to do so, grade the assignment with the assumption that the student is innocent of the charge. However, an incomplete grade may be assigned to the referred student pending the decision of the Graduate Honor System. The incomplete grade will be removed when the case is resolved.

Section 2 - Obligations of the Referrer

A person referring a suspected of a Graduate Honor Code violation shall accept the following obligations:

1. The referrer shall cooperate with the Chair, the Graduate Honor System advisor, the Associate Chair, and any other personnel of the Graduate Honor System.
2. The referrer shall be expected to appear at the Review Panel hearing.
3. The referrer shall have the responsibility of maintaining confidentiality in all matters pertaining to the case. However, referrers may discuss the case with their counsel (see Article IX, Section 1, item 2). The referrer should be aware that the confidentiality of Honor System proceedings may be covered under the Family Educational Rights and Privacy Act (FERPA) as outlined on the University Registrar's website.

ARTICLE X: OBLIGATIONS OF PARTIES INDIRECTLY INVOLVED IN HONOR SYSTEM CASES

1. Parties indirectly involved in Honor System cases include but are not limited to persons who witness alleged violations, witness discussions between referrers and referred students, and serve as members of the University community that help referrers and referred students prepare their case.
2. Parties indirectly involved in Honor System cases shall have the responsibility of maintaining confidentiality in all matters. Parties indirectly involved in Honor System Cases should be aware that the confidentiality of Honor System proceedings may be covered under the Family Educational Rights and Privacy Act (FERPA) as outlined on the University Registrar's website.

ARTICLE XI: GENERAL

Section 1 - Reporting of Violations

It is the obligation of all members of the academic community to report alleged violations of the Graduate Honor Code. *Reporting the observance of a Graduate Honor Code violation shall not be optional; it shall be mandatory.* Reports should be submitted in writing to the Chair or the Graduate Honor System Advisor on forms provided for that purpose, which are available at the Graduate Honor System website. The report form also may be obtained at the Graduate School.

Alleged violations of the Graduate Honor Code must be reported within ten (10) University business days after the date of discovery. Only under very special circumstances shall exceptions to this policy be granted, and then only at

the discretion of the Chair and the Graduate Honor System Advisor. A possible reason for exception could include, but is not limited to, unavoidable delays in obtaining the evidence.

If an alleged violation in the same incident is reported by multiple referrers separately, the case will proceed based on the first referral. Secondary referrers may be included in the case, if they desire, as a witness to the referral.

Section 2 - Violations at Extended Campuses

1. Students engaged in graduate studies at any of Virginia Tech's extended campuses shall be subject to all provisions of this Constitution.
2. Designated panelists may assist in gathering evidence if it is not possible for an Associate Chair to do so. The evidence obtained shall be presented to the Preliminary Review Panel and shall be evaluated in a manner prescribed in Article IV of this Constitution.
3. Unless otherwise designated by the Chair, with the approval of the Dean of the Graduate School, all hearings shall be conducted at the Virginia Tech main campus in Blacksburg.

Section 3 - Summer

Because of the decreased availability of graduate student and faculty panelists during the summer, delays in processing and hearing cases may result. Thus, reasonable delays of this sort shall not be considered as violating the student's rights or as grounds for an appeal.

Section 4 - Graduate Students Enrolled in Undergraduate Classes

Graduate students shall be subject to stipulations within this Constitution regardless of whether they are enrolled in undergraduate or graduate classes. In cases in which the graduate student is referred in conjunction with an undergraduate student, the Graduate Honor System will work with the Office of Undergraduate Academic Integrity.

Section 5 - Undergraduate Students Enrolled in Graduate Classes

The undergraduate honor system, commonly referred to as The Virginia Tech Honor System, shall have jurisdiction over cases involving undergraduate students in graduate classes unless the student is also enrolled in the Graduate School and taking graduate classes for graduate credit under the classification of "Dual Student" or "Combined

Student," and "Bachelor/Master's Degree Student," in which case the Graduate Honor System shall have jurisdiction. In cases in which an undergraduate student is referred with a graduate student, the Graduate Honor System will work with the Office of Undergraduate Academic Integrity.

Section 6 - Recruitment of Graduate Honor System Members

Recognizing that it is strongest when it fosters and reflects the support of all graduate students and faculty at the University, the Graduate Honor System shall seek to be as broadly representative of the graduate student and faculty bodies at Virginia Tech as possible. To this end, all qualified graduate students and faculty shall be encouraged to participate in the Graduate Honor System. No otherwise qualified graduate student or faculty may be excluded from membership on the basis of race, sex, handicap, age, veteran status, national origin, religion, political affiliation, or sexual orientation.

Section 7 - Clearance of Graduate Student Records

Graduate students volunteering or appointed to serve in the Graduate Honor System must receive clearance of their personal disciplinary records and their academic records through the Dean of the Graduate School. Such clearances shall be conducted consistent with the University's regulations on the confidentiality of records and shall assure a minimum academic quality credit average of 3.00 and no previous or current disciplinary action for each appointee.

Section 8 - Confidentiality

All investigations, hearings, reviews, and other associated activities of the Graduate Honor System shall conform to the University's "Confidentiality of Student Records" and FERPA policies.

Section 9 - Substitution of Graduate Honor System Personnel

The Chair or the Graduate Honor System Advisor shall be authorized, when circumstances dictate, to appoint substitutes for any Graduate Honor System personnel in any case before the Graduate Honor System. However, faculty may not be substituted for graduate students and vice versa.

Section 10 - University Policies

Where appropriate, the Graduate Honor System shall abide by all applicable policies, statements, and principles as contained in the *University Policies for Student Life*.

Section 11 – Definition of a “University business day”

A “University business day,” as referred to in this constitution, shall be defined as any day on which the main Virginia Tech campus is open and the Graduate School offices are open.

ARTICLE XII: VIOLATIONS INVOLVING FORMER GRADUATE STUDENTS WHO HAVE RECEIVED THEIR DEGREES

Section 1 – Convening of Special Committee

If the degree towards which the student was working at the time of the alleged violation has been awarded, the case shall be referred to the Dean of the Graduate School. The Dean of Graduate School shall convene a special committee to review and investigate the allegation and make recommendations.

Section 2 – Composition of Special Committee

The Special Committee shall consist of an experienced Graduate Honor System faculty panelist appointed by the Dean of the Graduate School to serve as the Chair of the Special Committee (voting), the GHS Chair (ex officio, voting), the GHS Advisor (non-voting), a minimum of four (4) faculty and two (2) graduate students recruited from GHS panelists, and up to two (2) other faculty or student members appointed by the Dean of Graduate School. All members of the Special Committee (except the GHS Advisor) shall have full voting privileges. The number of voting graduate student members (including GHS Chair) shall not exceed the number of voting faculty members on the Special Committee.

Section 2 – Functions of the Special Committee

The Special Committee shall perform the following functions:

1. It shall review the allegation and any evidence submitted to the Dean of Graduate School, and may gather additional evidence.
2. It shall solicit testimony from the referrer, referred former student, the former student's advisor, committee members, and other applicable witnesses.
3. It shall assure that the rights of the referrer and referred former student are protected and assure due process.
4. It shall determine whether a violation occurred.
5. It shall recommend a penalty if the referred former student is determined to have violated the honor code.

Section 3 – Operation of Special Committee

1. Preliminary Review

- a. The special committee shall conduct a preliminary review of the allegation to determine if it warrants a full review.
- b. A decision to conduct a full review should be based upon substantive evidence to support the allegation. The lack of such evidence should lead the Special Committee to vote against moving to a full review and consequently lead to the dismissal of the case. Otherwise, the Special Committee should proceed to a full review of the case. The fact that the case is moved to a full review does not imply responsibility for the violation; it only denotes that the case should be reviewed with the aid of additional evidence and personal testimony.
- c. A majority vote is required to dismiss the case. Otherwise, the case proceeds to a full review.

2. Full Review

- a. The full review of the case shall be based on the gathering of relevant evidence and personal testimonies from the referrer, referred former student, former student's advisor, committee members, and other applicable witnesses.
- b. The referred former student must be adjudged to have violated the honor code before any consideration is given to a penalty, unless the referred acknowledges responsibility, in which case the deliberations shall focus solely on the penalty.
- c. In evaluating evidence and testimony regarding whether a violation of the honor code occurred, each member of the Special Committee shall consider whether or not there exists substantive evidence of a violation. The decision whether a violation occurred shall be based solely on the facts regarding the charge, i.e., based on evidence collected and testimony presented to the Special Committee.
- d. At the conclusion of the deliberations on whether a violation occurred, the Special Committee shall be polled by the Chair of the Special Committee on the question: "Has the former student violated the honor code?" An affirmative vote represents "a violation", while a negative vote represents "no violation". A determination of a violation shall require a majority vote. In the absence of such a vote, the Special Committee shall find that no violation occurred. An abstention shall not be counted as a vote. In the unlikely event that a majority of the Special Committee members do not vote, the current Special Committee shall be dismissed, and a new Special Committee shall be convened to review the case again.

- e. In determining the appropriate sanction, factors such as the referred former student's intent and severity of violation may be considered.
- f. Recommendations for corrective action shall be by majority vote. An abstention shall not be counted as a vote.
- g. A recording of the proceedings, the confidential recommendations of the Special Committee, together with all submitted evidence and votes recorded, shall be held in the GHS confidential files. Documents and materials shall be retained for five years.
- h. Upon completion of the full review of the case, the Chair of the Special Committee shall inform the Dean of the Graduate School (or designee), in writing, of the findings and recommendations of the Special Committee. The Dean of the Graduate School (or designee) shall review and communicate the final decision in writing to the referred former student and the referrer.

Section 4 – Actions of Special Committee

1. Penalties

- a. **Corrective Action:** The former student is required to take corrective action to meet Virginia Tech academic standards regarding the academic work under review (whether it pertains to thesis, dissertation, or course work). Corrective action may include but is not limited to re-writing sections of thesis or dissertation or taking additional courses.
- b. **Revocation of Degree:** If it is determined that the degree awarded to the former student was fraudulently obtained due to significant misconduct, the Special Committee may recommend the revocation of the degree granted based on the violation. The recommendation of revoking the degree shall require two-third majority vote. The former student may never re-enroll at the University.

2. **Acquittal:** In the event of acquittal of the former student by recommendation of the Special Committee, all records of any description in conjunction with the Special Committee proceedings shall be completely destroyed, except the "charges" and the "Findings of the Special Committee," which shall be held in the GHS confidential files for a period of five years.

Section 5 – Appeals

1. The referred former student may appeal the official decision to the Dean of Graduate School on grounds of (1) failure of the Special Committee

- to follow proper procedures, (2) introduction of new evidence, and/or (3) severity of penalty. The imposition of the penalty shall be deferred until the termination of the appeals process.
2. The Dean of the Graduate School must receive the appeal within five (5) University business days after the referred former student receives written notification of the decision and penalty.
 3. In the event of an appeal, the case will be forwarded to an appellate officer, who is an Academic Dean (or designee) nominated from the Council of College Deans. The appellate officer cannot be from the College in which the degree was earned by the former student.
 4. The appeal is not a retrial and must be focused solely upon one or more of the following: (1) failure of the Special Committee to follow proper procedures, (2) introduction of new evidence, (3) severity of penalty. The appeal shall be limited to the consideration of the specific information pertaining to one or more of the above. The burden shall be placed on the appealing former student to demonstrate why the original finding or sanction should be changed.
 5. The decision of the appellate officer is limited to the grounds of the appeal. Judgments are made according to the following guidelines:
 - a. *Failure of the Special Committee to Follow Proper Procedures*
Determine whether or not the Special Committee followed proper procedures. If proper procedures were followed, then the official decision is enforced. If proper procedures were not followed, then the referred former student is acquitted, and the case is closed.
 - b. *Introduction of New Evidence*
Determine whether or not the new evidence is relevant to the official decision. In the event that the information is determined to be relevant, the appellate officer shall inform the Dean of the Graduate School that the convening of a new Special Committee is requested. The new Special Committee shall have no members from the previous Special Committee except the GHS Advisor. The GHS Chair shall designate the GHS Associate Chair to serve as the voting member in the new Special Committee. If information is determined to be irrelevant or there is no new evidence, then the original decision is upheld.
 - c. *Severity of Penalty*
Determine if the penalty is too severe for the violation(s), for which the referred former student was found responsible. The Special Committee's determination that a violation occurred cannot be appealed, and the case will not be reheard. The appellate officer has the

option to consult GHS facilitators or experienced panelists who were not involved with the original Special Committee, or other faculty from the Department or Program closely associated with the former student's degree, if perspective on the severity of the penalty is required. If the penalty is found to be too severe, a lower penalty may be determined by the appellate officer based on the consultations.

2. The final determination of an appeal shall be the sole responsibility of the appellate officer. The referred former student shall be notified in writing of the disposition of the appeal.

ARTICLE XIII: AMENDMENTS

Proposed amendments to the Constitution of the Graduate Honor System may be initiated through one of the following channels: (1) by a majority vote of the ~~Graduate Student Assembly~~ Graduate and Professional Student Senate, (2) by a majority vote of the Commission on Graduate and Professional Studies and Policies, or (3) by direct submission to the Chair or the Dean of the Graduate School. Also, at the discretion of the Chair and the Graduate Honor System Advisor, amendments may be initiated through the Graduate Honor System. Upon receiving such proposals, the Dean of the Graduate School shall convene the Constitution Revision Committee. With the approval of two-thirds of this committee, proposed amendments shall be forwarded for approval by the Commission on Graduate and Professional Studies and Policies and thereafter through the proper channels of the University governance structure (which at the time of the 2008-09 revision is described in Policies and Procedures No. 8011). Any substantive changes in proposed amendments as they proceed through subsequent levels of approval shall be resubmitted to the Constitution Revision Committee for its approval.

The Constitution Revision Committee shall consist of the Chair, the Graduate Honor System Advisor, a minimum of six (6) panelists (minimum of four (4) graduate students and two (2) faculty), and up to two (2) other representatives from the graduate student body to be nominated by the ~~Graduate Student Assembly~~ Graduate and Professional Student Senate.

2025 Revision

At the request of the Dean of the Graduate School, a Constitution Revision Committee was convened in the fall of 2024 to revise the GHS Constitution based on the need for clarification of procedures and responsibilities in cases involving alleged GHS violations that may also constitute

research misconduct, and the desire for procedural updates identified by GHS personnel. The committee worked with the Research Integrity Office (RIO) to define clear guidelines and procedures to ensure that the new procedures delineated in the GHS constitution are consistent with federally mandated policies and procedure the RIO must follow while maintaining the rights and responsibilities of graduate students as delineated in the GHS constitution.

2020 Revision

At the request of the Dean of the Graduate School, a Constitution Revision Committee was convened in the summer of 2020 to revise the GHS Constitution based on the recommendations of the Commission on Graduate and Professional Studies and Policies in Resolution CGPS&P 2019-2020A titled "Resolution to Edit the Graduate Honor System Constitution to Add Revoking Graduate Degree to Penalty Options."

The Constitution Revision Committee added a new article to the constitution to describe the entire process of handling violations involving former graduate students who have received their degrees. The article describes in detail the composition, functions, and operation of the special committee, as well as the possible sanctions for violations and the appeal process. This new article (Article XII) replaces the previous description of the process (Article XI, Section 6) pertaining to violations involving graduate students already graduated. Because of the removal of a section and the introduction of a new article, subsequent sections and articles have been renumbered. Additionally, the Constitution Revision Committee also made changes to the duties of the Associate Chair(s) (Article II, Section 7) to expand on the process of evidence collection for GHS cases while assuring due process.

2018 Revision

The Vice President and Dean of the Graduate School convened a Constitution Review Committee in the Spring of 2018. This revision was conducted by a panel of graduate students and faculty members in accordance with the constitution.

The goals of the revision were to address concerns about the path of appeals, update language within the constitution to better fit the Honor System's values, and include penalties that fit the Honor System's values and mission which were not available at the time of the last revision.

2008-09 Revision

At the request of the Dean of the Graduate School, a Constitution Review Committee was convened in 2008 to

perform a periodic review to bring the GHS Constitution up to date with current University policies and the climate of the time. This revision was conducted by a panel of graduate students and faculty in accordance with the constitution.

The goals of the current revision were two-fold: First, revisions were intended to address substantive issues that have arisen since the 1991 revision. Second, revisions were intended to improve the efficiency and effectiveness of the Honor System. The Review Committee considered a number of changes and ultimately rejected those that did not meet either of the above mentioned goals. The committee has worked very hard to ensure that the revisions to this constitution stand for at least another 15 years.

1991 Revision

Following the conclusion of the 1987 University Self-Study, a Constitution Revision Committee was convened to evaluate the Graduate Honor System. Since the Constitution had not received serious scrutiny in a decade or more, and since the Graduate Honor System has now matured to a level where the old Constitution is hardly serviceable, the ultimate goal of this committee from the outset was a revision of the Constitution. Much work has gone into ensuring that this revision will stand the test of time and will be instructive in guiding the operation of the Graduate Honor System in the years ahead.

Reference Material Used

Revision of this document was based on a variety of materials; these include:

1. *Constitution to the Virginia Tech [Undergraduate] Honor System, published in the Pylon (1988-89). (Article VII, Article VIII, several sections of Article IX, and Appendix A are used with and without modifications by permission of the Virginia Tech [Undergraduate] Honor System). Also, a report written by the Virginia Tech [Undergraduate] Honor System Self-Study Committee was used.*
2. *The University Judicial System's Manual for Hearing Officers, published by the Dean of Students Office, Virginia Tech (1989).*
3. *Several ideas and sentences from the following sources have been used with and without modification in the writing of the section "Purpose and Description of Graduate Honor Code" (Article I, Section 1):*

- a. *Reference 1.*
- b. *Cornell University Course of Study, "Code of Academic Integrity", (1989-1990), pp. 33-35.*
- c. *Bulletin of Duke University Graduate School, "Standards of Conduct", (March 1990), pp. 56-58.*
- d. *Record of the University of North Carolina at Chapel Hill, The Graduate School, "The Honor Code", (April 1990), pp. 70-72.*
- e. *University of Virginia Graduate Record, "The Honor System", (1987-1988), p.20 and p. 30.*
4. *Information used in defining "Misconduct in Research" (Article I, Section 3):*
 - a. *Recommendations on "Research Misconduct and Graduate Students at VPI&SU" submitted to the Constitution Revision Committee by the Degree Requirements, Standards, Criteria and Academic Policies Committee (DRSCAPC) of the Commission on Graduate Studies, January 18, 1990.*
 - b. *"Narrower Definition of Misconduct Urged," Public Affairs Newsletter, Federation of American Societies for Experimental Biology, Vol. 21, No. 12 (December 1988) p. 1.*
 - c. *Federal Register, Vol. 54, No. 151, (August 8, 1989) 32449.*
 - d. *"New Rules on Misconduct," Science, (August 11, 1989) p. 593.*
5. *"Computer Science Department Policy on Koofers, Old Programs, Cheating, and Microcomputer Use," CS Bits & Bytes (CS Dept. VPI&SU), Wednesday, February 15, 1989, pp. 7-8. (Ideas and wording from this policy were used in Article I, Section 3.)*

APPENDIX: PLAGIARISM

The following text is reproduced with minor editorial changes, with permission, from the Constitution of the Virginia Tech [Undergraduate] Honor System.

DEFINITION

The Virginia Tech honor system constitution states that "Plagiarism includes the copying of the language, structure, ideas, and/or thoughts of another and passing off same as one's own, original work." The violation, then, consists of both *copying* and *misrepresenting the material in question*.

Generally, when students place their name on any kind of work, they claim responsibility for the originality of the contents except for those parts that are specifically attributed to another or that are considered common knowledge. (The concept of common knowledge poses a

problem of definition, and the student should consult their instructor when in doubt.) Thus, if students have reviewed any outside source, whether published or not, and have incorporated any of its "language, structure, ideas, and/or thoughts" into their work without acknowledging that source, they may be guilty of misrepresenting the work's originality. [Furthermore, in citing a reference, students must change both the sentence structure and the vocabulary (where possible) in expressing the original material in their own words.]

Copying includes a whole range of offenses. Everyone is familiar with stories involving a student who has "borrowed" or bought a term paper or laboratory report from a so-called research service, a fellow student, the Internet, or another similar source. Such wholesale copying is akin to the lifting of an assignment in its entirety from a book or journal article. In either case, the student in question submits work that is literally copied and transferred from one piece of paper to another; by claiming this work as their own, the student is clearly guilty of the most flagrant kind of plagiarism.

Another type of copying that is not as obvious, though equally serious, involves the translation of a part of a book, article, or other source into different words—paraphrasing. Although the language is not the same because the exact words of the source have been changed, the structure, ideas, and thoughts of the original author have been copied. Thus, the student who submits an assignment that simply paraphrases a source without identifying it may also be guilty of plagiarism.

Similarly, any combination of simple copying and paraphrasing, whether from one source or from many, is also a type of plagiarism, and the offender may be equally guilty as those students described above.

Because a person's ideas can be conveyed in many ways besides the written word, students should be aware that the copying of drawings, designs, photographs, graphs, illustrations, tables, primary data, derived equations, computer programs, verbal communications of ideas, and other sources may also constitute plagiarism, unless the source is acknowledged and properly documented.

For the purposes of the Virginia Tech honor system, plagiarism can be broadly defined as the act of appropriating the literary composition, language, structure, ideas, and/or thoughts, drawings, laboratory reports, or

computer programs of another or parts or passages thereof, and of passing them off as the original product of one's own mind. To be liable for plagiarism under the university's honor system, it is not necessary to duplicate another's literary work exactly; it being sufficient if unfair use of such work is made by lifting of substantial portions of it. Plagiarism is not confined to literal copying, but also includes any of the evasive variations and colorable alterations by which the plagiarist may disguise the source from which the material was copied. On the other hand, even an exact counterpart of another's work does not constitute plagiarism if such counterpart was arrived at independently.

EXAMPLES OF CORRECT AND INCORRECT USES OF SOURCES

The following four examples provide illustrations of three kinds of plagiarism, as well as the proper use and acknowledgement of sources. The excerpt from Niccolo Machiavelli's *The Prince* is quoted from W. K. Marriott's translation (New York: E. P. Dutton, 1908), p. 37. The excerpts from student papers have been written for the purposes of this document.

FLAGRANT PLAGIARISM

Excerpt from The Prince

Whenever those states which have been acquired as stated have been accustomed to live under their own laws and in freedom, there are three courses for those who wish to hold them: the first is to ruin them, the next is to reside there in person, the third is to permit them to live under their own laws, drawing a tribute, and establishing within it an oligarchy which will keep it friendly to you. Because such a government, being created by the prince, knows that it cannot stand without his friendship and interest, and does its utmost to support him; and therefore he who would keep a city accustomed to freedom will hold it more easily by the means of its own citizens than in any other way.

Excerpt from a student paper

Whenever those *nations* which have been acquired have been accustomed to *living* under their own laws and in freedom, then there are three *options* for those who wish to *keep* them; the first is to ruin them, *second* is to reside there in person, and the *last* is to permit them to live under their own government, drawing a tribute, and establishing within it an oligarchy which will keep it friendly to you. Because

such a government, being created by the *ruler*, knows that it cannot stand without his friendship and interest, and does its utmost to gain his support, and therefore, he who would keep a city accustomed to freedom will hold it more easily by the means of its own citizens than in any other way.

Comments

This student paper is an example of the most obvious form of plagiarism. The writer has copied Machiavelli almost verbatim without any acknowledgment. There have been some minor changes. For example, the italicized words have been changed. "States" becomes "nations," "courses" becomes "options," etc.

PLAGIARISM THROUGH PARAPHRASING

Excerpt from The Prince

Whenever those states which have been acquired as stated have been accustomed to live under their own laws and in freedom, there are three courses for those who wish to hold them: the first is to ruin them, the next is to reside there in person, the third is to permit them to live under their own laws, drawing a tribute, and establishing within it an oligarchy which will keep it friendly to you. Because such a government, being created by the prince, knows that it cannot stand without his friendship and interest, and does its utmost to support him; and therefore he who would keep a city accustomed to freedom will hold it more easily by the means of its own citizens than in any other way.

Excerpt from a student paper

There are basically three methods to maintain control over nations which formerly enjoyed their independence. First the nation can be completely destroyed. Second, the king can personally reside in the conquered territory. Finally, the king can permit them to live under their own rules; he would then levy a tax and establish a ruling clique which would be loyal to him. Since this government is created and maintained by the conquering power, the puppet government will do its utmost to support him in order to keep his friendship. In addition, by establishing a puppet government in such a manner, he will gain the allegiance of its citizens.

Comments

By paraphrasing the paragraph taken from Machiavelli, the student attempted to disguise the source of material. Nevertheless, it is quite obvious that the sentences of this writer parallel those of the Machiavelli text and are identical in meaning.

PLAGIARISM OF AN IDEA

Excerpt from The Prince

Whenever those states which have been acquired as stated have been accustomed to live under their own laws and in freedom, there are three courses for those who wish to hold them: the first is to ruin them, the next is to reside there in person, the third is to permit them to live under their own laws, drawing a tribute, and establishing within it an oligarchy which will keep it friendly to you. Because such a government, being created by the prince, knows that it cannot stand without his friendship and interest, and does its utmost to support him; and therefore he who would keep a city accustomed to freedom will hold it more easily by the means of its own citizens than in any other way.

Excerpt from a student paper

When the British established their empire in Asia and Africa during the eighteenth and nineteenth centuries, they were faced with the problem of how to govern and control effectively these areas which had formerly lived under their own government. There were essentially three methods of achieving this end: destroying the country; establishing direct rule through governors appointed by the king; and maintaining indirect control through the already established governing structure. The British chose indirect rule. Through indirect rule, the former officials realized that their position was now dependent upon the British. Consequently, their allegiance was assured, and through them the British obtained substantial economic benefits. In addition, the people, seeing their leaders still in power, obediently supported the indirect rule of the British.

Comments

The student has used the ideas of Machiavelli in describing a historical event. Machiavelli lists three methods of governing and controlling a state that had formerly been independent, and then shows the relative advantage of pursuing the last method. The student does not acknowledge the use of the description of the three

methods of control nor the advantages of the last method when applying Machiavelli's idea to a specific example.

CORRECT USE OF PARAPHRASING AND DIRECT QUOTATIONS

Excerpt from The Prince

Whenever those states which have been acquired as stated have been accustomed to live under their own laws and in freedom, there are three courses for those who wish to hold them: the first is to ruin them, the next is to reside there in person, the third is to permit them to live under their own laws, drawing a tribute, and establishing within it an oligarchy which will keep it friendly to you. Because such a government, being created by the prince, knows that it cannot stand without his friendship and interest, and does its utmost to support him; and therefore he who would keep a city accustomed to freedom will hold it more easily by the means of its own citizens than in any other way.

Excerpt from a student paper

When the British established their empire in Asia and Africa during the eighteenth and nineteenth centuries, they were faced with the problem of how to govern these formerly independent areas effectively. According to Niccolo Machiavelli, in *The Prince*, a ruler had three options. He could destroy them, "reside there in person," or "permit them to live under their own laws, drawing a tribute and establishing within it an oligarchy which will keep it friendly to you."¹ Machiavelli felt that through this third method the conqueror gained the support of the former leaders and their subjects.²

The British seemed to apply this third method through their indirect rule concept. In other words, the British maintained control using the former leaders as figureheads. The former leaders realized that their position was now dependent upon the British. Consequently, their allegiance was assured and through them substantial economic benefits were obtained. In addition, the people, seeing their leaders still in power, obediently supported the indirect rule of the British.

¹ Niccolo Machiavelli, *The Prince*, trans. and intro. W. K. Marriott (New York; E.P. Dutton, 1908), p.37.

² Machiavelli, p.37.

Comments

In this instance, the student has correctly footnoted the ideas of Machiavelli, which he has paraphrased and quoted. The writer has then applied Machiavelli's ideas to a more recent historical event.

THE PROBLEM OF COMMON KNOWLEDGE

The concept of common knowledge is one of the more difficult points to explain in any consideration of plagiarism. How can a student, often a novice in the subject, determine whether an idea or fact included in a paper is so widely known that it is considered common knowledge and requires no documentation? A few general guidelines for solving this dilemma can be suggested, but none is inviolate. Given the seriousness of plagiarism, the prudent writer cites a reference whenever he or she is uncertain.

1. Concepts and facts widely known outside of the specific area of study are generally considered common knowledge. These include undisputed dates (e.g. the adoption of the Declaration of Independence on July 4, 1776), scientific principles (e.g. Newton's Laws of Motion), and commonly accepted ideas (e.g., Hamlet's role as a tragic hero). Such data require no specific reference. Students should be aware, however, that the addition of minor informational embellishments might require documentation (e.g., that the Declaration of Independence was unanimously adopted by the American colonies on July 4, 1776, despite the abstention of New York).
2. The fact that material appears in a dictionary, encyclopedia, handbook, or other reference work or textbook does not guarantee that it is common knowledge. Such books are written by experts, and most of the information they contain is not widely known.
3. There is no simple test to determine whether information is common knowledge. In case of doubt, the student should consult his or her instructor.

DOCUMENTATION

To avoid plagiarism in writing, the student must be familiar with the concept of documentation. Terminology and methodology concerning proper ways to acknowledge sources are probably more confusing to students than any other aspect of research reporting. The purpose of documenting a source is first to give proper credit to others for their original words, thoughts, and ideas, and second to enable the interested reader to locate the original source in

order to read or study further. Keeping this latter purpose in mind, one finds that the rules regarding documentation make more sense. Therefore, students should familiarize themselves with the proper methods of providing citations and bibliographies both to document their sources and to provide the reader with the necessary data to locate further information on the subject.

INDICATING QUOTATIONS

Whenever the exact wording of a source appears in a student paper, that fact must be made apparent to the reader. This goal can be accomplished in two ways. Brief quotations should be enclosed in quotation marks, whether complete sentences, phrases, or single significant words which have been incorporated into the student's own sentence or into a paraphrase or a longer excerpt of the source. The student should be careful to denote precisely where the source's exact wording begins and ends by the appropriate placing of opening and closing quotation marks.

Longer quotations (of more than three lines) should be indented ten spaces from the left-hand margin. Again, the beginning and ending of quoted material should be clearly indicated.

All direct quotations must be signified in one of these ways.

CITATIONS

Immediately following every piece of quoted or paraphrased material, some type of reference is required. The method used varies according to the field of study for which the paper is written; thus, students should ask instructors which style manual to use in preparing papers for their courses. Examples of two commonly used methods follow.

1. Footnotes or Endnotes: A small numeral in the text refers to a complete reference, similarly numbered, at the foot of the page or at the end of the paper. Notes should be numbered sequentially, beginning with "1."

Example:

"Congruence...between the self concept and the ideal self is one of the most fundamental conditions for both general happiness and for satisfaction in specific life areas."¹

¹Alfred L. Brophy, "Self, Role, and Satisfaction," *Genetic Psychology Monographs*, 59 (May 1959), 300.

2. Author-Date Citation: Following a quotation or paraphrase, the author's name and the publication date of the work appear in parentheses and refer the reader to the bibliography at the end of the paper.

Example:

For a person to be truly happy, his or her self concept must more or less coincide with the ideal self he or she envisions (Brophy, 1959).

BIBLIOGRAPHY OR LIST OF CITED REFERENCES

A list of all sources used, arranged alphabetically by the authors' last names, should appear at the end of every paper. Each entry should contain all information necessary for a reader to retrieve the work. Book entries usually include author's name, book title, and publication data (city, publisher, and date). Entries for periodical articles generally include author's name, article title, periodical title, volume number, date of issue, and pages on which the article appears. Students should make whatever adjustments that are necessary to these general rules so that entries coincide with the format prescribed by an instructor or by a specific manual. (An example of one type of bibliography format can be found in the list of style manuals which follows.)

Huth, E.J. *Scientific Style and Format: The CBE Manual for Authors, Editors, and Publishers*. 6th ed. Council of Biology Editors, 1994.

Winkler, A.C. & McCuen-Metherell, J.R. *Writing the Research Paper: A Handbook, 2009 MLA Update Edition*. Wadsworth Publishing, 7th ed., 2009.

Modern Language Association. *MLA Handbook for Writers of Research Papers, Theses, and Dissertations*. New York: MLA. 7th ed., 2009.

Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations*. 7th ed. Chicago: University of Chicago Press, 2007.

This appendix is not intended to suggest or endorse any specific method of documentation. Rather, its purpose is to remind students that acknowledgment of sources is necessary. The examples given above are provided as illustrations of some of many possibilities. The final authority regarding methods of documentation is the course instructor; students should choose a system of documentation and use it consistently throughout a paper. The following style manuals are commonly used.

American Psychological Association, *Publication Manual of the American Psychological Association*, 6th ed. Washington: APA, 2009.

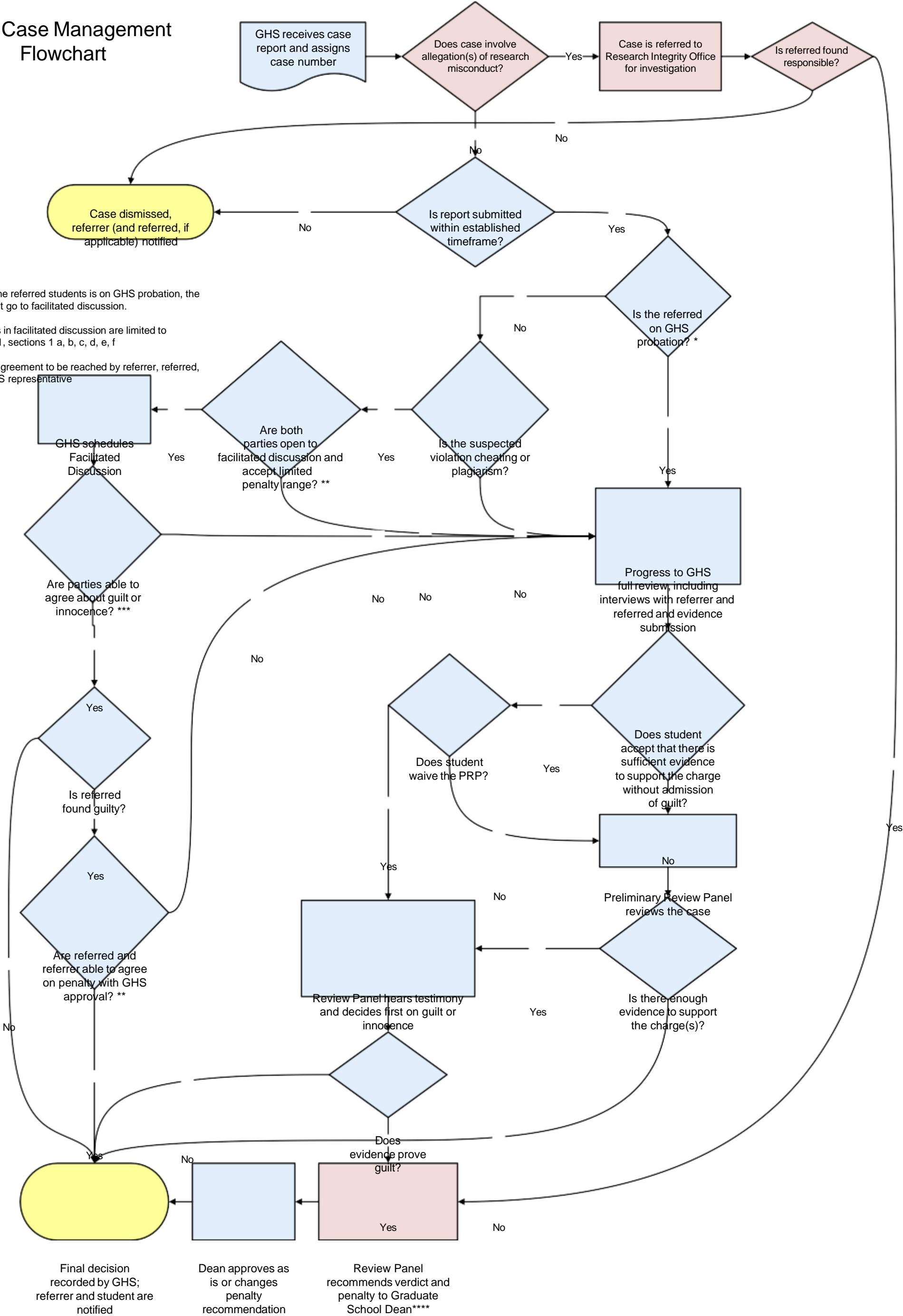
Campbell, W.G., Ballou, S.V. and Slade, C. *Form and Style: Theses, Reports, Term Papers*. Boston: Houghton Mifflin Harcourt, 2007.

GHS Case Management
Flowchart

* If any of the referred students is on GHS probation, the case can't go to facilitated discussion.

** Penalties in facilitated discussion are limited to Penalty 1, sections 1 a, b, c, d, e, f

*** 3-party agreement to be reached by referrer, referred, and GHS representative



**** In cases that are referred to the RIO, RPs include a RIO representative as well as the referred student(s) and referrer. The RP focuses its questions and deliberation solely on the appropriate penalty.

RESOLUTION TO RATIFY THE 2025-26 FACULTY HANDBOOK

MATERIALS INCLUDED

- Resolution
- Overview of Handbook Review Process and Changes
- Table Summarizing Revisions
- Redlined version of 2025-26 Faculty Handbook

RESOLUTION TO RATIFY THE 2025-26 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 regularly to incorporate editorial updates, actions that have been approved through shared governance, and 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 2025-26 Faculty Handbook that incorporates the revisions described in the attached overview and summary table, and indicated through the redlined version of the handbook that follows.

RECOMMENDATION:

That the Board of Visitors approve the resolution to ratify the 2025-26 Faculty Handbook.

June 3, 2025



FACULTY AFFAIRS
VIRGINIA TECH.

2025-26 Faculty Handbook Revisions

Faculty Handbook Review Process

OCTOBER

Call for review of the handbook from content experts across campus. Minor changes may be made administratively with appropriate justification. Other changes will be directed through the appropriate governance process for consideration.

FEBRUARY

Proposed changes due to allow time for items that are identified as needing to go through governance to be directed to the appropriate commission for consideration.

APRIL

Changes are reviewed with Commission on Faculty Affairs, then with University Legal Counsel and the Vice President for Policy and Governance.

JUNE

The handbook brought to Board of Visitors for approval.

JULY/AUGUST

A memo summarizing substantive changes sent to deans, department heads, HR division directors, and faculty senate president; the finalized handbook uploaded to Faculty Affairs webpage.

AUGUST-MAY

Resolutions moving through university governance that would affect language in the faculty handbook are monitored, any approved changes are incorporated into the handbook.

2025-26 Changes: Administrative



Reorganization of Chapter 2 description of faculty categories; reinsertion of descriptive tables; definitions added for consistency with other chapters; combined description of “General” and “College” faculty for clarity with role of research faculty who are based in colleges.



Adjusted language for consistency with policy changes where appropriate.



Revised titles, office/department names to reflect changes.



Updated references to policies and webpages for consistency, clarity, and accessibility.

2025-26 Changes: Governance

Section 1.1.12 Faculty Organizations

Section 2.2.5 Non-Discrimination, Harassment Prevention, Sexual Assault

Section 2.3.2 (and throughout) Faculty Reconciliation

Section 3.2.2 University Distinguished Professors

Section 5.1.4 Clinical Faculty Series

Section 6.1.2 Postdoctoral Associate

Chapter 7: A/P Grievance Process

Chapter 12: Virginia Tech Carilion School of Medicine

Section 1.1.12 Faculty Organizations

This change permits the creation of faculty organizations for the purpose of promoting faculty professional interests, networking ,and professional development. A university policy describing the process and procedures for registering and managing faculty organizations will be developed upon approval of this change.

Will be brought to Board of Visitors for approval at June 3, 2025 meeting.

Section 2.2.5 Non-Discrimination, Harassment Prevention, Sexual Assault

This change clarifies the ethical expectations that faculty do not engage in intimate relationships with those they supervise. It requires disclosure in the event of the emergence of such a relationship, it describes specific actions to implement appropriate mitigating measures to change the supervisory structure, and discusses possible sanctions should a faculty member fail to disclose.

Approved Board of Visitors at March 25, 2025 meeting.

Section 2.3.2 (and throughout) Faculty Reconciliation

This change eliminates the Faculty Senate Committee on Reconciliation and formalizes and codifies the role of a Director of Faculty Reconciliation (DFR) within the Office of Faculty Affairs, describes the role of the DFR, and confirms that they operate independently from the Office of Faculty Affairs. Faculty reconciliation is a complex process that requires professional training and extensive knowledge of the policies and administrative entities at Virginia Tech, and it has been challenging to identify faculty who are qualified to perform this function.

Will be brought to Board of Visitors for approval at June 3, 2025 meeting.

Section 3.2.2 University Distinguished Professors

This change aligns the Faculty Handbook with current practice by clarifying that, while University Distinguished Professors report directly to the President, administrative support for these esteemed faculty members is delegated to the Executive Vice President and Provost and managed by the Vice Provost for Faculty Affairs.

Approved Board of Visitors at March 25, 2025 meeting.

Section 5.1.4 Clinical Faculty Series

This change provides greater clarity regarding the expectations and distinctions between the Clinical Instructor and Clinical Professor tracks. It also brings the ranks within the Clinical Instructor track into alignment with those of the non-clinical instructor track, including the addition of new ranks in Clinical Instructor ranks to allow for promotion opportunities.

Approved Board of Visitors at March 25, 2025 meeting.

Section 6.1.2 Postdoctoral Associate

These changes align the handbook with current practice in the Office of Research and Innovation, clarifying the eligibility for postdoctoral status.

Will be brought to Board of Visitors for approval at June 3, 2025 meeting.

Chapter 7: A/P Grievance Process

This change clarifies the A/P faculty grievance process and updates the language regarding mediation.

Will be brought to Board of Visitors for approval at June 3, 2025 meeting.

Chapter 12: Virginia Tech Carilion School of Medicine

This chapter is being retired to reflect the full integration of the Virginia Tech Carilion School of Medicine (VTC SOM) into the university structure. Provisions unique to VTC SOM faculty have been relocated to the appropriate sections of the handbook, and all other content previously housed in Chapter 12 is reflected elsewhere in the Handbook.

Will be brought to Board of Visitors for approval at June 3, 2025 meeting.

Chapter	Section Number	Old Section No. (if applicable)	Section Name	Additional Details
all				Revisions made to format of policy titles, webpages, and tables to improve clarity and document accessibility; including: webpage and hyperlink references, consistency in policy and form titles, adjustments to table formatting to make them accessible.
all				Adjustments to reflect title changes, changes to policy names, and other unit name updates throughout.
1	1.1.1		University Shared Governance Structure	Updated governance chart to reflect current structure.
1	1.1.12		Faculty Organizations	Added through governance, will be brought to BOV for approval in June (CFA 2024-25K)
2	throughout			Description of faculty categories was expanded, reordered and restructured for clarity. Tables were added to provide quick reference.
2	2.0.1		Virginia Tech Statement on Freedom of Expression and Inquiry	Addition of statement from recommendations of the Task Force on Free Speech and Academic Freedom endorsed by the Board of Visitors on March 20, 2023
2	2.1		The General Faculty and Faculty Categories	Adjusted title to include "and Faculty Categories"; added additional description of general faculty consistent with other sections of the handbook; combined description of general faculty and college faculty for clarity; added in tables for each faculty category for quick reference.
2	2.1.1	2.2	Teaching and Research (T&R) Faculty	Added additional description of faculty category consistent with other sections of handbook; moved some descriptive language from form college faculty section to this section for clarity.
2	2.1.1.1	2.2.1.1	Tenure-Track and Tenured Faculty	Added additional description of faculty category consistent with other sections of handbook.
2	2.1.1.2	2.2.1.2	Instructional Faculty not on the Tenure-Track	Moved descriptive language from Chapter 5 to this section for clarity added table of faculty series/ranks to provide quick reference.
2	2.1.1.3	2.2.2	Research Faculty	Moved descriptive language from Chapter 6 to this section for clarity added additional clarification that some research faculty that may hold positions in academic units; added table of tracks/ranks for quick reference.
2	2.1.3	2.3.3	Administrative and Professional (A/P) Faculty	Moved section up (from 2.3.3); added additional clarification about University Libraries faculty (who is T&R, who is A/P).
2	2.2.1	2.3.1	University Libraries Faculty on the Continued Appointment Track or with Continued Appointment	Moved order of language within section.
2	2.2.2	2.3.2	Virginia Cooperative Extension Faculty (Extension)	Added additional description of faculty category consistent with other sections of handbook; added table of faculty track/racks to provide quick reference.
2	2.3	2.6	Appointment Types	Moved this section, including subsections, up from 2.6
2	removed	2.3.5.3.1	Faculty Buyout Agreements with Virginia Tech Carilion School of Medicine	Removed, no longer relevant post-integration
2	removed	2.3.5.3.2	Faculty Overload Payment Agreements with Virginia Tech Carilion School of Medicine	Removed, overload payments covered elsewhere in Chapter 2 (2.17).
2	2.2.4	2.3.5.3	The Faculty of the Virginia Tech Carilion School of Medicine	Update section number (was 2.3.5.3); removed paragraphs that refer to buyout agreements between VTCOSM and VT faculty, as those are no longer relevant; Moved language from Chapter 2 and 12 that describes the responsibilities of VTCOSM faculty, including those non-employed by VT; Moved up language describing the process for VT faculty to hold affiliated appointments in the VTCOSM.
	2.2.4.1	12.4	VTCOSM Conflicts of Commitment and Interest	Moved from Chapter 12 (VTCOSM) through governance, will be brought to BOV for approval in June (CFA 2024-25J)
	2.2.4.2	12.5	Additional Policy Obligations	Moved from Chapter 12 (VTCOSM) through governance, will be brought to BOV for approval in June (CFA 2024-25J)
2	2.2.4.3	12.2	Tenure-to-Title Faculty Appointments	Moved from Chapter 12 and revised through governance, will be brought to BOV for approval in June (CFA 2024-25J)
2	2.2.5	2.3.4	Emeritus or Emerita Designation	Moved from 2.3.4 to more appropriate section of chapter (Additional Faculty Categories)
2	2.4		Faculty Search Processes	Revised to accommodate changes to process in compliance with federal guidance
2	2.4.1		Searches	Revised to address office name change and to assure compliance with federal guidance
2	2.7		Documentation of U.S. Citizenship or Lawful Authorization to Work in the U.S.	Added reference to I-9 as the form of documentation needed.
2	2.13		Types of Leave and Leave Reporting for all Faculty	Revision from Human Resources: adjusted language for clarity
2	2.16		Geographical Transfer	revised language to accommodate discontinuance of Controller's Office Procedure 20345: Moving and Relocation Expenses
2	2.19		Resignation	Clarifying language suggested by Human Resources to encourage retirees to disclose sooner so departments can plan for their departure.
2	2.24	2.25	Non-Discrimination, Harassment Prevention, Sexual Assault	Revised and updated description of intimate relationships, per resolution approved by BOV on March 25, 2025 (CFA 2024-25D).
2	2.32	2.31.2	Faculty Reconciliation	Revisions made through governance, will be brought to BOV meeting in June for approval (CFA 2024-25H). Related changes to nomenclature made throughout other chapters (incl. 4.7.1, 4.7.2, 5.4.1, 5.4.2, 6.12.1, 6.12.2, 7.8.1)

Chapter	Section Number	Old Section No. (if applicable)	Section Name	Additional Details
2	2.36		Conflicts of Interest	adjusted language for consistency with forthcoming policy changes
3	3.4		Promotion and Tenure	Revised description of appeals process per resolution approved by BOV on March 25, 2025 (CFA 2024-25E).
3	2.6.8	3.2.1	Endowed Chairs, Professorships, and Fellowships	There are endowed faculty appointments for non-tenure track faculty as well, so this section is being moved to Chapter 2 to apply to all faculty.
3	3.2.1	3.2.2	Alumni Distinguished Professor	Updated section number after moving section 3.2.1 (Endowed appointments) to Chapter 2
3	3.2.2	3.2.3	University Distinguished Professor	Updated section number after moving section 3.2.1 (Endowed appointments) to Chapter 2; added language per resolution approved by BOV on March 25, 2025 (CFA 2024-25B).
4	4.9	4.1	Work-Life Resources for Continued Appointment Track and Continued Appointment Faculty	Corrected section number and updated section to reflect restructured Dual Career Program in HR.
5	5		Eligibility to Serve as Principal Investigator	"department heard" to "department head"
5	5.1.1		Visiting Professor	To accommodate VTCSOM faculty appointments, change section name to "Visiting Faculty"; change first sentence to read: "Appointment to visiting faculty positions is for a restricted period to conduct learning, discovery, and engagement responsibilities within an academic department or school." (CFA 2024-25J)
5	5.1.2		Adjunct Professor	To accommodate VTCSOM faculty appointment types, change section name to "Adjunct Faculty" and updated related text (CFA 2024-25J). Will be brought to BOV for approval on June 2, 2025.
5	5.1.4		Clinical Faculty Series	Updates to this section to include a Clinical Instructor Track (5.1.4.1) in addition to the Clinical Professor Track (5.1.4.2), per resolution approved by BOV on March 25, 2025 (CFA 2024-25A).
5	5.1.5		Collegiate Faculty Series	Sentence referencing exclusion of service was unintentionally deleted from 2023-24 handbook.
5	5.1.6		Instructor Ranks	Reinstated sentence referencing exclusion of service was unintentionally deleted from 2023-24 handbook.
6	6.1.2		Postdoctoral Associate	Changes made through governance, will be brought to BOV meeting in June for approval (COR 2024-25A)
	6.4		Searches for Research Faculty	Revised for consistency with changes made to 6.1.2 through governance, will be brought to BOV meeting in June for approval (COR 2024-25A)
7	7.2		Administrative and Professional Faculty Rank and Title	Updated language to reflect description from job architecture project.
7	7.8		Grievance Policy and Procedures for Administrative and Professional Faculty	Revisions to clarify process, will be brought to Board of Visitors on June 3, 2025 for approval (CAPFA 2024-25A).
7	7.1.2		Professional Faculty	Updated language to reflect description from job architecture project.
7	7.8.1		Ombuds, Mediation Services	Updated description of process and resources CAPFA 2024-25A; Sections 3.11.1, 4.7.1, 5.4.1, and 6.12.1 revised for consistency with these changes. Further adjusted for consistency with changes made to Chapter 3 (faculty reconciliation) through CFA. Will be brought to Board of Visitors on June 3, 2025 for approval (CFA 2024-25H).
7	7.8.2		The Formal Grievance Procedure	Update description of process and procedures, will be brought to Board of Visitors on June 3, 2025 for approval (CAPFA 2024-25A).
7	7.8.3		Timeliness of Grievance and Procedural Compliance	Update description of process and procedures, will be brought to Board of Visitors on June 3, 2025 for approval (CAPFA 2024-25A).
7	7.8.4		Valid Issues for Grievance	Update description of process and procedures, will be brought to Board of Visitors on June 3, 2025 for approval (CAPFA 2024-25A).
7	7.8.5		Particular Concerns and Definitions	Update description of process and procedures, will be brought to Board of Visitors on June 3, 2025 for approval (CAPFA 2024-25A).
7	7.8.6		Overview of the Formal Grievance Process for Administrative and Professional Faculty	Update description of process and procedures, will be brought to Board of Visitors on June 3, 2025 for approval (CAPFA 2024-25A).
8	8		Policies for Graduate Assistants, Graduate Research Assistants, and Graduate Teaching Assistants	additional webpage referenced, link updated
9	9.14		Faculty Awards for Teaching, Advising, Research, and Outreach	This section was unintentionally removed from the 2019-20 FHB, and should be included for reference and for consistency with PPM 458.
9	9.5		Grading Systems	Removed language about projected grades as that process is no longer in place.
9	9.8.2.1		Graduate School Honor System	Corrected name "Graduate Honor System", added link to Constitution of Graduate Honor System, and added a reference to faculty resources webpage.
10	10.5.2		Teaching and Research with Animals	Language regarding animal welfare compliance updated to reflect current national and international policy.
10	10.5.3		Laboratory Research	Revised language to reference university policy rather than federal policy to avoid redundancy.
11	11.3		Retirement Plans	Updated to reflect current benefits/resources.
12	12.0		Virginia Tech Carilion School of Medicine (VTCSOM) Faculty	First paragraph no longer necessary. Part of changes brought through governance; will be brought to Board of Visitors on June 3, 2025 for approval (CFA 2024-25J)
12	12	13	Emergency Preparedness	changed chapter number and related sections numbers to reflect removal of former Chapter 12 (VTCSOM); will be brought to Board of Visitors on June 3, 2025 for approval (CFA 2024-25J)
-	removed	Chapter 12	Virginia Tech Carilion School of Medicine	Integrated into Chapters 2 and 5; will be brought to Board of Visitors on June 3, 2025 for approval (CFA 2024-25J)



2025-26 VIRGINIA TECH FACULTY HANDBOOK

DRAFT-for Approval June 3, 2025

Virginia Tech Board of Visitors

Office of the Executive Vice President and Provost

Office of Vice President for Policy and Governance

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.

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CHAPTER ONE: MISSION AND GOVERNANCE OF THE UNIVERSITY

1.0 Mission of the University

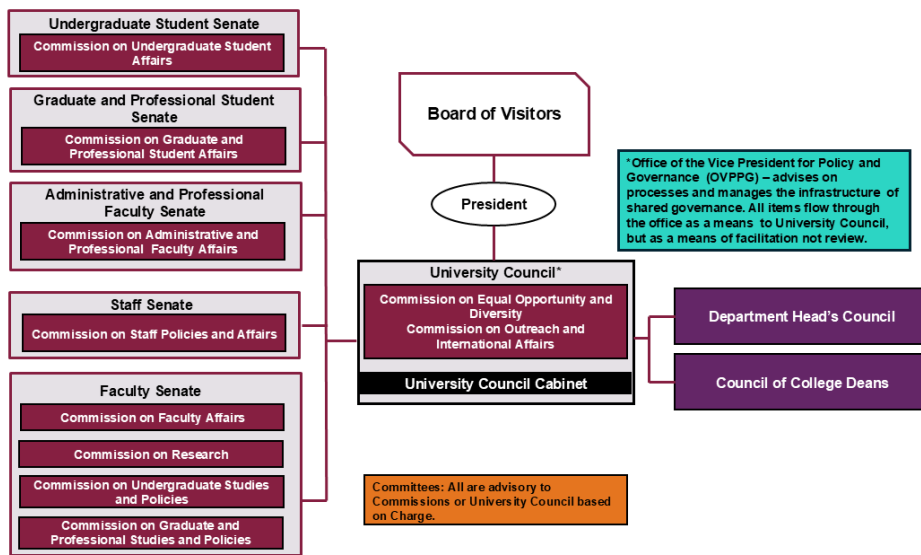
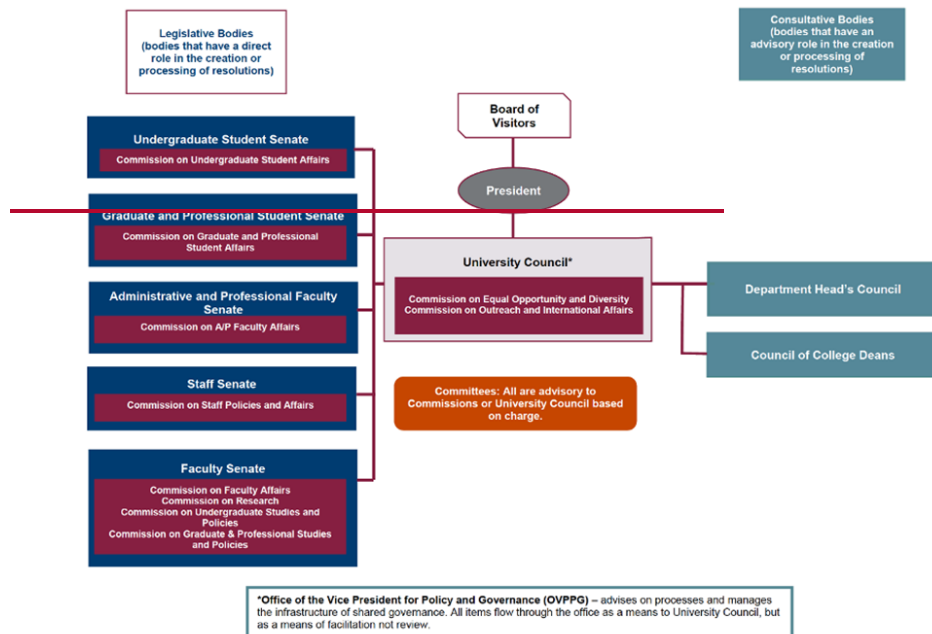
Inspired by our land-grant identity and guided by our motto, *Ut Prosim* (That I May Serve), Virginia Polytechnic Institute and State University (Virginia Tech) is an inclusive community of knowledge, discovery, and creativity dedicated to improving the quality of life and the human condition within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

1.1 Governance of the University

The Board of Visitors is the governing body of the university. The board appoints the president of the university who serves as the chief executive. The president may delegate authority to the executive vice president and provost (provost), executive vice president and chief operating officer ([EVPCOO](#)), and vice presidents.

1.1.1 University Shared Governance Structure

[Consult](#).



1.1.2 Board of Visitors

For more information, consult [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 or 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, schools, 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 Principles of Shared Governance

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. [For more information, consult Shared Governance at Virginia Tech.](#)

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:

- To provide an environment conducive to the pursuit of learning, teaching, scholarship, research, and service.
- 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 each senate 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

- [Administrative and Professional Faculty Senate](#)
- [Faculty Senate](#)
- [Graduate and Professional Student Senate](#)
- [Staff Senate](#)
- [Undergraduate Student Senate](#)

Purpose. The senates are accountable to and responsible for representing the collective voice of their respective constituencies. Each senate provides 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.

1.1.7 University and Senate Commissions

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

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

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

University Commissions (2)

(part of and whose policy recommendations are made directly to the University Council)

- [Commission on Equal Opportunity and Diversity](#)
- [Commission on Outreach and International Affairs](#)
- Senate Commissions (8)

(part of and whose policy recommendations are made to one of the senates)

Administrative and Professional Faculty Senate

- [Commission on Administrative and Faculty Affairs](#)

Faculty Senate

- [Commission on Faculty Affairs](#)
- [Commission on Research](#)
- [Commission on Undergraduate Studies and Policies](#)
- [Commission on Graduate and Professional Studies and Policies](#)

Staff Senate

- [Commission on Staff Policies and Affairs](#)

Undergraduate Student Senate

- [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
- Employee Benefits Faculty Honorifics
- Information Technology Services and Systems Intellectual Property
- Library
- Transportation and Parking
- University Curriculum Committee for General Education

1.1.9 Council of College Deans

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

1.1.10 Department Heads Council

Inclusive of school directors, 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 (VTCOM) faculty are formally organized in a faculty assembly the composition of which is determined by the school's bylaws.

1.1.12 Faculty Organizations

Faculty organizations may be established by faculty for the purposes of building communities of practice and networking for professional development. These organizations may be comprised of faculty around certain disciplinary interests.

experiences, or towards specific goals. These faculty organizations have constitutions that designate their purposes, membership, officers, election procedures, standing committees and their duties, and other organizational and procedural matters. These faculty organizations do not have a formal role in university governance but are recognized by and supported in their activities, as appropriate, by the office of the Vice Provost for Faculty Affairs.

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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 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

[For more information, consult \[Policies at Virginia Tech\]\(#\)](#). In addition to [the](#) 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~~ **PPMs** 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 University 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 Council includes all vice presidents, deans, institute directors and senior leaders reporting to the president. The Council is focused on continuous strategic planning and priorities that support the university's strategic plan, The Virginia Tech Difference, Advancing Beyond Boundaries.

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

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

1.3.2 Executive Vice President and Provost (**Provost**)

The **provost** is an executive level administrator responsible for creating, guiding, and achieving institutional priorities and strategies. The provost provides executive and strategic leadership to academic areas and has multiple vice presidents and /or senior vice presidents within their organizational structure. The provost is a strategic leader within the university and has broad operational, administrative, and financial authority. The 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 (EVPCOO)

The 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 Presidents

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 Presidents

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 provost and are responsible for the academic activities of their 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.

1.4.1.1 College Deans

Deans of the nine colleges are appointed by the provost, approved by the university president and Board of Visitors, and may be reappointed indefinitely.

- [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](#)

Virginia Tech is accredited by the [Southern Association of Colleges and Schools Commission on Colleges \(SACSCOC\)](#). For purposes of accreditation, the college 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”](#).

1.4.1.2 Academic Deans

Academic deans are appointed by the provost, approved by the university president and Board of Visitors, and may be reappointed indefinitely.

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 under the supervision of department heads, chairs, and school directors who report to a college dean. 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 of 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 and appointments are under the purview of the Board of Visitors.

2.0.1 Virginia Tech Statement on Freedom of Expression and Inquiry

Virginia Tech unequivocally commits to upholding freedom of speech and academic freedom.

Virginia Tech affirms the rights guaranteed by the First Amendment of the U.S. Constitution, including the right to freedom of speech. The First Amendment requires the university to protect the expression of ideas and opinions, including those that people may find controversial, disagreeable, or offensive. Freedom of speech, like all rights in the Constitution, is not absolute. While most speech is protected by the First Amendment, it does not protect speech or actions that violate the law, such as incitement, defamation, threats, privacy violation, or intellectual property infringement, nor does it protect against unlawful harassment or discrimination. In addition, the First Amendment allows the university to regulate the time, place, and manner of expression. At Virginia Tech, freedom of speech should be exercised in a manner that ensures a learning environment that supports and promotes civil debate and mutual respect across differences.

Academic freedom, free expression, and open inquiry are core principles of higher education. Academic freedom enables scholars to conduct research, teach, speak, and publish within an area of expertise without interference or penalty. Academic freedom is essential to create and disseminate knowledge with the mission of improving the quality of life and the human condition within the Commonwealth of Virginia and throughout the world. Virginia Tech must ensure that all members of the university community can ask questions, listen to others, and learn through exposure to a range of ideas from a diverse community of scholars. Virginia Tech is committed to defending academic freedom and freedom of speech while providing a diverse and inclusive learning and work environment.

2.0.1.2 Annual Evaluation and Salary Adjustments

The Board of Visitors delegates the authority to the president or the president's designee for selected faculty appointments and compensation actions as outlined in the Amended Delegation of Authority for Selected Personnel Actions dated June 11, 2024.

The Board of Visitors annually approves a faculty compensation plan, including the authorization of an annual merit process guided by the university's Faculty Handbook and processes provided by the commonwealth. 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

Commented [RG2]: Addition of statement from recommendations of the Task Force on Free Speech and Academic Freedom endorsed by the Board of Visitors on March 20, 2023

professional (A/P) faculty, and research faculty; salary adjustments within the evaluation period, and the pay structure.

Annual Faculty Activity Report (FAR). 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, school, college, or administrative unit, as appropriate. Submission of a ~~faculty activity report (FAR)~~ may be required for consideration for a merit adjustment.

Virginia Tech uses an electronic faculty activity data system to collect and manage information about research and scholarship, creative works, teaching, Extension, outreach, and service activities. This system automates the production of annual faculty activity reports, promotion and tenure dossiers, and CVs, as well as department, school, college, and university level reports. The system also enables deposit and claiming of scholarly works in the [VTechWorks](#) institutional repository and will feed public web profiles using [VT Experts](#). Training for faculty is available through Virginia Tech's [Professional Development Network](#) and for departments on request. Faculty members should consult with their department head, chair, school director, or supervisor on the use of electronic faculty activity reporting.

2.1 The General Faculty ~~and Faculty Categories~~

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

Appointments to the faculty may be regular or restricted as described in section 2.36 "Appointment Types". 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.

The General Faculty is comprised of Teaching & Research (T&R) faculty, and Administrative and Professional (A/P) faculty, with ~~the General Faculty is also comprised of additional categories including, including~~ University Libraries Faculty with Continued Appointment or on the Continued Appointment Track, Faculty of Health Sciences, Virginia Tech Carilion School of Medicine Faculty with Tenure-to-Title, and Emeritus Faculty.

Teaching and Research Faculty

- Tenure-Track and Tenured Faculty (Chapter 3)
- Instructional Faculty not on the Tenure-Track (Chapter 5)
- Research Faculty (Chapter 6)

Administrative and Professional Faculty

- Administrative Faculty (Chapter 7)
- retiretireProfessional Faculty (Chapter 7)

Additional Categories

- University Libraries Faculty with Continued Appointment or on the Continued Appointment Track (Chapter 4)
- Faculty of Health Sciences (Chapter 3,5,7)
- Virginia Cooperative Extension Faculty (Extension) (Chapters 3, 5)
- Faculty of the Virginia Tech Carilion School of Medicine (VTCSOM) Virginia Tech Carilion School of Medicine Faculty with Tenure to Title (Chapter 3,5,7)
- Emeritus Faculty (Chapter 2)

~~Appointments to the faculty may be regular or restricted. Restricted appointments have start and end dates and should be designated as restricted 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.~~ **2.2 1.1 Teaching and Research (T&R) Faculty (T&R)– College Faculty and Research Faculty**

T&R faculty ~~are teaching~~ are teaching ~~faculty members with substantial responsibilities for undergraduate and graduate instruction, research/creative activities, and service/engagement. include the college faculty and research faculty. Tenure-track, tenured, research, and instructional faculty not on the tenure-track. Tenure-track, tenured, instructional faculty not on the tenure-track, tenure-track or tenured Extension faculty, and research faculty, and University Libraries faculty with continued appointment or on the continued appointment-track are collectively referred to as Teaching and Research (T&R) faculty, although the duties of research and Extension faculty may have a small or no instructional component, and non-tenure-track instructional faculty may have a small or no research component.~~ are teaching faculty members with substantial responsibilities for undergraduate and graduate instruction, research/creative activities, and service/engagement. include the college faculty and research faculty. Tenure-track, tenured, research, and instructional faculty not on the tenure-track. Tenure-track, tenured, instructional faculty not on the tenure-track, tenure-track or tenured Extension faculty, and research faculty, and University Libraries faculty with continued appointment or on the continued appointment-track are collectively referred to as Teaching and Research (T&R) faculty, although the duties of research and Extension faculty may have a small or no instructional component, and non-tenure-track instructional faculty may have a small or no research component.

T&R 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.

~~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.~~

2.21.1.1 Tenure-Track and Tenured Faculty

Ranks: assistant professor, associate professor, professor

~~Tenured and tenure-track faculty are T&R faculty with substantial responsibilities for teaching, scholarship, and service and who hold tenured appointments or who are on the tenure-track, including Extension faculty with tenure or on the tenure-track. College faculty include teaching and research faculty (T&R) who are tenured or on the tenure-track.~~ These faculty appointments typically require a terminal degree and are appointed to regular positions. See chapter three of this handbook.

2.21.1.2 Instructional Faculty not on the Tenure-Track

~~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, school, 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. College faculty may also be instructional faculty not on the tenure track appointed to regular or restricted positions. These faculty are teaching and research faculty (T&R).~~ See chapter five of this handbook.

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Series	Ranks	
Visiting Faculty		
Adjunct Faculty		
Professor of Practice	<ul style="list-style-type: none">▪ Assistant Professor of Practice▪ Associate Professor of Practice▪ Professor of Practice	
Clinical Faculty	<ul style="list-style-type: none">▪ Clinical Instructor▪ Advanced Clinical Instructor▪ Senior Clinical Instructor	<ul style="list-style-type: none">▪ Clinical Assistant Professor▪ Clinical Associate Professor▪ Clinical Professor

<u>Collegiate Faculty</u>	<ul style="list-style-type: none"> ▪ <u>Collegiate Assistant Professor</u> ▪ <u>Collegiate Associate Professor</u> ▪ <u>Collegiate Professor</u>
<u>Instructor</u>	<ul style="list-style-type: none"> ▪ <u>Instructor</u> ▪ <u>Advanced Instructor</u> ▪ <u>Senior Instructor</u>

2.21.2-1.3 Research Faculty

Research faculty are designated to promote and expedite university research activities. Research faculty are typically employed on sponsored grants and contracts and are on a restricted appointment to carry out research or outreach projects. The duties of research faculty may have a small or no instructional component. Some research faculty may hold full- or part-time positions in academic departments, schools, or colleges.

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.

See chapter six of this handbook.

<u>Track</u>	<u>Ranks</u>
<u>Postdoctoral Associate</u>	
<u>Research Associate</u>	<ul style="list-style-type: none"> ▪ <u>Research Associate</u> ▪ <u>Senior Research Associate</u>
<u>Research Scientist</u>	<ul style="list-style-type: none"> ▪ <u>Research Scientist</u> ▪ <u>Senior Research Scientist</u>
<u>Research Professor</u>	<ul style="list-style-type: none"> ▪ <u>Research Assistant Professor</u> ▪ <u>Research Associate Professor</u> ▪ <u>Research Professor</u>

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Commented [RG5]: Added for clarity and consistency with other faculty categories.

2.31.3 Administrative and Professional (A/P) Faculty

There are two categories of A/P faculty: administrative, and professional faculty. 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 or school for an administrative or professional faculty member are in chapter seven.

University Libraries faculty not on the continued-appointment track are considered A/P faculty. The rank held by a University Libraries faculty member does not imply a particular

rank in any college department or school. University Libraries faculty may hold concurrent adjunct status in a college department or school to formally recognize their contributions to the undergraduate or graduate program.

Employment policies for administrative and professional (A/P) faculty, including those regarding the assignment of a faculty rank in a college department or school for an A/P faculty member, are described in chapter seven of this handbook.

2.31.3.1 Administrative Faculty

Administrative faculty members are referred to as executive or senior administrators to accurately reflect the nature of these appointments. (See chapter one Central Administration and chapter seven Administrative Faculty of this handbook).

Administrative These faculty may have a rank other than lecturer, may hold an academic rank in a college department or school, and may be tenured. A/P faculty members with academic rank are considered General, College, or T&R faculty. See chapter one and chapter seven of this handbook.

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2.31.3.2 Professional Faculty

Rank: lecturer

Professional faculty are administrators with responsibilities in a variety of roles and appointments. The professional A/P faculty include positions with significant managerial, supervisory, and budgetary oversight within a unit, and positions that provide direct services. Professional faculty 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.

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2.3–2 Additional Faculty Categories — University Libraries Faculty, Virginia Cooperative Extension Faculty, Administrative and Professional (A/P) Faculty

2.32.1 University Libraries Faculty on the Continued Appointment Track or with Continued Appointment

Ranks: assistant professor, associate professor, professor

University Libraries faculty with continued appointment or on the continued appointment-track ~~They perform a unique and indispensable function in the educational process and share many of the professional concerns of their college colleagues.~~ are in chapter four of this handbook.

University Libraries faculty may or may not hold an appointment in a college. The rank held by a University Libraries faculty member does not imply a particular rank in any college department or school. University Libraries faculty may hold concurrent adjunct status in a college department or school to formally recognize their contributions to the

~~undergraduate or graduate program. 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 or school. University Libraries faculty may hold concurrent adjunct status in a college department or school to formally recognize their contributions to the undergraduate or graduate program.~~ [See chapter four of this handbook.](#)

2.32.2 Virginia Cooperative Extension Faculty (Extension)

Rank: lecturer

Extension faculty [may or may not be tenured or on the tenure-track](#). Those faculty who [are tenured or on the tenure-track](#) are considered T&R faculty and are described in the [prior section](#). Those faculty not on the tenure-track are [considered](#) administrative and professional (A/P) faculty. [Extension faculty disseminate knowledge through 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, and covered by policies in chapter seven.](#)

The rank held by a faculty member in Extension does not imply a particular rank in any college department or school. Extension faculty may hold concurrent adjunct status in a college department or school to formally recognize their contributions to the undergraduate or graduate program. [For A/P Extension faculty see chapter seven of this handbook.](#)

<u>Track</u>	<u>Ranks</u>
<u>Extension Agent</u>	<ul style="list-style-type: none">▪ associate extension agent▪ extension agent▪ senior extension agent
<u>Extension Specialist</u>	<ul style="list-style-type: none">▪ associate extension specialist▪ extension specialist▪ senior extension specialist
<u>4-H Center Program Director</u>	<ul style="list-style-type: none">▪ associate program director▪ program director▪ senior program director

~~2.3.3 Administrative and Professional (A/P) Faculty~~

~~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 or school for an administrative or professional faculty member are in chapter seven.~~

2.3.3.1 Administrative Faculty

~~Administrative faculty members are referred to as executive or senior administrators to accurately reflect the nature of these appointments (See chapter one Central Administration and chapter seven Administrative Faculty of this handbook).~~

~~Administrative faculty may have a rank other than lecturer, may hold an academic rank in a college department or school, and may be tenured. A/P faculty members with academic rank are considered General, College, or T&R faculty.~~

2.3.3.2 Professional Faculty

Rank: lecturer

~~Professional faculty are administrators with responsibilities in a variety of roles and appointments. The professional A/P faculty include positions with significant managerial, supervisory, and budgetary oversight within a unit, and positions that provide direct services. Professional faculty 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.~~

2.3.4 Emeritus or Emerita Designation

~~Consult on the provost's website. The title of emeritus or emerita is conferred on retired members of the Virginia Tech faculty (as defined in chapter two of this handbook) who have made exemplary contributions to the university and are recommended to the Board of Visitors for approval by the provost and president.~~

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

2.32.5-3 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.

2.32.53.1 Leadership of the Faculty of Health Sciences

The ~~executive vice president and provost~~ (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.

2.32.53.2 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.

2.32.5.34 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~~ Virginia Tech 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 or school 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 or school.

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

VTCSOM faculty members employed by the university/Virginia Tech receive appointments in one of the ranks described in the faculty handbook. VTCSOM faculty members employed by the university and whose appointment is in a college other than the VTCSOM 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 or school 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.

VTCSOM faculty members employed by other entities 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. Faculty (e.g. physician, other clinicians) employed by other entities are not eligible for tenure as described in chapter three.

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12.42.2.4.1 VTCSOM 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 (AACCME).

12.52.2.4.2 Additional Policy Obligations

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. ~~Individuals with appointment to the VTCSOM faculty are subject to all relevant and appropriate sections of this handbook and university policies, including chapter two "Professional Responsibilities and Conduct" and chapter three "Imposition of a Severe Sanction or Dismissal for Cause".~~

12.22.2.4.3 Tenure-to-Title Track Faculty Appointments

General conditions and definitions. Exclusive to the VTCSOM, tenure-to-title is the conferring of a permanent, non-employment, appointment to the 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 to the school (college).

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 only be rescinded for imposition of a severe sanction or dismissal for cause.

Nomination and selection. 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.~~

The tenure-to-title dossier is reviewed by an appropriately charged departmental committee and the department head, and by an appropriately charged VTCSOM-level committee. After review by the appropriate departmental and college committee, the dean makes recommendations to the provost for approval by the Board of Visitors.

2.32.45 Emeritus or Emerita Designation Faculty

For additional information, ~~c~~Consult on the provost's website **[Emeritus or Emerita Status](#)**. The title of emeritus or emerita is conferred on retired members of the Virginia Tech faculty

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(as defined in chapter two of this handbook) who have made exemplary contributions to the university and are recommended to the Board of Visitors for approval by the provost and president.

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

2.63 Appointment Types

2.63.1 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. See chapter six of this handbook for circumstances in which a research faculty member may be on a regular appointment.

2.63.2 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 are designated with 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 of Research and Innovation.

Faculty members on restricted appointments earn sick leave at the rate of five hours per pay period. 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.

2.63.3 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. Payroll information is available on the Controller's website.

Field Code Changed

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.

2.63.4 Research-Extended Appointments for Faculty on Academic Year (AY) 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.

For additional information, ~~consult the Research-Extended Appointments. Request forms are available at Faculty Forms.~~ ~~page A is 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 provost, or the executive vice president and chief operating officer (or designee).

Field Code Changed

Research-extended appointments are renewed annually with verification of sponsored funding by the department head, chair, school director, or supervisor to support the continuation. ~~A form to continue a research-extended appointment is on the provost's website.~~

Field Code Changed

2.63.5 Calendar Year Appointments (CY)

Some faculty members are on a calendar year (CY) appointment with work assignments covering 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 provost or executive vice president and chief operating officer. Any exception requires approval by the provost or the executive vice president and chief operating officer.

2.63.6 Summer and Winter Session Appointments

The total of additional compensation earned through all university sources by any faculty member shall not exceed 33 $\frac{1}{3}$ % ~~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 AY appointments may receive additional compensation for engaging in approved sponsored research, Extension activities, summer, and winter session teaching and, as allowable, non-credit, or eligible for-credit instruction conducted by Continuing and Professional Education or teaching an eligible for-credit continuing education course on overload. The total additional compensation earned through all university programs by any faculty member on an academic year appointment shall not exceed 33 $\frac{1}{3}$ percent 33 $\frac{1}{3}$ % of the annual salary for the preceding academic year. For additional information, ~~consult the~~ Continuing and Professional Education ~~site~~ and Policy 6362, "Policy on Continuing and Professional Education".

Field Code Changed

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.

2.63.6.1 Summer Session Appointments

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

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

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

Only AY faculty members who have approved research—extended appointments earn and accrue annual leave proportional to their appointments.

Field Code Changed

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.

2.63.6.2 Winter Session Appointments

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

The faculty member receives overload payment for teaching a Winter Session for-credit course. Compensation for teaching in the session is negotiated by the faculty member and the department head, chair, or school director. Maximum compensation is set at 3.75 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 33 $\frac{1}{3}$ percent % of annual salary from the preceding academic year.

2.63.6.3 Winter and Summer Session Appointments for A/P Faculty

Administrative and professional (A/P) faculty with approved teaching qualifications 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.

Field Code Changed

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2.3.5.3.1 Faculty Buyout Agreements with Virginia Tech Carilion School of Medicine

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

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

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

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

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

Commented [RG13]: Removed through governance, will be brought to BOV for approval in June (CFA 2024-25J)

2.4 Faculty Search Processes

For more information on faculty recruitment and search processes ~~are available on the~~consult Faculty Recruiting Guidelines. 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 breadth 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 in the University Libraries review and recommendation by the applicable departmental or school 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 or school 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 Civil Rights Compliance and Prevention Education Office for Equity and Accessibility](#).

Virginia Tech is committed to ensuring that all qualified individuals with disabilities can take part in educational and employment programs and services on an equal basis. The aim is to provide this opportunity in an integrated setting that fosters independence and meets the guidelines of the Americans with Disabilities Act (ADA) and the Rehabilitation Act of 1973. Reasonable accommodations are made on an individual ~~and flexible~~ basis.

Virginia Tech ~~does not discriminate against employees, students, or applicants is committed to increasing the number of women and underrepresented faculty and administrators. This commitment is~~ stated and elaborated in the [affirmative action program](#) ~~university's nondiscrimination statement~~, Executive Order ~~11246~~ [14173](#), 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 in a fair and unbiased manner](#).

2.4.2 Terms of Faculty Offer (TOFO)

~~For more information, Consult Human Resources Recruiting and Onboarding web~~ [consult Human Resources Recruiting and Onboarding](#). New appointments and reappointments are documented in the terms of faculty offer (often referred to as a "TOFO") prepared by the department head, chair, school director, or supervisor and approved according to procedures established by the dean or senior manager, signed by the candidate, and forwarded to Human Resources within the university's recruitment and onboarding system. Templates for the different types of terms of faculty offer are accessed by authorized users of the university's recruitment and onboarding system.

The TOFO documents the category to which the faculty member is appointed, the faculty rank, appointment status (effective date, regular or restricted and, if restricted, an end date), the appointment period academic year (AY) or calendar year (CY), 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. The TOFO documents [the](#) 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 or school 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 of this handbook (Research Faculty) for new appointments and reappointments for research faculty including postdoctoral associates. Research faculty are typically employed on sponsored grants and contracts on a restricted appointment to carry out research or outreach projects. Appointments to postdoctoral associate positions require approval from the Office of Research and Innovation.

2.5 Search and Appointment of Executive and Senior Administrative and Academic Leaders

2.5.1 Search and Appointment of the University 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 Provost, ~~Executive Vice President and Chief Operating Officer~~EVPCOO, 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 College and 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, appropriate 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 making 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 or school 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 or school without national advertisement. Such a decision should be reached only for a department or school 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 or school.

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 of 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. See chapter six of this handbook for circumstances in which a research faculty member may be on a regular appointment.~~

2.6.2 Restricted Appointments

~~Appointments to the faculty may be made for which there is no presumption of consideration of renewal. Such appointments are called “restricted” and are designated with 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 of Research and Innovation.~~

~~Faculty members on restricted appointments earn sick leave at the rate of five hours per pay period. 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. Payroll information is available on the Controller's website.~~

Field Code Changed

~~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 (AY) 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.~~

~~Consult the [Research Extended Appointments](#) page. A form to request research extended appointment is 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 provost, or the executive vice president and chief operating officer (or designee).~~

Field Code Changed

Field Code Changed

~~Research extended appointments are renewed annually with verification of sponsored funding by the department head, chair, school director, or supervisor to support the continuation. A form to continue a research extended appointment is on the provost's website.~~

Field Code Changed

~~2.6.5 Calendar Year Appointments (CY)~~

~~Some faculty members are on a calendar year (CY) appointment with work assignments covering 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 provost or executive vice president and chief operating officer. Any exception requires approval by the provost or the executive vice president and chief operating officer.~~

~~2.6.6 Summer and Winter Session Appointments~~

~~The total of additional compensation earned through all university courses by any faculty member shall not exceed 33 1/3% 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 AY appointments may receive additional compensation for engaging in approved sponsored research, Extension activities, summer and winter session teaching and, as allowable, non-credit, or eligible for credit instruction conducted by Continuing and Professional Education or teaching an eligible for credit continuing education course on overload. The total additional compensation earned through all university programs by any faculty member on an academic year appointment shall not exceed 33 1/3% of the annual salary for the preceding academic year. Consult the Continuing and Professional Education site and policy 6362 Continuing and Professional Education~~

Field Code Changed

Field Code Changed

~~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.~~

~~2.6.6.1 Summer Session Appointments~~

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

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

~~For purposes of sponsored grant and contract activity and for limitations on compensation May 10 to August 9 designates the summer work period. Faculty members who receive summer salary from sponsored projects must certify the effort expended on these 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 AY faculty members who have approved research extended appointments earn and accrue annual leave proportional to their appointments.~~

Field Code Changed

~~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.~~

2.6.6.2 Winter Session Appointments

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

~~The faculty member receives overload payment for teaching a Winter Session for credit course. Compensation for teaching in the session is negotiated by the faculty member and the department head, chair, or school director. Maximum compensation is set at 3.75% of the faculty member's annual salary for each one-credit semester course taught. An additional incentive grant may be negotiated up to a maximum of one month's salary. Additional compensation, including overload and any incentive grant is considered in the total allowable aggregate compensation of no more than 33%% of annual salary from the preceding academic year.~~

2.6.6.3 Winter and Summer Session Appointments for A/P Faculty

~~Administrative and professional (A/P) faculty with approved teaching qualifications 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.~~

Field Code Changed

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2.76 Documentation of U.S. Citizenship or Lawful Authorization to Work in the U.S.

In accordance with federal law, on or before the first day of their employment, new employees must provide documentation confirming identity and lawful authorization to work in the United States [by completing the Form I-9, Employment Eligibility Verification](#).

2.87 Conviction and Driving Record Check for Employment

The university conducts a conviction and/or driving record check once a contingent offer is made to and accepted by the selected candidate, according to the provisions in [Policy 4060, "Conviction and Driving Record Investigation for Employment."](#) Human Resources coordinates the conviction and driving record check process.

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

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

2.109 Qualifications for Teaching

~~For more information, consult~~ [Faculty Qualifications for Teaching](#). Virginia Tech uses the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) teaching credential guidelines to qualify instructors of record.

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.

Department or School Responsibility. The department or school 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 or school may be different than the employing department or school in some cases. Departments or schools are responsible for maintaining up-to-date documentation of teaching credentials for instructors of record. Changes in teaching credentials may occur after initial qualification (usually at employment as a faculty member).

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

2.110 Dual Career Program

~~Consult.~~ 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. [For more information, consult the Dual Career Program.](#) ~~Guidelines that describe procedures for Virginia Tech's hiring of dual career partners are available on the Human Resources and provost's websites.~~

2.121 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.

2.132 Types of Leave and Leave Reporting for all Faculty

~~Consult For leave information, consult Faculty Leave.~~ Several types of approved leave, with or without compensation, are available to faculty members. ~~Unapproved~~ Any absence from assigned duties, which is not covered by an approved or earned leave, ~~may be~~ subject to a subsequent adjustment in pay.

2.143 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 provost or executive vice president and chief operating officer, depending upon the reporting structure, on recommendation of the department head, 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. For more information, contact Faculty Affairs on Special Leave and Research Leaves is available on the provost's website.

2.154 Change of Duty Station

Consult provost's Faculty Affairs webpage for a Request for 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 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 provost or the executive vice president and chief operating officer determines whether a change of duty station involving institutional salary support is appropriate. For a request form, visit Faculty Forms. -on the provost's website.

2.165 Geographical Transfer

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 fulfil 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-reasonable~~ expenses ~~as defined in the university Controller's Office Procedure 20345: Moving and Relocation Expenses~~. [Contact Faculty Affairs for additional information](#). 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.

2.176 Continuing and Professional Education Activities

2.176.1 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.

2.176.2 Overload Payment and Compensation for *Non-Credit* Continuing and Professional Education Activities

~~Contact~~ [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 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 or school 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 ~~33 1/3%~~33 1/3 percent of their annual salary during the July 1 - June 30 appointment year. Faculty members on academic year appointments may earn no more than ~~33 1/3%~~33 1/3 percent of their annual salary during the academic year. Payments made to academic year faculty members in the summer period will be included in the ~~33 1/3%~~33 1/3 percent limitation of the previous academic year's salary that is currently imposed on summer payment from all university sources combined.

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

2.176.3 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 or school. To assure equity and appropriateness, the department head, chair, school director, or supervisor, and dean monitor the responsibilities and assignments of faculty earning additional compensation.

Faculty members on calendar year (CY) appointments may earn up to an additional ~~33%~~**33½ 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 ~~33%~~**33½ percent** of their academic year salaries during the academic year through these approved activities. Earnings during the summer from all university

sources, including those cited above, summer or winter session teaching, and sponsored research are capped at ~~33%~~33½ percent of the prior academic year salary.

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

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

2.187 Retirement

There is no mandatory retirement age for university faculty and staff. For more information, consult Human Resources Benefits, ~~See Retirement~~ and Retirees.

2.198 Resignation

Faculty members who wish to resign (including through retirement) 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.

Commented [RG14]: Clarifying language suggested by Human Resources to encourage retirees to disclose sooner so departments can plan for their departure.

2.2019 Non-Reappointment of Faculty Members on Temporary or Restricted Appointment

For faculty members on temporary or restricted appointments 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.

2.24-20 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.

2.2420.1 Notice of Non-Reappointment for Faculty on Probationary, Tenure-Track or University Libraries Continued Appointment Track

Years	Notice
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).

2.2420.2 Notice of Non-Reappointment for Faculty on Regular, Non-Tenure-Track, Instructional Appointments

Years	Notice
Less than two years	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.
Up to five years	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.
Five years or more	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).

2.20240.3 Non-Reappointment for Research Faculty on Regular Appointment

Years	Notice
Less than two years	At least three months for those in regular appointments for less than two years.
Two years or more	At least six months for those in regular appointments for two years or more.
Prior to March 2001	For those research faculty appointed to regular positions before March 2001, the notice of reappointment is 12 months.

2.20240.4 Notice of Non-Reappointment for Administrative and Professional Faculty on Regular Appointment

Years	Notice
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Prior to one year	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).
More than one, but less than two years	At least six months for administrative and professional faculty members employed by the university for more than one year, but less than two years.
Two years or more	At least 12 months for administrative and professional faculty members employed by the university two years or more.

2.22-21 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.

2.23-22 Reduction in Force (RIF)

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

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

A reduction in force is the termination or interruption of employment of a member of the general faculty under conditions of financial exigency or program reduction. Reduction in personnel by attrition, freezes on new hiring, across-the-board reductions of salaries and/or teaching schedules, and the offering of incentives for early retirement, whether at

the program level or institution-wide, are not considered reductions in force. Rather, they are lesser remedies that may be implemented before any reduction in force.

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

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

2.2322.1 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 or school changes) to that which was terminated, each faculty member affected by a reduction in force forfeits all protections afforded by this paragraph.

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

2.2322.2 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 or schools in a way that leads to involuntary terminations or other alterations of appointments of faculty members with tenure or continued appointment. In such circumstances, the policy in this section applies.

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

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

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

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

The provost initiates discussion of a proposed program restructuring or discontinuance with the steering committee, describing the need for the change, the proposed type and

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

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

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

Under specific circumstances approved in advance by the provost and president, the Alternative Severance Option may be available to deans for meeting reduction targets.

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

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

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

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

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

Notice of termination. Faculty members with tenure or continued appointment whose positions are eliminated as part of restructuring are given notice of not less than three years. Administrative and professional faculty members on regular appointments shall be given at least 90 days’ notice. All other faculty members shall complete their current contracts or be given a one-year notice whichever is less. Notice of termination longer than the minimum specified above may be given to selected faculty members whose expertise is essential to closing out an academic program in which students are enrolled.

Written notification. After final approval has been given for specific plans, written notification is provided to all faculty members whose appointments will be terminated or altered. The notification shall include a statement of the basis for its action, a description of the way the decision was reached, a disclosure of the information and data on which the decision was based, and information regarding procedures available for appealing the decision.

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

transition assistance such as clerical support, communications, office space, and outplacement services.

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

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

2.24-23 Severance

2.2423.1 Transitional Severance Benefits

See [Policy 4245, "Severance Benefits Policy for University Employees"](#). Transitional severance benefits shall be provided to eligible salaried university staff and salaried teaching and research and administrative/professional faculty employees on regular appointments, without regard to hire date, who are involuntarily separated due to budget reductions, agency reorganizations, or workforce downsizings, for reasons unrelated to performance or conduct.

2.2423.2 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, schools, or units where personnel reductions will occur. An approved business plan for each participating college or vice-presidential area will describe the specific units and eligibility criteria for participation in the ASO or layoff substitution process. These plans will necessarily differ. Some colleges and senior management areas do not offer the ASO as a means to reach their budget reduction targets. The identification of employees who receive this offer will be based on business need, and, therefore, it is possible not all

employees who are eligible will be selected to participate. For example, more employees may apply than are needed to address the reductions and positions critical to business operations would be excluded. Eligible employees in units with approved business plans are notified if the option is available to them.

2.25-24 Non-Discrimination, Harassment Prevention, Sexual Assault

~~Contact the~~For more information contact the Office for Civil Rights Compliance and Prevention Education-Office for 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-Intimate Relationships.~~ It should be understood by all members of the university community that ~~consensual~~ amorous or sexual relationships (hereinafter referred to as ~~consensual-intimate~~ relationships) that occur in the context of educational or employment supervision and evaluation present serious ethical concerns and potential for bias or the perception thereof. All faculty have an obligation to eliminate any actual or perceived conflict of interest to maintain integrity and credibility for themselves and the university. Intimate relationships between supervisors and employees they directly supervise may violate university policy. ~~Consensual-Intimate~~ relationships between faculty and students enrolled in their classes or students for whom they have professional responsibility as advisor or supervisor contravene the Statement of Principles of Ethical Behavior. ~~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, mentoring, or academic advising duties and supervisors involved in consensual-intimate relationships must remove themselves from any activity or evaluation that may reward or penalize the affected student or employee. To do so, faculty members are expected to disclose such a relationship to their department head, chair, or school director or other direct supervisor and work with them to identify and implement appropriate mitigating measures to change the supervisory structure. Failure to do so may lead to ethical investigations if reported to the Faculty Senate Committee on Ethics, and possible sanctions in accordance with the provisions of the Faculty Handbook governing that faculty member's employment category.

Consensual-Intimate relationships between faculty and students are particularly susceptible to exploitation. An objective supervisory evaluation cannot exist if such a relationship exists. Moreover, the respect and trust accorded to a professor by a student, as well as the power exercised by the professor in giving praise or blame, assigning grades, and providing recommendations for further study and future employment, may undermine the voluntary nature of consent by the student-suspect, given the fundamentally asymmetric nature of the relationship.

Faculty and supervisors should be aware that engaging in consensual-intimate 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 to the Faculty Senate Committee on Ethics alleging discrimination and/or harassment, as defined above, may be filed by either party to the consensual-intimate relationship or by an aggrieved a third party outside the relationship.

For any report involving alleged nonconsensual sexual activity between a faculty member and a student, this section—including any process offered through the Faculty Senate Committee on Ethics—is superseded by university policies 1025 and 1026 and the procedures referenced therein. Policy 1025 and Policy 1026 both prohibit sexual harassment—including quid pro quo harassment (i.e., a university employee conditioning educational benefit or service upon a person's participation in sexual conduct) and various forms of sexual violence. Any faculty member who becomes aware of an allegation of nonconsensual sexual activity between a faculty member and a student must report that allegation to the university's Office for Equity and Accessibility as required by university policy.

Commented [RG15]: Revised and updated description of intimate relationships, per resolution approved by BOV on March 25, 2025 (CFA 2024-25D).

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 Civil Rights Compliance and Prevention Education](#) ~~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 Civil Rights Compliance Prevention Education](#) ~~Office 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.

2.26-25 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.

2.27-26 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."](#) This policy prescribes a larger and institution-wide commitment to a safe and secure campus, establishes offices specifically charged with security and safety responsibilities, designates the Incident Leadership Team to provide general oversight and leadership for the university's security, safety, and violence prevention efforts, designates the University Safety and Security Committee as an advisory group on safety and security practices and concerns, and lists responsibilities for department head, chair, or school director, and individuals in supervisory roles.

2.28-27 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. Consult [Virginia Tech Emergency Management](#) and see chapter thirteen of this handbook for information on Emergency Preparedness.

2.29-28 Virginia Tech Principles of Community

The Virginia Tech Principles of Community state: Virginia Tech is a public land-grant university, committed to teaching and learning, research, and outreach to the Commonwealth of Virginia, the nation, and the world community. Learning from the experiences that shape Virginia Tech as an institution, we acknowledge those aspects of

our legacy that reflected bias and exclusion. Therefore, we adopt and practice the following principles as fundamental to our ongoing efforts to increase access and inclusion and to create a community that nurtures learning and growth for all its members:

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

2.30-29 Professional Responsibilities and Conduct

~~For additional information, consult~~ Virginia Tech statement of [Business Conduct Standards](#). All employees are expected to ensure that business activities are conducted properly and in compliance with federal and state laws. Procedures ~~are~~ can be found on ~~websites—webpages~~ of the Controller's Office, Procurement Department, Human Resources, and in university policies.

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

2.3029.1 Policy on Misconduct in Research

~~Consult~~ For more information, consult chapter ten in this handbook, the [Research Integrity Office](#) in Research and Innovation, and ~~the Policy 13020, "Policy on Misconduct in on-Research."~~ Misconduct. 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.

2.3029.2 Statement of Principles of Ethical Behavior

~~Consult~~ For more information, consult the Faculty Senate's [Committee on Faculty Ethics](#).

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.

2.3029.3 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 the relevant chapter of this handbook.

2.3029.3.1 Allegations of Unprofessional or Unethical Conduct against an A/P faculty member

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 vice president of the A/P Senate chooses panel members from among the A/P faculty at large. The A/P Senate vice president 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.

2.34-30 Faculty Senate Standing Committees on Ethics, ~~Reconciliation~~, and Review

External Faculty Senate Standing Committees report to the vice president of the senate and are summarized in the Faculty Senate Constitution. ~~See~~For more information, consult the [Faculty Senate website for information](#).

2.3430.1 Faculty Senate Committee on Ethics

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

2.34-0.3 Faculty Senate Faculty 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.

Field Code Changed

2.34-21 Faculty Senate ~~Committee on Reconciliation~~

The ~~Committee on Reconciliation~~Office of the Vice Provost for Faculty Affairs provides support for the Director of Faculty Reconciliation (DFR). The DFR serves as a private and independent resource to offers advice and counsel to faculty members who seek it, particularly in relation to disputes with immediate supervisors or university administrators. The ~~committee-DFR~~ 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-DFR~~ regarding serious disagreements with colleagues, 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~~The DFR operates informally as a facilitator, similar to the University Ombuds Office. ~~It meets~~ meeting 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. The DFR may consult with the vice provost for faculty affairs but operates independently; any conversations will remain private unless permitted otherwise by the faculty member.

or as required by law. For more information, consult Faculty Reconciliation, or contact Faculty Affairs Contact.

2.31.3 Faculty Senate Faculty 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.~~

Commented [RG16]: Revisions made through governance, will be brought to BOV meeting in June for approval (CFA 2024-25H)

Field Code Changed

2.32-32 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.

2.33-33 Consulting Activities

~~Consult~~ For more information, consult the [Conflicts of Interest and Commitment webpage](#) 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.

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

such as personal or family ownership of the company. Consulting does not involve becoming an employee of the external entity.

Professional service includes service on national commissions, on boards of governmental agencies, on granting agency peer review panels, on visiting committees or advisory groups to other universities, on professional associations, and on analogous bodies. Professional service activities may involve a token honorarium and/or expense reimbursement. These activities are considered part of the faculty member's institutional responsibilities for participation in the larger scholarly academic community. Participation in external professional service activities may require supervisor approval depending on departmental or school 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 Real Property \(Building, Grounds, Infrastructure\) Usage and Events"](#)).

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~~ through the Office of 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 Real Property \(Building, Grounds, Infrastructure\) Usage and Events"](#) ~~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 webpage 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.

2.3333.1 Consulting Activities for Virginia Cooperative Extension Faculty

See chapter seven of this handbook for additional information applicable to Extension faculty members. 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.

2.3333.2 Virginia Tech Continuing and Professional Education Technical Assistance Program (TAP)

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

Proposals for technical assistance are small scale (generally less than \$25,000), short-term, require a rapid response, and do not involve the generation of new knowledge or the development of intellectual property. (Projects involving the generation of knowledge and/or faculty buyouts must be handled as sponsored projects.) Continuing and Professional Education negotiates and administers contracts for technical assistance.

Technical assistance contracts typically identify the faculty member who will provide the needed expertise, the amount of time to be devoted to the project, the scope and estimated cost of the work, timelines for the consulting or project, and any required deliverables.

Payment to the faculty member for such consulting is negotiable and provided through university payroll. Faculty earnings for technical assistance agreements must be within the overall limitation of ~~33 1/3%~~ **33 1/3 percent** of annual income during the academic year for nine-month faculty members; summer earnings from all university sources are also capped at an additional ~~33 1/3%~~ **33 1/3 percent** for academic year faculty members. Faculty members on calendar year appointments may earn ~~33 1/3%~~ **33 1/3 percent** of annual income during the fiscal year. The earnings limitation is for payments from all university sources, including approved non-credit Continuing and Professional Education activities. Similarly, total time involved in technical assistance, other approved consulting, and non-credit teaching must be within the constraints of this policy.

For ~~further more~~ 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.

2.34-34 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.

2.35-35 Conflicts of Commitment

~~Consult For more information and procedures, consult the Conflicts of Interest and Commitment for information and procedures.~~ A conflict of commitment arises when the external activities of a faculty member are so demanding of time, attention, or focus that they interfere with the individual's responsibilities to the university.

Nothing in this policy statement shall be interpreted as interfering with the academic freedom of faculty members, nor with their primary responsibility to direct their own research.

Faculty members have traditionally been allowed wide latitude in defining their professional agendas and their degree of involvement in external activities when those activities advance the mission or prestige of the university. The university encourages active participation by faculty members in external activities that are integral to and/or enhance their professional skills and standing or that constitute substantive outreach and public service activities.

Such activities are usually expected of faculty members to promote academic development, and to enrich their contributions to the institution, their profession, the state, and national and world societies. Additionally, Virginia Tech encourages entrepreneurial activities by faculty, recognizing that such activities are critical to promoting economic development and meeting society's needs, if participation in those activities complies with federal and state laws and policies, the Virginia Tech conflicts of interest policy, and these guidelines.

Faculty members should make the fulfillment of their responsibilities to the university the focal point of their professional effort. They are expected to arrange their external activities so that they do not impede or compromise their university duties and responsibilities. Responsibility for ensuring commitment to the university and for reporting activities that might be perceived as compromising that commitment rests with each faculty member in consultation with the department head, chair, school director, or supervisor and dean, or relevant senior manager.

The university recognizes that the balance of external activities varies among individuals, from discipline to discipline, and from one type of proposed activity to another. That balance is affected by unit goals and changing needs for teaching, research, creative and artistic activities, Extension, service, and outreach. Primary duties and responsibilities may vary from year to year for individual faculty members. Undergraduate and graduate enrollment demands, faculty-staffing levels, and changes in the nature and scope of outreach, teaching, and research within the unit may affect the primary duties and responsibilities of individual faculty. The primary judgment as to whether a faculty member is meeting professional responsibilities to the unit rests with the department head, chair, school director, or supervisor and dean, or relevant senior manager.

If a faculty member is committed to engaging in an external activity that compromises their ability to meet university responsibilities, a leave of absence or a reduction in their percentage of employment may be appropriate or necessary. Approval of a leave request or change in appointment depends on the needs of the unit and college and protection of university interests.

If a department head, chair, school director and/or dean, observes that a faculty member appears to not be fulfilling their primary responsibilities to the university, the administrator shall immediately address these concerns with the faculty member to ensure that these

responsibilities are adequately met. Failure to meet primary departmental or school 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).

2.36-36 Conflicts of Interest

~~Consult the~~For more information, consult [Conflicts of Interest and Commitment](#) and [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 2.33 Consulting Activities](#), ~~and~~ [section 2.34 Outside Employment and External Activities Other than Consulting](#), and [Policy 4070, “Additional/Outside Employment Policy for Salaried Classified and University Staff.”](#)

[Policy 13010, “Conflict 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 webpage](#), maintained by the

Research Conflict of Interest Program for a list of other Virginia Tech policies that touch on conflicts of interest more broadly.

2.3636.1 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 provost (or relevant vice president for a non-academic appointment) prior to submission to the Board of Visitors for approval.

2.3636.2 Conflicts of Interest Training and 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.

2.3636.3 Conflicts of Interest Training and Disclosure Requirements for Certain Employees

[Chapter 31 of Title 2.2 of the Code of Virginia](#) outlines the Commonwealth's State and Local Government Conflict of Interests Act (the Act). 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, "Conflict of Interest"](#) and the Act for additional information.

[Chapter 31 of Title 2.2 of the Code of Virginia](#) outlines the Commonwealth's State and Local Government Conflict of Interests Act (the Act) requires that certain Virginia Tech employees must take training and disclose financial interests to the Commonwealth of Virginia that they or an immediate family member hold. Training for Statement of Economic Interests (SOEI) filers is provided by the Virginia Conflict of Interest and Ethics Advisory Council and is required initially and every two years. Note that this requirement is in addition to the Virginia Tech-specific COI training required for Investigators on sponsored research projects. SOEI filers must continue to disclose financial interests to Virginia Tech and take research COI training, as needed.

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.

2.3636.4 Conflicts of Interest Training and 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.

2.3636.5 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.

2.3636.6 Participation of and Payment to Students in Projects Involving Faculty Owners

[Policy 13010](#) outlines Financial Conflict of Interest Management to Promote Objectivity in Research. The management plan is designed to mitigate the conflict, promote research objectivity, and provide academic and professional protection for graduate and professional students, and postdoctoral scholars respectively. See also the [Graduate Catalog](#) for information for graduate students seeking employment in university employee-owned businesses.

2.37-37 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.

2.3737.1 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.

2.3737.2 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.

2.3737.3 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.

2.3737.4 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.

2.3737.5 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 webpage 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.

2.3737.6 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.

2.3737.7 Use of University Facilities

Consult [Policy 5000 "University Real Property \(Building, Grounds, Infrastructure\) Usage and Events"](#) ~~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 Real Property \(Building, Grounds, Infrastructure\) Usage and Events,"](#) ~~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 or school responsible for the facility or equipment verifies, on the Request to Engage in External Activity Form 13010A, that the proposed use does not interfere with, or have priority over, anticipated university use of the facility or equipment.

In approving the Request to Engage in Outside Activities, the faculty member's department head, chair, school director, or supervisor and dean or vice president (and provost, when appropriate) determine that the consultation is of substantial professional merit and presents no conflict of interest in the use of the facilities or equipment. Particular care is given to the relationship of the consultation with current or potential grants or contracts and to the possibility of unfair competition with local firms and businesses.

If an employee uses equipment of a specialized service center, the employee is charged the “commercial” or “consulting” rate, as determined by the Controller’s Office. The employee is billed based on actual use. The deposit is credited to the appropriate service center account established by the Controller’s Office.

If the faculty member uses facilities such as those of the Virginia Tech athletic department, Moss Arts Center, or Student Engagement and Campus Life venues, the employee is charged at a rate established by the Controller’s Office for such use. The deposit is made to the appropriate venue account.

For facilities other than specialized service centers, or other facilities for which a charge rate has been determined, the use of the facilities must be authorized and reimbursed at a rate determined by the collaboration of the employee’s department head, chair, school director, or supervisor and the Controller’s Office.

The use of University Libraries facilities in connection with consulting is exempt from the above regulations since those facilities are available to the public.

2.3737.7.1 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 hierarches 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.

2.3737.8 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.

2.3737.9 Domestic and International Travel

~~Consult the website of the~~[For more information, consult Travel-Controller’s Office, for information.](#) The university encourages faculty to pursue endeavors that will enhance their professional development and benefit university programs. For details on travel-related business expenses and travel reporting procedures, refer to [Controller’s Office Procedures 20335A: Travel Overview](#), ~~and 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.

2.3737.10 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 Policies for Tenure-Track and Tenured Faculty

3.1 Faculty Ranks

3.1.1 Assistant Professor

An assistant professor is assigned teaching undergraduate courses and may be assigned responsibility for teaching graduate courses, supervising master's theses, and dissertations, and may serve on graduate student committees. The terminal degree appropriate to the field is expected for appointment to this rank.

3.1.2 Associate Professor

In addition to the requirements for assistant professor, a person appointed as an associate professor must have demonstrated substantial professional achievements evidenced by an appropriate combination of outstanding teaching, creative scholarship, and recognized performance in Extension, outreach, University Libraries, or related academic and professional service.

3.1.3 Professor

In addition to the requirements for associate professor, appointment to the rank of professor is contingent upon national or international recognition as an outstanding scholar and educator.

3.2 Honored Faculty Appointments

3.2.1 Endowed Chairs, Professorships, and Fellowships

~~Consult “Endowed Chairs, Professorships, and Fellowships” on the executive vice president and provost’s (provost) Faculty Affairs webpage. 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 regarding renewal.~~

~~The university Faculty Honorifics Committee reviews nominations of Extension and Libraries faculty to endowed chairs, professorships, and fellowships.~~

~~A donor may establish an endowed chair, professorship, or fellowship, by providing an endowment to support the salary and/or operating funds of the professor. Funding levels determine whether the endowed position is a chair, professorship, or fellowship. Contact the Virginia Tech Foundation for further information regarding the establishment of an endowment.~~

Commented [RG17]: There are endowed faculty appointments for non-tenure track faculty as well, so this section is being moved to Chapter 2 to apply to all faculty.

3.2.2.1 Alumni Distinguished Professor

~~Consult For more information, consult [Distinguished Professorships](#) on the provost’s Faculty Affairs webpage.~~

General conditions and definitions. The Alumni Distinguished Professorship (ADP) is a preeminent faculty appointment, reserved by the Board of Visitors for recognition of faculty members who demonstrate extraordinary accomplishments and academic citizenship through substantive scholarly contributions across all three of Virginia Tech’s mission areas of teaching, research, creative activity, and engagement. The provost, in consultation with the president and the Alumni Association, determines the number of Alumni Distinguished Professorships. There is no quota by college, department, or school.

Eligibility and criteria for selection. While no minimum number of years of service is required for eligibility, the selection committee places strong emphasis on the magnitude, character, and quality of each nominee's scholarly accomplishments as they contribute to the global land-grant mission of the university. Nominees must have well-established outstanding records of substantive scholarly accomplishment in teaching, research or creative activities, and engagement at Virginia Tech.

Responsibilities and perquisites. Each Alumni Distinguished Professor shall continue making scholarly contributions in teaching, research, creative activities, and engagement at the same high level evident at the time of appointment. This includes continued contributions to the department or school and college, and may include contributions to other departments, schools, colleges, and units, subject to the professor's interests and the ability of the department head, chair or school director and college dean to accommodate such latitude.

Alumni Distinguished Professors may also elect, in a given term, to divert energies from their usual activities or responsibilities to other valued scholarly pursuits appropriate to this university-level appointment. Alumni Distinguished Professors embody the university's land-grant mission in their scholarly work and are crucial faculty ambassadors within and beyond the university community. As such, they may be called upon from time to time, individually, or as a group, to share their scholarship with university alumni or other interested groups, as well as to render special service or to offer advice to the university at large.

Each Alumni Distinguished Professor receives a base salary supplement from the endowment established by the Alumni Association and operating funds for scholarly support.

Given the high level of performance expected of this select group of faculty members, university and college administrators are cognizant of the needs of each individual Alumni Distinguished Professor for appropriate support personnel and sufficient space, within acknowledged fiscal and physical constraints.

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

Screening procedures at department, school and college levels involve appropriate personnel or executive committees. Nomination dossiers include a current curriculum vitae, letters of nomination, from both the departmental/school and college screening

committees, letters of support, and other evidence attesting to the quality of the nominee's scholarly contributions.

The provost appoints an Alumni Distinguished Professor selection committee that includes two current Alumni Distinguished Professors, one current University Distinguished Professor, and one faculty member recommended by the Commission on Faculty Affairs. The committee reviews the nominations and makes a recommendation to the provost. The provost's subsequent recommendation is sent through the president to the executive committee of the Virginia Tech Alumni Association's Board of Directors for review and recommendation. The president makes the final recommendation to the Board of Visitors for approval.

The Board of Visitors confers upon an individual the rank of Alumni Distinguished Professor for a period of 10 years; the appointment may be renewed.

Renewal of appointments. An Alumni Distinguished Professor may request an appointment renewal at the end of the initial, or any subsequent, 10-year appointment period. A current curriculum vitae and five-page personal statement of accomplishments during the appointment term is requested by the office of the 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.

3.2.3-2 University Distinguished Professor

~~Consult For more information, consult [Distinguished Professorships](#) on the provost's Faculty Affairs webpage.~~

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 or school.

Nomination and selection. The president and provost determine the process for appointments to University Distinguished Professor and issue a call to the academic deans for nominations. The deans, in turn, invite nominations from academic departments or schools. In addition, in special circumstances and in consultation with the appropriate dean, the president or provost may nominate an eligible faculty member for consideration by the University Distinguished Professor selection committee.

Screening procedures at departmental, school, and college levels involve personnel or executive committees in place. Nominations are accompanied by a full dossier of relevant materials including a current curriculum vitae, letters of nomination from both the department or school and college screening committees, and letters of support and other evidence attesting to the scholarly reputation of the nominee(s).

The provost appoints a University Distinguished Professor selection committee that includes one current Alumni Distinguished Professor, two current University Distinguished Professors, and one faculty member recommended by the Commission on Faculty Affairs. The committee reviews the nominations and makes a recommendation to the president. The president makes the final judgment at the university level and, if that judgment so determines, takes the recommendation to the Board of Visitors for approval.

Responsibilities. The rank of University Distinguished Professor is conferred by the university and is considered a university appointment (as distinct from a department, school, or college appointment). While the professor is nominated by department, school, and college colleagues, and continues to serve the discipline and department or school of origin, the perquisites and responsibilities of each University Distinguished Professor are fixed by the university.

The president annually adjusts the salary of University Distinguished Professors after consultation with the provost and dean of the relevant college.

The sole responsibility of the University Distinguished Professors is to continue their professional engagement and development at the same high level evident at the time of appointment. They are free to define the exact nature of their work after consultation with the dean of the college and the professor's head, chair, or school director. They are expected to engage fully with their colleagues in the governance of their departments or schools.

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. On behalf of and at the direction of the President, the administrative aspects of the University Distinguished Professors' appointments are overseen by the provost and managed by the vice provost for faculty affairs.

Commented [RG18]: added language per resolution approved by BOV on March 25, 2025 (CFA 2024-25B).

Term. Incumbents carry the rank of University Distinguished Professor until resignation or retirement from the university, subject to the usual standard of continuous high performance. The rank is conferred only by the university Board of Visitors and is altered by that body alone, on the recommendation of the president.

3.3 Appointments with Tenure

~~Consult~~ For more information, consult [Promotion and Tenure](#) and [Procedures for Faculty Appointments with Tenure](#) on the provost's Faculty Affairs webpage.

A new faculty appointment with tenure may be made with the review and approval of the department head or chair, school director, the department or school 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 or school 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 or school 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 Temporary, Part-time, Tenure-Track and Tenured Appointments

While tenure-track and tenured appointments are usually full-time, Virginia Tech recognizes the importance of allowing flexibility in the percent of employment so that faculty members can better manage the balance between their professional work and family or personal obligations over a defined period, or perhaps permanently. This policy is intended to encourage departments and schools to accommodate reasonable requests for part-time appointments; however, part-time appointments are not an entitlement, and requests may be turned down when the faculty member and the department or school cannot agree upon a workable plan.

When conducting a search for a tenure-track appointment, departments or schools continue to advertise for full-time tenure-track or tenured positions and must have funding for a full-time hire. Advertisements include information about university policies for flexible appointments. If desired, the faculty member requests and negotiates a part-time appointment at or after the point of hire if acceptable to the department or school.

Tenure-track faculty members may request a part-time appointment only for reasons of balancing work and family such as the arrival or care of a child, the care of a family member, or for personal circumstances related to the health of the faculty member. In addition, they may request a term part-time appointment only (with specific starting and ending dates), allowing the issue to be revisited on a defined cycle. While such term appointments can be renewed throughout the probationary period, a permanent part-time appointment may not be granted until tenure is awarded.

If approved by the department head, chair, or school director and dean, and provost, tenured faculty members may request either term or permanent part-time appointments for reasons stated above, or to balance work at Virginia Tech with professional practice or significant community or public service. For example, a professor who wishes to serve as a consultant in addition to an appointment at Virginia Tech; a professor who wishes to engage in entrepreneurial activity outside of university responsibilities; or a professor who runs for public office for a limited term and wishes to reduce the workload at Virginia Tech for that period.

Part-time tenure-track and tenured appointments are either term or permanent. Term part-time appointments are in increments from one semester up to two years. During the duration of a part-time term appointment, terms of the appointment are only changed via the agreement of all parties. A term agreement must specify the date on which the faculty member is expected to return to full-time status. Renewal of a term appointment should be negotiated no less than three months before the end of the current term so that the department or school can plan accordingly. For term part-time appointments, departments and schools can use the salary savings to replace the work of the faculty member on 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 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 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 of this handbook “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.

3.3.2 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

Faculty members should contact the department head, chair or school director for guidance on college and department or school “Expectations Guidelines for Promotion and/or Tenure”. In addition, consult [Promotion and Tenure](#) ~~on the provost’s Faculty Affairs webpage.~~

The university is committed to academic freedom. Virginia Tech 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).

Eligibility. Eligibility for tenure consideration is limited to faculty members with regular faculty appointments of 50 to 100%- percent in an academic department or school in a college. Tenure is not granted to faculty members with temporary appointments or to administrative and professional faculty. Individuals with tenure who are appointed to administrative positions continue to hold tenure in those departments. Full-time administrators with appointments in academic departments or schools who engage in teaching and research may be recommended for tenure in such departments.

Promotion in rank and the granting of tenure are based on contributions made by a faculty member to the university in the areas of teaching, research/creative activities, and service/engagement. Colleges, departments, or schools are responsible for the administration of appropriate policies and procedures for the review and recommendation for promotion and/or tenure within their units.

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

~~Occasionally faculty members are evaluated for a tenured appointment during the probationary period and before the final probationary (mandatory) year. Consult “Promotion and Tenure” and “Non-mandatory P&T” on provost’s Faculty Affairs webpage.~~

~~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.~~

Commented [RG19]: Revised description of appeals process per resolution approved by BOV on March 25, 2025 (CFA 2024-25E).

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.

Confidentiality. To ensure the honest discussion of promotion and/or tenure cases, all parties involved must keep the deliberations strictly confidential to the extent permitted by law. The content of conversations and the results of any votes may be discussed only with individuals with a current role in the promotion and tenure process, such as committee members or administrators. Faculty members serving on promotion and tenure committees who believe that Faculty Handbook procedures are not being followed may bring their concerns to the Faculty Senate Review Committee for a confidential review.

Voting. 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.

Expectations Guidelines. Each department/school and college is required to maintain and make available on-line "Expectations Guidelines for Promotion and/or Tenure" that follow the university template and include departmental or school (and college as appropriate) 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 this Faculty Handbook. If a college adopts guidelines that establish a collegewide standard for promotion and/or tenure, with the dean's approval, departments or schools may maintain a set of guidelines that interpret the college-wide standard within the context of the department and school's disciplines and traditions. All guidelines will be approved by the faculty (through department, school - and/or college-level governance), the college-level committee and the dean, and the provost's office. Revisions to these guidelines must be approved by the faculty, the college, and the provost's office.

3.4.1 Pre-Tenure Probationary Period

~~Consult For more information, consult [Promotion and Tenure](#) and [Non-mandatory P&T](#) on the provost's Faculty Affairs webpage.~~

The pre-tenure probationary period is a succession of regular, full- or part-time term (fixed period) appointments. Decisions about tenure, if not made earlier, is made in the final

year of the probationary period. The final year of the probationary period is also called a mandatory year.

Evaluations for reappointment and an eventual tenured appointment occur during the probation period. The probationary period is typically six years unless approved extensions are granted. The beginning of the probationary period is July 1 (Calendar Year CY) or August 10 (Academic Year AY) of the calendar year in which the faculty member's initial full-time appointment starts, regardless of the month in which employment begins. The probationary period for faculty members who start work in the spring semester begins the following fall even though the spring contract period officially begins December 25.

The initial appointment for assistant professors, associate professors, and professors employed without tenure is ordinarily a period of no less than two years. Multiple-year reappointment may be subsequently recommended.

A faculty member who wishes to request a leave of absence during their probationary period should consult with their department head, chair, or school director about the effect of the leave on the probationary period, taking into account the professional development that the leave promises. The request for leave should address this matter. The provost's approval of the request specifies whether the leave is to be included in the probationary period. If the tenure decision made in the final year is negative, a one-year terminal appointment is offered.

Probationary Period for Part-time Tenure-Track Faculty

Pre-tenure faculty members may request a term part-time appointment as described in chapter three of this handbook, "Part-Time Tenure-Track and Tenured Appointments," for reasons of balancing work and family or personal health issues. In such cases, the probationary period is extended proportionately. For example, two years of service at 50% percent count as one year of full-time service. The term appointment may be renewed. A permanent part-time appointment may be requested and granted following the award of tenure.

In determining the final tenure review year for those with part-time appointments, general equivalency to full-time appointments is expected, so that approximately five years of full-time equivalent service is expected prior to the final tenure review year if no tenure clock extensions are granted, six years if one year of extension is granted, and seven years if two extensions are granted. (In summing partial years of service, a total resulting in a fraction equal to or less than 0.5 is rounded down, and a fraction greater than 0.5 is rounded up.) However, review for tenure must occur no later than the tenth year of service, resulting in somewhat less full-time equivalent service (4.5 years) for a faculty member with 50% percent appointment throughout all nine probationary years prior to review. If a faculty member is denied tenure following a final year review, a one-year terminal appointment is offered.

Faculty members on part-time appointments may request a tenure clock extension in accordance with chapter three of this handbook, “Probationary Period Extensions (Extending the Tenure Clock).” (Extensions are granted in one-year increments, not prorated by the part-time appointment percentage.) However, the extension is not approved if it results in a final review date beyond the tenth year.

3.4.1.1 Reviews of Progress Toward Promotion and/or Tenure

Faculty members should contact the department head, chair or school director for guidance on college and department or school “Expectations Guidelines for Promotion and/or Tenure”.

Under usual circumstances, departmental or school 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 or 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 above. Changes or variations in the standard review cycle must be documented in writing.

Reviews are substantive and thorough. At minimum, departmental or school promotion and tenure committees must review the faculty member’s relevant annual activities, peer evaluations of teaching, authored materials, or other artifacts of research, scholarship and/or creative activity. Promotion and tenure committees and pre-tenure faculty members should use the university’s promotion and tenure dossier format (available ~~on~~ [at the provost’s Promotion and Tenure webpage](#)~~Promotion and Tenure~~) 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 or school file. In addition, the promotion and tenure committee chair and the department head, chair, or school director meet with the faculty member to discuss the review and recommendations. Faculty members are encouraged to seek guidance and mentoring from senior colleagues and the department head, chair, or school director. Pre-tenure faculty members bear responsibility for understanding and meeting the departmental or school “Expectations Guidelines for Promotion and/or Tenure”.

In the fall semester prior to applying for tenure in a non-mandatory year, a candidate must inform the head or chair of their intention to apply, thereby giving the department or school time to conduct an additional review of the candidate’s progress, if such a review is deemed necessary. Each department or school determines the extent of this review.

Reviews for Part-time Tenure-Track Faculty. The initial review for a part-time faculty member in the probationary period should occur no later than the third year of service (regardless of percentage of employment) to give early feedback on their progress. At least two reviews should be conducted for part-time faculty members during their probationary period; more are recommended. The anticipated schedule for such reviews for reappointment and for the final year (mandatory) review for tenure should be documented in writing as part of the agreement for the part-time appointment. Changes should be agreed upon and documented by the faculty member and department 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 or school 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 at provost's~~ [Promotion and Tenure webpage](#)) 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 or school file. In addition, the faculty member may request a meeting with the promotion and tenure committee chair and the department head or chair or school director to discuss the review and recommendations. Faculty members are encouraged to seek guidance and mentoring from senior colleagues and the department head, chair, or school director.

There is no specification for minimum or maximum time of service in the rank of associate professor with tenure. Consideration for promotion to professor may be requested of the department head, chair, or school director by a faculty member at any time. In the fall semester prior to applying for promotion to professor, a candidate must inform the head, chair, or school director of their intention to apply, thereby giving the department or school time to conduct a review of the candidate's progress, if such a review is deemed necessary. Each department or school determines the extent of this review.

3.4.1.2 Guidelines for the Calculation of Prior Service

~~Consult~~ For more information, consult [Request for Credit for Prior Service Toward Probationary Period](#) on the Faculty Affairs Forms webpage on provost's website.

At the time of a faculty member's initial appointment, the department head, chair, or school director notifies the new faculty member of their standing regarding the tenure system, including when the appointment will be considered for renewal and length of the probationary period until mandatory consideration for tenure.

Credit for prior service toward the probationary period may be granted for appropriate service in another accredited four-year college or university but only if the faculty member requests such credit. In such a request, the faculty member presents all prior service undertaken after the completion of the terminal degree appropriate to the field. A maximum of three years may be credited toward probationary service at Virginia Tech. The request must be made in writing within one year of the initial appointment. The specification of credit for prior service toward the probationary period is subject to the approval of the provost on the recommendation of the department head, chair, or school director and the dean.

3.4.1.3 Extension of Pre-Tenure Probationary Period (Extending the Tenure Clock)

~~Consult~~ For more information, consult [Request to Extend the Probationary Period \(Tenure Clock Extension\)](#)" on the provost's Faculty Affairs Faculty Forms webpage.

A one-year probationary period extension is automatically granted to either parent (or both if both parents are tenure-track faculty members) in recognition of the demands of caring for a newborn child or a child under five newly placed by adoption or foster care. The request should be made within a year of the child's arrival in the family.

An extension of the probationary period may also be approved on a discretionary basis for other extenuating non-professional circumstances that have a significant impact on the faculty member's productivity, such as a serious personal illness or major illness of a member of the immediate family. In rare cases, extraordinary professional circumstances not of the faculty member's own making may be acceptable justification for a probationary period extension, for example exceptional delays in providing critical equipment, laboratory renovations, or other elements of the committed start-up package essential to establishing a viable research program.

Faculty members who benefit from this policy are expected to fulfill their usual responsibilities during the probationary period extension unless they are also granted a period of modified duties or other arrangements are made. ~~Consult~~ For more information, consult [Work-Life Resources](#) on provost's Faculty Affairs webpage.

A probationary period extension is granted in one-year increments. A cumulative total of two years is usually the maximum probationary period extension for any combination of reasons. Requests should be made within a year of the qualifying event (such as the arrival of a child in the family) or extenuating circumstances (such as an illness). The provost may approve exceptions to these limitations.

Faculty members may only be evaluated two times for promotion and tenure or continued appointment. The two evaluations may each be in a non-mandatory year, but in the case of a second non-mandatory negative decision, the faculty member will not be allowed a third evaluation. If the second evaluation results in a negative decision, a one-year terminal appointment is offered.

Requests for a [probationary period extension](#) are submitted in writing to the department head, chair, or school director. (A form is available on the provost's website.) Approval is automatic for new parents. Documentation of medical reasons (other than childbirth or adoption) is required prior to approval; documentation of other extenuating circumstances may also be required. Approvals by the department head, chair, or school director, and dean, and provost are required for probationary period extensions. The faculty member may appeal denial of the request to the next higher level in their organizational reporting structure.

It is very important that all individuals and committees participating in tenure reviews understand that any individual who receives a probationary period extension must be held to the same standard—not a higher or more stringent one—to which other candidates without such an extension are held. This is also true in the case where the candidate's dossier is considered on the original schedule for review. However, in this instance where an approved extension was granted but not utilized, the tenure review is not considered mandatory and can be conducted again in the subsequent year without penalty. A probationary extension usually extends the time frame for each subsequent review and reappointment during the probationary period. For example, an extension granted prior to the fourth-year review and reappointment typically delays that review by one year.

3.4.2 General Expectations for Promotion and Tenure

Faculty members should contact the department head, chair or school director for guidance on college, department or school "Expectations Guidelines for Promotion and/or Tenure". In addition, consult [Promotion and Tenure](#)—on the provost's Faculty Affairs webpage.

In accordance with their assignments and as outlined in the [Guidelines, Templates, and Cover Pages for Tenure Track Faculty](#) available on the provost's Faculty Affairs webpage, candidates for promotion and/or tenure will be evaluated in the following categories: teaching, scholarship, and service. While candidates are not expected to have equal levels of commitment or equal responsibilities in all these areas, scholarship is expected of all tenure-track faculty members to a degree and in a discipline appropriate for their assignment.

Teaching (Includes advising/mentoring). Teaching is a multifaceted activity that includes formal and informal advising/mentoring. In any assessment of a candidate for promotion and/or tenure, both the quality and the quantity of the individual's achievements

in teaching and advising/mentoring should be considered. Those evaluating candidates for promotion and/or tenure should give special consideration to teaching effectiveness: faculty members must demonstrate the ability to evaluate scholarship applicable to their field and effectively teach their discipline to students. If applicable to the candidate's appointment, teaching may include didactic lecture classes and laboratory settings as well as integrated component of clinical practice.

Scholarship (Includes research, creative activities, and Extension activities).

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

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

Required Department or School (or College) "Expectations Guidelines for Promotion and/or Tenure". 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 or school 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 or school 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.

~~Consult~~ For more information, consult the [“Guidelines, Templates, and Cover Pages for Tenure Track Faculty”](#) ~~on at the provost’s Promotion and Tenure~~. All candidate dossiers must be submitted to the University Promotion and Tenure Committee according to the guidelines and ~~timeline~~ ~~timelinetime~~ ~~on the provost’s Faculty Affairs Promotion and Tenure webpage~~ [the Important Dates calendar](#). The department head, chair, or school director or the department or school committee is responsible for ensuring that the dossier conforms to these guidelines.

The criteria by which faculty with part-time appointments are evaluated for tenure are the same as the criteria by which full-time faculty are evaluated. Promotion and tenure committees consider years of full-time equivalent service when reaching decisions, excluding any approved probationary period extensions granted under the extending the tenure clock policy.

3.4.3 Departmental or School Evaluation for Promotion and Tenure

Determination of Candidates. In their promotion and/or tenure guidelines, each department or school 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.

If there is disagreement between the faculty member and the department/school about whether the faculty member should be considered for promotion and/or tenure, the faculty member may appeal the department/school decision to the dean of the college if they have at least four years in rank at Virginia Tech and they have requested consideration in writing in the prior year. The appeal must be based on achievement of the department/school and/or college "Expectations Guidelines for Promotion and/or Tenure." If the dean sustains the department/school negative decision, the faculty member may request a review of the decision by the properly constituted college committee on promotion and tenure. If either the dean or the college committee approve the faculty member's appeal prior to the completion of the fall term, then their case will be processed in the next promotion and tenure cycle. If the appeal is approved after the fall term, then their case will be processed in the year after the next promotion and tenure cycle.

Department or School Committee Composition: Each department or school 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, chair, or school director. Voting members for promotion and/or tenure for tenure-track faculty must be tenured. While the process of selecting committees may vary between departments or schools, significant elements of faculty choice, as determined through departmental or school 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, chair, or school director to appoint the committee from the slate; or a committee elected by the faculty. A minimum committee size of five members is most appropriate to achieve adequate representation and effectiveness of committee operations.

Department or School Committee Evaluation of Candidate. The committee chair or department head, chair, or school director furnishes the committee with a dossier for each candidate. After evaluating each candidate's dossier based on criteria established in the department or school's "Expectations Guidelines for Promotion and/or Tenure", 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.

Commented [RG20]: Revised description of appeals process per resolution approved by BOV on March 25, 2025 (CFA 2024-25E).

Given their responsibility to make a separate and independent recommendation on each case, department heads, chairs, or school directors 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, chair, or school director evaluates each candidate's dossier, including the committee's letter, based on criteria established in the department or school's "Expectations Guidelines for Promotion and/or Tenure" 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 at provost's~~ [Promotion and Tenure webpage](#). If the recommendation for promotion and/or tenure varies from the recommendation of the department or school committee, the reasons for that variance must be specified, including references to the department or school's "Expectations Guidelines for Promotion and/or Tenure". The department head, chair, or school director will share their letter with the department or school promotion and tenure committee as soon as it is available.

In all cases of a tenure decision in the final year of probationary service, the head, chair, or school director sends the dossier of every candidate to the dean, even when both the head, chair, school director and the committee have made negative recommendations.

In all other cases, the head, chair, or school director sends the dossier of every candidate to the dean, except if the committee's recommendation is negative and the head or chair concurs. Under those circumstances, the head, chair, or school director declares a final decision and no further review is carried out.

The dossiers that the head or chair sends to the dean are accompanied by a statement describing the formation and procedures of the department or school 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 or school committee's vote must be added to the dossier, but otherwise remains confidential.

3.4.4 College Evaluation for Promotion and Tenure

College Committee Composition. Each college must have a committee with appropriate faculty representation to review the recommendations on promotion and tenure sent by the department head, chair, or school director. Voting members for promotion and/or tenure for tenure-track faculty must be tenured. While the process of selecting committees may vary between colleges, rules governing eligibility and selection of college committee members and the committee chair, as well as operating guidelines for the committee's deliberations, must be documented and formally approved by the faculty. Significant elements of faculty choice must be part of the selection process. Some possible methods for committee selection include election by the college faculty; appointment by an elected college executive committee; a combination of elected and appointed (by the dean or college executive committee) representatives; or an elected slate significantly larger than the required committee size, thus allowing the dean or college executive committee to appoint the committee from the elected slate approved by the faculty. However, given their responsibility to make a separate and independent recommendation on each case, the dean may not serve as chair of the committee.

As far as possible, each department or school 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 or 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.

The committee may include department heads, chairs, school directors, or department-level promotion and tenure committee members. If department heads or chairs or school directors serve on college committees, their total number must be less than that of other faculty members and they may not vote on cases from their department/school, since each has already had an opportunity to vote or make a recommendation on those candidates.

The appointments of faculty members on the committee should be staggered to assure continuity from one year's deliberation to the next. If possible, members should not serve more than two successive terms (three-year terms are typical).

The college faculty representatives to the University Promotion and Tenure Committee must attend college promotion and tenure deliberations as non-voting observers but should not participate or attempt to influence college-level recommendations.

College Committee Evaluation of Candidate. The committee reviews the cases of all candidates recommended by the department or school committee and/or head or chair

Commented [RG21]: Revised description of appeals process per resolution approved by BOV on March 25, 2025 (CFA 2024-25E).

or school director as well as cases in their final year that receive negative recommendations by both a department or school committee and a head or chair.

The purpose of the review is to verify that the department or school's 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 or school committee or the department head, chair, or school director, reasons for that variance must be specified, including references to the relevant departmental or school "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 or schools, 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, chair, or school director, the candidate, and/or a representative(s) of the department or school committee to appear before the college committee to present additional information or clarify recommendations.

The dean may participate in committee discussions and serve in an advisory capacity to the committee to ensure compliance with college and university procedures. However, after the discussions with the dean, the committee must discuss the merits of the candidates, frame its recommendations, and take the final vote without the dean or other college-level personnel in attendance and without influence by the dean.

Dean's Evaluation of Candidate. The dean reviews the cases of all candidates considered by the college committee. The purpose of the dean's review is to verify that the department or school and college committee recommendations for promotion and/or tenure are consistent with the evidence, reflect college-wide standards, and conform to the college's expectations of the candidate's future success.

The dean writes a separate recommendation letter for every case sent to the provost. If the dean's recommendation for promotion and/or tenure varies from the recommendation made by the college committee, the reasons for that variance must be specified, including references to the relevant departmental or school "Expectations Guidelines for Promotion

and/or Tenure". Whenever the dean does not concur with the committee's recommendation, the committee is so notified. In instances of concurrence, the dean's letter may include additional points not raised in earlier evaluations. The dean may share their letter with the committee and will add it to the dossier.

For every promotion and/or tenure case whether in the final year of probation (mandatory), non-mandatory-year tenure, and/or promotion, if either the college committee's or the dean's recommendation is positive, the dossier is sent to the provost. If the college committee's recommendation is negative and the dean concurs, the dean declares a final decision and no further review is conducted.

The dossiers that the dean sends to the provost must be accompanied by a statement describing the formation and procedures of the college committee and a summary of the number of candidates considered by the committee in each category (mandatory tenure, non-mandatory-year tenure, and promotion at each rank). The division of the college committee's vote must be added to the dossier, but otherwise remains confidential.

3.4.5 University Evaluation for Promotion and Tenure

~~Consult~~ [For more information, consult Promotion and Tenure.](#)

University Promotion and Tenure Committee Composition. The University Promotion and Tenure Committee is appointed and chaired by the provost. The committee is composed of the college deans, a tenured faculty representative from each college, a tenured faculty member at-large, and the provost. The faculty subcommittee of the University Promotion and Tenure Committee includes the college faculty representatives plus the faculty member-at-large. The provost, who is a non-voting member, chairs both the full committee and faculty subcommittee. The vice provost for faculty affairs serves as resource and scribe for committee deliberations.

Significant elements of faculty choice must be part of the selection of the faculty subcommittee; therefore, each college faculty, through means deemed suitable by them, nominates two faculty members for each vacancy, from which the provost selects one. The Faculty Senate nominates two faculty members for the at-large appointment, from which the provost selects one. The selection of the faculty members should be based on demonstrated professional excellence. The faculty members of the committee hold rotating terms of three years. Regardless of the size of the committee, the faculty must always have a majority of the potential votes.

University Promotion and Tenure Committee Evaluation of Candidate. The committee reviews the qualifications of each candidate recommended for promotion and/or tenure by the college committee and/or the dean.

The purpose of the review is to verify that the recommendations for promotion and/or tenure are consistent with the evidence, reflect university-wide standards, and conform to the university's expectations of the candidate's future success.

The faculty sub-committee initially discusses all the cases with the provost in attendance. Committee members provide a brief summary of the cases from their college to begin the committee discussion, though they are not expected to champion or defend cases. After the discussions with the provost, the faculty subcommittee must be given a period of time to discuss the cases in the absence of the provost and all other university-level personnel. The provost then rejoins the subcommittee and asks the faculty to rate the cases to identify those they would like to discuss further with the deans. Deans are informed of which cases the faculty subcommittee would like to discuss further and the specific concerns the subcommittee has in each case.

The full committee then convenes. The deans present information based on faculty subcommittee concerns. The committee then rates the cases to clarify which cases require further discussion. Deans abstain from rating the candidates in their colleges, as the dean's statement, which is included in the dossier, serves as their estimation of the case's strength. The provost shares the result of the rating, after which the full committee discusses the cases. The committee adjourns and reflects upon the group discussion.

Upon reconvening, the provost invites committee members to comment on any case. The full committee then votes, with deans abstaining from voting on any candidates from their colleges. Similarly, faculty members serving on the committee do not vote on any case on which they previously voted.

The vote must occur using a secret ballot. Though the provost shares the result of the vote with the committee, committee members must keep the results confidential. The majority vote of the committee reflects either a positive or negative recommendation to the provost. A tie vote is considered a negative recommendation.

Following the committee's recommendation on each candidate to the provost, the provost makes recommendations to the president, informing the committee of those recommendations, including the basis for any non-concurrence with committee recommendations. The provost informs the president of any variation between the provost's recommendations and those of the committee.

The president makes recommendations to the Board of Visitors from among those candidates reported by the provost, with the Board of Visitors being responsible for the final decision.

The provost notifies the appropriate dean of any negative decision reached by the provost, the president, or the Board of Visitors. The dean, when notifying the faculty member in writing, notes appeal options.

3.4.6 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 or school 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, school, and/or college "Expectations Guidelines for Promotion and/or Tenure". Notification of a negative recommendation will occur within ten university business days after the completion of committee and administrator deliberations. Notification must include options for appeal. Exceptions to the time frame must be agreed upon by all parties. In cases with a negative recommendation from the provost, the provost does not forward the case to the president until the candidate has been notified and has had time to appeal. In cases with a final positive recommendation by the president, the provost notifies the appropriate dean who informs the candidate in writing of the reasons for the decision.

3.5 Appeals of Decisions on Non-Reappointment, Tenure, or Promotion

(for *grievances* see Faculty Grievance Policy and Procedures in this chapter of the faculty handbook)

Appeal. A faculty member who is notified of a negative decision following an evaluation for a term reappointment during the probationary period, for a tenured appointment, or for promotion may appeal for review of the decision under conditions and procedures specified in this section. The appellant has a right to an explanation of the reasons for the denial.

An appeal must be filed, in writing, within 10 university business days of formal notification of the decision, which shall explain the appeal procedures.

An appeal must be based on the following claims only: department or school criteria established in the relevant department or school's promotion and/or tenure guidelines were not appropriately applied; material from a dossier was unavailable to, or disregarded by, reviewers through no fault of the candidate; or information in the dossier was not considered, or that the decision was influenced by improper consideration.

Administrators and committees hearing an appeal must limit the scope of their recommendations to the claims presented above: in particular, they must not substitute their own judgment on the merits of the case for that of the body or individual responsible

for the decision under appeal. The recommendations should address the allegations in the appeal with specificity and cite appropriate evidence.

A faculty member can appeal the decision at more than one level. There is no appeal of the president's recommendation to the Board of Visitors or the board's final decision. Appeals should be resolved as quickly as possible without compromising thoroughness of review. Whenever possible, the appeal should be resolved in time to be reviewed at the first meeting of the Board of Visitors in the fall semester.

A faculty member with questions or concerns about the appeal process or who believes that the procedures described in this section have been improperly followed may, at any point, seek advice from the [Faculty Senate Committee on Reconciliation Director of Faculty Reconciliation](#).

Grievance. ~~Consult For more information, consult the Faculty Forms webpage for the grievance form~~ [Tenured, Tenure-Track, Continued Appointment, Continued Appointment-Track, and Non-Tenure-Track Instructional Faculty Grievance Form](#). Additionally, faculty have the option to grieve procedural violations of the promotion and tenure process—including violations of the appeal process presented in this section—after a negative decision on an appeal or instead of filing an appeal in the first place. Since the grievance procedures allow the grievant to state the grievance, they believe they have experienced and the relief they seek, it has a wider range of possible outcomes than the appeal process. However, because it is a slower process that may not be completed until the promotion and/or tenure cases in a given year have been decided, and because faculty cannot grieve “items falling within the jurisdiction of other university policies and procedures,” a grievance should be thought of as a means for faculty to seek an outcome they cannot seek through the appeal process. The grievance process is described in chapter three of this handbook below, “Faculty Grievance Policy and Procedures.”

3.5.1 Appeal of Probationary Non-Reappointment Decision

Faculty members on probationary term appointments should make no presumption of reappointment. The department head, chair, or school director with the advice of the department/school personnel committee or the faculty development committee determines non-reappointment. Notice of non-reappointment is furnished according to the schedule in chapter two of this handbook, “Retirement, Resignation, and Non-Reappointment.”

If the negative decision is based on evaluation of the faculty member's performance, including perceived lack of potential for further professional development, the faculty member may appeal the decision to the dean of the college. If the dean sustains the departmental or school 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 of this handbook, “Appeals of Decisions on Reappointment, Tenure, or Promotion.” The faculty member has the right to appear before the committee to present arguments. The college committee makes a recommendation to the dean, who informs the faculty member of the committee’s recommendation and the dean’s subsequent decision. The dean’s decision closes the appeal process, unless it varies from the college committee’s recommendation, in which case the faculty member may appeal to the provost for a final decision. The provost’s decision cannot be appealed.

3.5.2 Appeal of Promotion and/or Tenure Decision (and summary table)

For the purposes of appeal, tenure cases receiving their second review prior to the final year of probation (mandatory year) are treated like mandatory year cases.

Appeal of negative department or school ~~or college~~ decisions. Because all tenure cases evaluated in the final year of probation (mandatory year), even those given a negative recommendation by the department or school 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 or school 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.~~

Promotion-only cases and tenure cases in non-mandatory years given a negative recommendation by the department or school committee and the head or chair or school director may appeal to the dean.

~~Cases reviewed a second time within the probationary period whether promotion and/or tenure, if the committee and the relevant administrator both make negative recommendations, the candidate may appeal that negative decision to the next level in the process.~~ The faculty member appealing a departmental decision has the right to appear before the college committee considering the appeal and present arguments. If either the college committee or the dean grants the appeal of a negative department or school decision, the case resumes ~~normal~~ consideration, beginning with the college committee and dean.

If the college committee and the dean both make negative decisions, the appeal is denied and no further appeal is provided.

Appeal of negative college decisions. Promotion and/or tenure cases given a negative recommendation by the college committee and the dean may appeal to the provost.

The faculty member appealing a college decision has the right to appear before the University Promotion and Tenure Committee and present arguments. 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

Commented [RG22]: Revised description of appeals process per resolution approved by BOV on March 25, 2025 (CFA 2024-25E).

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 by the provost to the~~ Faculty Senate Review Committee. The faculty member has the right to appear before the committee to present arguments. The Faculty Review Committee investigates the case and makes a recommendation to the president. ~~The Faculty Senate Review Committee makes a recommendation to the president.~~ The president makes a recommendation to the Board of Visitors whose decision is final and cannot be appealed.

Table of appeal options. 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. ~~References to departments are inclusive of schools and references to department heads or chairs are inclusive of school directors. The table is for reference only.~~

DECISION / RECOMMENDATION	NEXT STEP
<u>Positive by department committee and by the department head or chair</u>	<u>Moves to college committee and dean</u>
<u>Negative by department committee; positive by department head or chair</u>	<u>Moves to college committee and dean</u>
<u>Positive by department committee; negative by department head or chair</u>	<u>Moves to college committee and dean</u>
<u>Negative by department committee and by department head or chair</u>	<u>Mandatory year:</u> <u>Automatically moves to college committee and dean</u>
	<u>All other cases:</u> <u>May appeal to the dean</u>
<u>Appeal granted by the dean and/or the college committee</u>	<u>Resumes review process in the college</u>
<u>Appeal denied by both the dean and the college committee</u>	<u>Process complete</u>
<u>Positive by college committee and by the dean</u>	<u>Moves to University Promotion and Tenure Committee and provost</u>

<u>Negative by college committee; positive by dean</u>	<u>Moves to University Promotion and Tenure Committee and provost</u>
<u>Positive by college committee; negative by dean</u>	<u>Moves to University Promotion and Tenure Committee and provost</u>
<u>Negative by college committee and the dean</u>	<u>May appeal to University Promotion and Tenure Committee (via the provost)</u>
<u><i>Appeal granted by the University P&T Committee or provost</i></u>	<u><i>Resumes review process at the university level</i></u>
<u><i>Appeal denied by the University P&T Committee and provost</i></u>	<u><i>Process complete</i></u>
<u>Negative by the provost</u>	<u>May appeal to Faculty Review Committee</u>
<u><i>Faculty Review Committee makes recommendation to president</i></u>	<u><i>President makes recommendation to Board of Visitors</i></u>
<u>Negative by president</u>	<u>No appeal</u>
<u>Negative by the Board of Visitors</u>	<u>No appeal</u>

3.6 Annual Evaluation and Salary Adjustments

The Board of Visitors delegates the authority to the president or the president's designee for selected faculty appointments and compensation actions as outlined in the Amended Delegation of Authority for Selected Personnel Actions dated June 11, 2024.

The Board of Visitors annually approves a faculty compensation plan, including the authorization of an annual merit process guided by the university's Faculty Handbook and processes provided by the commonwealth. 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.

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.

3.6.1 Required Department or School (or College) Expectations Guidelines for Promotion and/or Tenure

All departments or schools 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.

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-tenured 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 of this handbook, "Probationary Period."

Faculty members with part-time appointments are reviewed on the annual review cycle used for all faculty members in the department or school. 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.

3.6.2 Annual Faculty Activity Report (FAR)

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, school, college, or administrative unit,

as appropriate. Submission of a faculty activity report (FAR) may be required for consideration for a merit adjustment.

Virginia Tech uses an electronic faculty activity data system to collect and manage information about research and scholarship, creative works, teaching, Extension, outreach, and service activities. This system automates the production of annual faculty activity reports, promotion and tenure dossiers, and CVs, as well as department, school, college, and university level reports. The system also enables deposit and claiming of scholarly works in the [VTechWorks](#) institutional repository and will feed public web profiles using [VT Experts](#). Training for faculty is available through Virginia Tech's [Professional Development Network](#) and for departments on request. Faculty members should consult with their department head, chair, school director, or supervisor on the use of electronic faculty activity reporting.

3.6.3 Unsatisfactory Performance

For tenured and pre-tenured faculty members, failure to meet the minimum “Expectations Guidelines for Promotion and/or Tenure” 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.

3.7 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 of this handbook, “Dismissal for Cause,” or the right of individual faculty members to pursue existing mechanisms of reconciliation and redress.

A post-tenure review is mandatory whenever a faculty member with tenure receives two consecutive annual evaluations of unsatisfactory performance. Annual reviews for years spent on leave without pay are disregarded for the purpose of this calculation. The departmental/school promotion and tenure committee conducts the review unless the same committee participated in the original unsatisfactory annual evaluations. In this case, the department or school elects a committee to conduct the review.

Upon recommendation of the head, chair, or school director and with the approval of the dean, a post-tenure review may be waived or postponed if there are extenuating circumstances (such as health problems).

The purpose of a post-tenure review is to focus the perspective of faculty peers on the full scope of a faculty member's professional competence, performance, and contributions to the department or school, 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 or school, 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 or school's minimum "Expectations Guidelines for Promotion and/or Tenure" 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 or school's minimum "Expectations Guidelines for Promotion and/or Tenure". 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 of this handbook, "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 or school and college committees satisfy the requirement in step two in chapter three of this handbook, "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 of this handbook, "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 of this handbook, "Dismissal for Cause," begin immediately. The committee review satisfies the requirement in chapter three of this handbook for an informal inquiry by a standing personnel committee.

3.8 Annual and Periodic Review of Academic Administrators. College and Academic Deans, 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 ~~and vice presidents who report to the provost, the dean of University Libraries, the dean of the Honors College, dean of graduate education, and academic vice presidents~~ are subject to ~~reviews-periodic evaluations~~ 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~~

~~dean or vice president and any relevant college or unit constituents (such as the unit leadership team and/or college faculty association), as appropriate, with 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 teaching and research (T&R) 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 evaluation, the dean or vice president and any relevant college or unit constituents (such as the unit leadership team and/or college faculty association) will be notified of the review, and the those constituent groups may request a association may schedule a faculty meeting with the provost to discuss the upcoming review.~~

Commented [RG23]: Updated for consistency with changes to Policy 6105

3.9 Annual and Periodic Review of Department Heads, Chairs, and School Directors
Policy 6100, "Department Head, Chair, or School Director Appointment and Review," 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.

3.10 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).

3.10.1 Adequate Cause

Adequate cause for imposition of a severe sanction or dismissal is related, directly, and substantially, to the fitness of faculty members in their professional capacity as teachers and scholars. Imposition of a severe sanction or dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights.

Adequate cause includes: violation of professional ethics (see chapter two of this handbook "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.

3.10.2 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 this 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.

3.10.3 Dismissal for Cause

The following procedures apply to faculty members with tenure or for dismissal of a tenure-track faculty member before the end of their current contract. Dismissal is preceded by:

Step one. Discussions between the faculty member, department head, chair, or school director, dean, and/or provost, looking toward a mutual settlement.

Step two. Informal inquiry by a standing (or, if necessary, ad hoc) faculty committee having concern for personnel matters. This committee attempts to affect an adjustment and, failing to do so, determines whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the president's decision whether to proceed.

Step three. The furnishing by the president (in what follows, the president may delegate the provost to serve instead) of a statement of specific charges, in consultation with the department head, chair, or school director and dean. The statement of charges is included in a letter to the faculty member indicating the intention to dismiss, with notification of the right to a formal hearing. The faculty member is given a specified reasonable time limit to request a hearing; that time limit is no less than 10 days.

Procedures for conducting a formal hearing, if requested. If a hearing committee is to be established, the president asks the Faculty Senate, through its president, to nominate nine faculty members to serve on the hearing committee. These faculty members are nominated based on their objectivity, competence, and regard. They must have no bias or untoward interest in the case and be available at the anticipated time of the hearing. The faculty member and the president each have a maximum of two challenges from among the nominees without stated cause. The president then names a five-member hearing committee from the remaining names on the nominated slate. The hearing committee elects its chair.

Pending a final decision on the dismissal, the faculty member is suspended only if immediate harm to him or herself or to others is threatened by continuance. If the president believes such suspension is warranted, consultation takes place with the ~~Faculty Senate Committee on Reconciliation~~[Director of Faculty Reconciliation](#) concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.

Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the charges or asserting that the charges do not support a finding of adequate cause. In such a case, the hearing committee evaluates all available evidence and makes its recommendation based on the evidence in the record.

The committee, in consultation with the president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentation or other evidence. The administration cooperates with the hearing committee in securing witnesses and evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements from unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The president and the faculty member are notified of the recommendation in writing and are given a written copy of the recording of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity to respond.

Appeal to the Board of Visitors. If the president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board).

The board's review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the committee with specific objections. The committee then reconsiders, taking into account the stated objections and receiving new evidence if necessary. The board makes a final decision only after studying the committee's reconsideration.

Notice of termination/dismissal. In cases where gross misconduct is decided, termination is usually immediate. The standard for gross misconduct is behavior so egregious that it evokes condemnation by the academic community generally and is so utterly blameworthy as to make it inappropriate to offer additional notice or severance pay.

The first faculty committee that considers the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty member with tenure receives up to one year of salary or notice, and (b) a probationary faculty member receives up to three months' salary or notice. These terms of dismissal begin on the date of final notification of dismissal.

3.11 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.

3.11.1 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 university community member may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The Ombuds listen and explore options for addressing and resolving concerns or complaints. The Ombuds Office has no authority to make or reverse any decision made or actions taken by university authorities. It supplements, but does not replace, the university's existing conflict resolution resources and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Office will not accept legal notice on behalf of the university, and information provided to it does not constitute such notice. However, if someone wishes to make the university formally aware of a particular problem, the Office can provide instructions on how to do so. The only exception to this pledge of confidentiality is when the 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 and does not keep permanent records of confidential communications.

University Ombuds: Any member of the university community may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE), the university Ombuds Office. The Ombuds listens and explores options for addressing and resolving concerns

Commented [RG24]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

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 Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Faculty members may also contact the provost's office of Faculty Affairs regarding options for reconciliation support. Contacting the Faculty Senate Committee on Reconciliation DFR 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 DFR 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 grievance process. If the grievant requests assistance from the Faculty Senate Committee on Reconciliation DFR, ~~that committee~~ they requests a postponement of the time limits involved in the formal grievance procedure while ~~it~~ they deals with the case. The request is submitted in writing to the vice provost for faculty affairs and the vice president of the faculty senate by the chair of the Faculty Senate Committee on Reconciliation DFR. ~~Also~~ In addition, the grievant should reach an understanding with the Faculty Senate Committee on Reconciliation DFR of the time frame planned for ~~that committee's~~ working on the case, with such time not to exceed 60 calendar days.

Faculty members may also consult the ~~Faculty Senate Committee on Reconciliation~~ DFR about serious disagreements with colleagues, immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the ~~committee~~ DFR 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 provost.

Commented [RG25]: Revisions made through governance, will be brought to BOV for approval in June (CFA 2024-25H)

Mediation and Other Conflict Resolution Services: The Office for Civil Rights Compliance and Prevention Education (OCRCPE) offers a range of conflict resolution services, including conflict coaching, mediation, and group facilitations. In general, OCRCPE's conflict resolution services are available in matters related to the office's work to maintain working environments free from discrimination.

Mediation is a voluntary process through which one or more trained facilitators assist employees in expressing concerns and developing solutions to a conflict in a structured environment. Mediation differs from faculty reconciliation in that mediation facilitators do not conduct fact-finding or evaluate decisions. Mediation may be available prior to or after filing a grievance. Any party to a grievance process may request mediation prior to step three of the process. If both parties voluntarily agree to try mediation and the university, usually through the OCRCPE, appoints a facilitator, then the grievance is placed on administrative hold until the mediation process is complete. If a resolution is reached through mediation, then the parties are responsible to each other for ensuring that the provisions of the resolution agreement are followed. If any party withdraws from mediation or the facilitator terminates the process without agreement, then the grievant may request that the grievance be reactivated and the process continues.

A/P faculty members and supervisors are encouraged to consider using conflict resolution services like mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

Mediation. Conflict resolution and mediation are provided by the Office for Civil Rights Compliance and Prevention Education. Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of mediators: Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting mediation: Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. In the event that the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

3.11.2 The Formal Grievance Procedure

~~Visit the Faculty Forms on the provost's Faculty Affairs webpage for the grievance form.~~

If the assistance of the ~~Faculty Senate Committee on Reconciliation~~DFR is not desired or is not requested; or if ~~that committee~~ DFR determines that ~~it they~~ cannot provide assistance in the matter; or if the grievant finds that the length of time the ~~Committee on Reconciliation~~DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of ~~that committee~~the DFR, 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. For more information, consult the Tenured, Tenure-Track, Continued Appointment, Continued Appointment-Track, and Non-Tenure-Track Instructional Faculty Grievance Form.

Step one. The grievant must meet with the immediate supervisor (usually the department head, chair, or school director) within 30 calendar days of the date that grievant knew or should have known of the event or action that is the basis for the grievance and orally identifies the grievance and the grievant's concerns. The supervisor provides an oral response to the grievant within five weekdays following the meeting. If the supervisor's response is satisfactory to the grievant, that ends the matter.

Step two. If a satisfactory resolution of the grievance is not achieved by the immediate supervisor's oral response, the grievant may submit a written statement of the grievance and the relief requested to the immediate supervisor. This statement must be on the faculty grievance form, must define the grievance and the relief requested specifically and precisely, and must be submitted to the immediate supervisor within five weekdays of the time when the grievant received the immediate supervisor's oral response to the first step meeting. Faculty grievance forms are available ~~on at~~ the ~~provost's Faculty Forms Faculty~~

Commented [RG26]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

[Forms page](#). Within five weekdays of receiving the written statement of the grievance, the immediate supervisor, in turn, gives the grievant a written response on the faculty grievance form, citing reasons for action taken or not taken. If the written response of the immediate supervisor is satisfactory to the grievant, that ends the matter.

Step three. If the resolution of the grievance proposed in the written response by the immediate supervisor is not acceptable, the grievant may advance the grievance to the next level of university administration by checking the appropriate place on the faculty grievance form, signing and sending the form to the next level administrator within five weekdays of receiving the written response from the immediate supervisor. The next level of administration for college faculty is usually the college dean. The administrator involved at this next level is hereafter referred to as the second-level administrator. Following receipt of the faculty grievance form, the second-level administrator, or designated representative, meets with the grievant within five weekdays. The second-level administrator may request the immediate supervisor of the grievant be present; the grievant may similarly request that a representative chosen from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the second-level administrator does not have legal counsel present. The second-level administrator gives the grievant a written decision on the faculty grievance form within five weekdays after the meeting, citing reasons for the decision. If the second-level administrator's written response to the grievance is satisfactory to the grievant it ends the matter.

Step four. If the resolution of the grievance proposed in the written response from the second-level administrator is not acceptable, the grievant may advance the grievance within five weekdays to the level of the provost, including consideration by an impartial hearing panel of the Faculty Senate Review Committee.

Upon receiving the faculty grievance form requesting step four review, the provost, or appropriate designated representative, acknowledges receipt of the grievance within five weekdays and forwards a copy of the ["Procedures of the Faculty Senate Review Committee"](#) to parties in the grievance process. The provost immediately forwards a copy of the grievance to the president of the Faculty Senate, who also writes to the grievant to acknowledge receipt of the grievance within five weekdays of receipt of the faculty grievance form from the provost.

The grievant may petition the provost to bypass the Faculty Senate Review Committee and rule on the grievance. If the provost accepts the request, there is no subsequent opportunity for the grievance to be heard by a hearing panel. The provost's decision, however, may be appealed to the president, as described in step five. If the provost does not accept the petition, the Faculty Senate Review Committee hears the grievance as outlined in these procedures.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

Hearing panel. A hearing panel consists of five faculty members appointed by the chair of the Faculty Senate Review Committee from among the members of the Faculty Senate Review Committee. The chair of the Faculty Senate Review Committee polls all appointees to ensure that they have no conflict of interest in the case. Both parties to the grievance may challenge one of the appointments, if they so desire, without need to state cause, and the chair of the Faculty Senate Review Committee appoints the needed replacement or replacements. Other replacements are made only for cause. The chair of the Faculty Senate Review Committee rules on issues of cause.

To ensure uniformity in practice, the chair of the Faculty Senate Review Committee or their designee serves as the non-voting chair of each hearing panel. If the chair of the Faculty Senate Review Committee has a conflict of interest concerning a case, the chair appoints a disinterested third party from among the members of the Faculty Senate Review Committee not already appointed to the hearing panel for the case to serve as chair of the hearing panel.

Hearing. After a hearing panel is appointed, the chair of the Faculty Senate Review Committee requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Faculty Senate president. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling. The hearing is then reconvened as appropriate.

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak on their behalf if so requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsels are present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel.

Findings and recommendations. The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Faculty Senate president. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the provost, the grievant, and the chair of the Faculty Senate Review Committee.

Provost's action. The provost meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant about the prospects for disposition of the case. Within 10 weekdays of that meeting, the provost sends to the grievant the decision in writing concerning the disposition of the grievance. If the provost's decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel that ends the matter.

Step five. If the provost's decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the president within 20 calendar days. The president's decision is final.

3.11.3 Timeliness of Grievance and Procedural Compliance (see chart below)

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time when the event or action should have been known and is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution was accepted as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the enforcement of the most recently proposed resolution. The finding on the matter by the chair of the Faculty Review Senate Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee of the president of the Faculty Senate, the chair of the Faculty Senate Committee on ~~Reconciliation~~Ethics, 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.

3.11.4 Valid Issues for Grievance

For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation; unreasonable merit adjustment or salary level; excessive teaching load/work assignments; substantive violations of promotion and tenure procedures including the appeal process (see appeal process in chapter three of this handbook “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, appeals of non-reappointment, promotion and/or tenure decisions); the contents of personnel and other 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 Ethics](#), 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.

3.11.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. Visit ~~the provost's Faculty Forms webpage~~[Faculty Forms](#) for the ["Agreement to Extend the Deadline for Grievance Response" form](#)~~form~~ ~~Grievance: Agreement to Extend Deadline for Response~~.

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from the assigned work location at the time the event or action is discovered and is the basis for a grievance, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

"Weekdays," as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such a time as the grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers there is a grievance about actions by an administrator above the level of immediate supervisor that directly involve the faculty member, or with actions by an administrator not in the department or school 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 an 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.

3.11.6 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 of this handbook for “The Formal Grievance Procedure”.

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

Step One

Timing	Step Number and Description
Within 30 days of the event	1a. Grievant meets with immediate department head, chair, school director, or supervisor.

Within 5 weekdays of 1a.	<p>1b. Department head, chair, or school director provides verbal response.</p> <p>1c. If department head, chair, or school director's response is satisfactory to grievant, that ends the matter.</p> <p>1d. If department head, chair, or school director's response is not satisfactory to grievant, move to step two within 5 weekdays.</p>
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Step Two

Timing	Step Number and Description
Within 5 weekdays of 1d.	2a. Grievant submits written grievance to department head, chair, or school director.
Within 5 weekdays of 2a.	<p>2b. Department head, chair, or school director responds in writing on grievance form.</p> <p>2c. If department head, chair, or school director's response is satisfactory to grievant, that ends the matter.</p> <p>2d. If department head, chair, or school director's response is not satisfactory to grievant, move to step three within 5 weekdays.</p>

Step Three

Timing	Step Number and Description
Within 5 weekdays of 2d.	3a. Grievant advances grievance form to the second-level administrator (usually dean).
Within 5 weekdays of 3a.	3b. Dean meets with grievant; dean may request department head, chair, or school director to be present.
Within 5 weekdays of 3b.	<p>3c. Dean responds in writing on grievance form.</p> <p>3d. If the dean's written response is satisfactory to grievant, that ends the matter.</p> <p>3e. If the dean's written response is not satisfactory to grievant, move to step four within 5 weekdays.</p>

Step Four

Timing	Step Number and Description
Within 5 weekdays of 3e.	4a. Grievant advances grievance form to the provost.

Within 5 weekdays of 4a.	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.
Within 5 weekdays of 4b.	4c. Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.
Within 15 weekdays of 4b.	4d. Faculty Senate Review Committee chair appoints hearing panel from among Faculty Senate Review Committee members; panel holds its initial meeting with both principals.
Within 45 weekdays of 4d.	4e. The hearing panel concludes its work and makes recommendations to the provost and grievant.
Within 10 weekdays of 4e.	4f. The provost meets with grievant.
Within 10 weekdays of 4f.	4g. The provost notifies grievant, in writing, of the decision.
	4h. If the provost's decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendation of the hearing panel, that ends the matter.
	4i. If the provost's decision is not acceptable to the grievant and not consonant with the recommendation of the hearing panel, move to step five within 20 calendar days.

Step Five

Timing	Step Number and Description
Within 20 calendar days of 4i.	5a. Grievant appeals in writing to the president. 5b. The president's decision is final.

3.12 Research Leaves for Tenured Faculty

For more information, consult ~~Information on faculty research leaves is on the Research Leaves webpage on the provost's Faculty Affairs website.~~

Study-Research Leave. Study-research leave may be granted to faculty members for research and/or advanced study necessary to enhance the competencies of those faculty members to conduct their obligations to the university.

Full-time tenured faculty members with the rank of associate professor or higher, having accrued a minimum of six years of service, are eligible for study-research leave. Requests may be submitted prior to completion of six years of service, but faculty members must have tenure and have completed the sixth year before the leave period begins.

Following a period of study-research leave, an additional six years of full-time service are necessary before a faculty member is eligible for another leave. Time spent on study-research leave, educational leave, or leave without pay is not considered in compiling minimum service requirements for further leaves.

As part of the commonwealth's educational leave program, recipients of study-research leaves are provided with partial salary (not to exceed one-half salary). Full employee benefits remain in force while faculty members are on study-research leaves. Calendar year faculty on study-research leave earn annual leave at a rate of half their usual annual leave earnings.

Instead of a proposal for leave of a full academic or calendar year, faculty members may propose a sequence of semester leave periods at half-salary over several years, not to exceed in total one academic year (for a faculty member on academic year appointment) or 12 months (for a faculty member on calendar year appointment). If such a sequence of leaves is undertaken, all intervening periods of full-time appointment at Virginia Tech accrue toward the six-year minimum service required before eligibility for another study-research leave or sequence of leaves.

Alternatively, following completion of any study-research leave, faculty members may propose a single semester of study-research leave at half-salary following three years of full-time service to the university.

Recipients of a study-research leave may receive additional compensation from other approved sources up to a total equal to their annual salary from the university. Faculty members may receive the additional half salary from sponsored grants or contracts, resulting in a one-year period at full salary from university sources; the appropriate level of effort must be expended on grant-related activities. They may also obtain additional funds from external sources to cover expenses for travel, research, administrative assistance, and the purchase of relevant materials. Documentation of all external earnings and expected payments is required and must be reviewed and approved by the department head, chair, or school director and provost. Engagement in consulting activities must be consonant with existing university policy.

The request for study-research leave is made in the fall and, if approved, is taken the following academic year. Requests for study-research leave should be submitted to the department head, chair, or school director by November 1 for processing through the college, provost, for consideration by the Board of Visitors at their spring meeting (usually

March). 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 or school's program. [Deadlines](#) ~~Deadlines~~ are established annually and available on ~~the provost's Faculty Affairs Research Leaves webpage~~ [Research Leaves](#) and on the [Important Dates calendar](#).

Changes not requiring approval by the Board of Visitors. Listed below are changes to an approved study research leave that require department or school, college and provost approval but do not require additional review by the Board of Visitors:

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

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave or repay the university the salary received plus interest. If less than this required period of service is met, repayment is required proportional to the compensation provided by the university during the leave period. The faculty member, before undertaking the leave, must sign a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and department head, chair, or school director summarizing accomplishments.

Research Assignment. [For more information, Information on faculty research leaves is on the consult Research Leaves webpage on the provost's Faculty Affairs website.](#)

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, dean 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, library 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. 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 reviews and 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. [Deadlines](#) are established annually and available ~~on the provost's Faculty Affairs Research Leaves webpage at~~ [Research Leaves](#).

Changes not requiring approval by the Board of Visitors. Listed below are changes to an approved research assignment that require department or school, college and provost approval but do not require additional review by the Board of Visitors:

- Postponement of research assignment for up to 1 year;
- Change from a full year research assignment to a half-year leave (or vice versa);

- Change in the location of research assignment;
- Cancellation of the research assignment.

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave. If less than this required period of service is met, repayment is required of a proportion of the compensation provided by the university during the leave period. The faculty member, before undertaking the research assignment, must sign a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and department head, chair, or school director summarizing accomplishments.

3.13 Work-Life Resources for Tenure Track and Tenured Faculty

~~Consult~~ [Consult Work-Life Resources](#) on the provost's Faculty Affairs webpage including for information on dual career program, tenure clock extension, modified duties, caregiving, part-time employment, retirement transition and other university resources.

3.13.1 Dual Career

Virginia Tech recognizes that meeting the needs of today's professional couples is a key factor in recruiting and retaining new faculty, and that many prospective candidates for faculty positions have spouses or partners who are also seeking employment. Given limited funding, priority will be given to individuals with outstanding faculty credentials where the primary candidate is being recruited for a tenure-track faculty or senior administrative position. ~~Guidelines for department heads, chairs, and school directors~~ [Dual career guidelines for department heads, chairs, and school directors](#) are available ~~on the~~ [provost's Dual Career Program](#). ~~The Human Resources Dual Career Program page provides additional support for faculty spouses and partners seeking employment in the New River Valley.~~ [Consult chapter 2 of this handbook, "Dual Career Program" for additional information.](#)

3.13.2 Modified Duties

~~Consult~~ [For more information, consult the vice provost for faculty affairs memo "Faculty Support Programs for Birth or Adoption of a Child" Guidance on Paid Parental Leave and Modified Duties on the](#) [provost's Vice Provost Memos](#).

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.

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 [at on the provost's Faculty Forms page](#). The plan of proposed activities is developed in consultation with the department head, chair, or school director and the dean. The duties can be department-based, college-based, or a combination.

Subject to available funding, the ~~Office-provost's office of the Executive Vice President and Provost~~ provides an allotment to the faculty member's unit to replace teaching (or to use in other ways relevant to the modification of duties) that is lost through the granting of a term of modified duties. Additional support from departments, schools, and colleges is strongly encouraged, and should be noted in the request.

Approval of the department head, chair, school director, dean, and provost is required. If the department head, chair, or school director does not support the request, the reasons for denial are provided in writing, and the request is automatically forwarded to the dean for further review. The decision of the dean is final.

3.13.3 Voluntary Transitional Retirement Program (VTRP)

[Policy 4410, "Voluntary Transitional Retirement Program for Tenured Faculty"](#) ~~Voluntary Transitional Retirement Program~~ outlines a program to assist the university's tenured and continued appointment faculty in their transition from full-time active service to retirement and, in some cases, to facilitate their subsequent part-time re-employment to address staffing needs or to support research efforts. Consult "Retirement Transition" ~~on the provost's Faculty Affairs at Work-Life Resources~~.

CHAPTER FOUR: UNIVERSITY 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 Continued Appointment or Continued Appointment-Track

The policies applicable to faculty members with continued appointment or on the continued appointment-track are covered in this chapter of the faculty handbook. Policies are in chapter seven of this handbook for University Libraries faculty who are not on the continued appointment track or on a continued appointment.

~~Consult For more information, consult University Libraries employment website University Libraries eEmployment for information.~~

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.

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 the 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 the college faculty may be tenured or on the tenure-track. 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.

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 for [promotion and continued appointment](#), to instill the highest professional standards in the University Libraries faculty. These procedures are contained in Procedures on Promotion and Continued Appointment in University Libraries.

Information on promotion and continued appointment is available ~~on the~~ [provost's Promotion and Tenure webpage](#). The University Promotion and Continued Appointment Committee reviews and makes recommendations to the ~~executive vice president and provost~~ (provost).

The University Promotion and Continued Appointment Committee is comprised of representatives from the libraries and colleges who serve in staggered terms. The schedule of these appointments can be found on the provost's Promotion & Tenure page.

4.2 Faculty Ranks for Continued Appointment Track and Continued Appointment

Ranks: assistant professor, associate professor, professor

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.

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 of continued appointment 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 of this handbook, "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. [For more information, consult ~~Information on Faculty Qualifications for Teaching~~is on the provost's Faculty Affairs.](#)

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.

4.3 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. Final approval rests with the Board of Visitors.

The dean forwards to the provost and president for their consideration and decision: the candidate's application package, including cover letter, curriculum vitae, and at least two letters of reference which address the appointment of rank and continued appointment; documentation of the library Promotion and Continued Appointment committee's approval of rank and continued appointment and concurrence of the dean with as much supporting evidence as deemed appropriate; and a brief overview of the search itself including how many candidates applied, were interviewed, and what is the compelling case for the candidate.

In general, faculty recruited from a comparable university should be recommended for a position at Virginia Tech at a similar level to continued appointment. If the recommended appointment involves a promotion or the initial awarding of a continued appointment, the case must be strongly justified. If an individual is coming from a university with a less extensive research mission, the case must be strongly justified.

4.3.1 Temporary, Part-Time, Continued Appointment and Continued Appointment-Track

Part-time continued appointment and continued appointment-track appointments are either term or permanent. Term part-time appointments are in increments from one semester up to two years. During the duration of a part-time term appointment, terms of the appointment are only changed via the agreement of all parties. A term agreement must specify the date on which the faculty member is expected to return to full-time status. Renewal of a term appointment should be negotiated no less than three months before the end of the current term so that the department can plan accordingly. For term part-

time appointments, departments can use the salary savings to replace the work of the faculty member on the part-time appointment.

Only the faculty member may initiate a request for conversion from full-time to part-time appointment. The reasons for the request for a change in the percentage of the appointment should be clearly stated. The appropriate supervisor should make a careful assessment of the needs of the department and works with the faculty member requesting a part-time appointment to facilitate the request whenever possible. The period for which this part-time appointment is granted shall be clearly stated (renewable terms from one semester up to two years, or permanent). The written agreement should include a careful and thorough statement of work expectations for the part-time appointment. Generally, faculty members continue to contribute to all areas of responsibility, but with reduced expectations for accomplishment proportional to the fractional appointment. Service responsibilities for faculty members on part-time appointments are proportional to their appointments. Faculty members on part-time appointments are not excused from 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.

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.

4.3.2 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 Reappointment, Promotion and/or Continued Appointment

Faculty members should contact the department head or supervisor for guidance on department and University Libraries expectations for promotion and continued appointment. For more information, consult the University Libraries [procedures for promotion and continued appointment](#) webpage. ~~or In addition, consult the provost's "Promotion and Tenure" webpage.~~

The university is committed to academic freedom. Virginia Tech 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).

Eligibility. 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.

4.4.1 Probationary Period and Progress Reviews (pre-continued appointment).

The term "probationary period" 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.

Evaluations of University Libraries faculty during the probationary period are of two sorts: (1) annual evaluation of all library faculty by their supervisors and (2) reappointment review by the Library Promotion and Continued Appointment (L-P&CA) Committee in the candidate's second and fourth year, in which the committee makes a recommendation to the dean of university libraries.

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 (CY) or academic year (AY) 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 faculty 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 of this handbook "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 of this handbook "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 an accredited American four-year college or university may be credited toward the six-year probationary period, as specified in chapter four of this handbook "Guidelines for the Calculation of Prior Service."

A faculty member on probationary appointment who wishes to request a leave of absence consults with the dean about the effect of the leave on the probationary period, considering the professional development that the leave promises. The request for leave addresses this matter and the provost's approval of the leave request specifies whether the leave is to be included in the probationary period.

4.4.1.1 Guidelines for the Calculation of Credit for Prior Faculty Service

For more information, consult the Request for Credit for Prior Service Toward Probationary Period form. Consult "Request for Credit for Prior Service Toward Probationary Period" on the Faculty Affairs Forms webpage on provost's website.

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 appointee is given clear notice of when their appointment 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. ~~A Request for Prior Credit form is available on the Faculty Affairs Faculty Forms webpage.~~

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.

4.4.1.2 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 by 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 of this handbook "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 of this handbook, "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.

4.4.2 Guidelines and Evaluation for Promotion and Continued Appointment

~~Faculty members should contact the department head or supervisor for guidance on~~ Consult University Libraries Employment for more information on "Procedures on

~~Promotion and Continued Appointment” is on the libraries website, and as well as on the provost’s Promotion and Tenure webpage~~[Promotion and Tenure](#).

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 faculty members in the colleges): first by the University Libraries promotion and continued appointment committee and dean of University Libraries, and second by the University Promotion and Continued Appointment Committee and the provost.

Although some participants in the review process may serve at more than one level, participants may only vote once on a case. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Because the job descriptions and responsibilities of the candidates being considered do not conform to a single pattern or norm, it is not possible to set forth a statement of criteria with reference to which all recommendations for promotion or continued appointment must be made. Nevertheless, members of the general faculty seeking continued appointment or promotion in faculty rank are generally expected to have records of outstanding accomplishment in an appropriate combination of the following categories:

Professional responsibilities: Fulfilling the responsibilities of the position within the organizational unit by effective staff work, display of leadership, and a high degree of initiative.

Research and scholarly activities: Publishing in journals, presenting papers at professional meetings, developing other works of creative scholarship, organizing or chairing sessions at professional meetings, and fulfilling instructional responsibilities or graduate student advising.

University activities: Participating in the conduct of the activities of the administrative unit and the university. Such service takes innumerable forms, including serving on committees or in faculty governance positions, or participating in seminars or conferences.

External activities: Participating in local, state, regional, and national professional associations. Such participation includes activities such as holding office, serving on committees, conducting workshops, serving on panels, and attending conferences, conventions, or meetings.

Awards and honors: Receiving awards, grants, and honorary titles or being selected for membership in honorary societies.

Activities and accomplishments in other appropriate areas, beyond these five, may be included in dossiers and are considered.

University Libraries faculty are expected to develop within this framework the performance criteria that are most relevant to the responsibilities of those units. These criteria serve both as an aid to faculty development and as a set of measures that the University Promotion and Continued Appointment Committee may apply.

The criteria by which faculty with part-time appointments are evaluated for continued appointment is the same as the criteria by which full-time faculty are evaluated. Promotion and continued appointment committees consider years of full-time equivalent service when reaching decisions, excluding any approved probationary period extensions granted under the extending the tenure or continued appointment clock policy.

Besides consideration of specific professional criteria, evaluation for promotion or continued appointment should consider the candidate's integrity, professional conduct, and ethics. To the extent that such considerations are significant factors in reaching a negative recommendation, they should be documented as part of the formal review process.

4.4.3 Evaluation for Promotion and/or Continued Appointment by University Libraries Promotion and Continued Appointment Committee (Review Committee)

The University Libraries has a committee with appropriate faculty representation to evaluate candidates for promotion and/or continued appointment. [Consult University Libraries Employment for more information on "Procedures on Promotion and Continued Appointment".](#) ~~University Libraries Faculty Promotion and Continued Appointment information.~~

The University Libraries review 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. The review 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.

Rules governing eligibility and selection of members to serve on the 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 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.

4.4.5 The University-level Committee Evaluation for Promotion and Continued Appointment

The University Promotion and Continued Appointment Committee (university-level committee) is appointed and chaired by the provost or the provost's designee. The university-level committee reviews the qualifications of the candidates recommended for promotion and/or continued appointment by the dean of University Libraries. It also reviews those cases in which the dean does not concur with positive recommendations of the library promotion and continued appointment (review committee's). (A university-level committee review of a case with differing recommendations by the library dean and the review committee is automatic and does not require an appeal.) The purpose of the review is to verify that the recommendations are consistent with the evidence, reflecting university standards, and that they are consistent with university objectives, programmatic plans, and budgetary constraints.

The university-level committee makes a recommendation on each candidate to the provost. The provost makes recommendations to the president, informing the university-level committee of those recommendations, including the basis for any non-concurrence with the university-level committee's recommendations. The provost informs the president of any variation between the provost's recommendations and those of the university-level committee.

The president makes recommendations to the Board of Visitors. The Board of Visitors makes the final decision.

The provost notifies the dean of any negative decision reached by the provost, the president, or the Board of Visitors. The dean notifies the faculty member, in writing, and notes appeal options.

The University Promotion and Continued Appointment Committee (university-level committee) consists of the dean of the University Libraries; three University Library faculty members with continued appointment; and two faculty members at the associate or professor level with tenure in one of the colleges. The provost asks for nominations to the university-level committee from the University Libraries faculty. Where possible, some significant element of faculty choice should be part of the selection procedure.

All members of the university-level committee hold voting privileges. Regardless of the size of the committee, the faculty must always have at least a majority of the potential votes. Consistent with the principle that participants at all levels of the promotion and continued appointment review process vote only once on an individual case, the dean does not vote on cases from the University Libraries. Similarly, faculty members serving on the university-level committee do not vote on any case they previously voted on, should this circumstance occur.

Members of the university-level committee with continued appointment in the University Libraries hold staggered terms of three years; university-level committee members with tenure in a college hold staggered terms of two years; the provost makes the committee appointments. The provost or designee chairs the committee but does not vote.

All voting within the committee should be by written secret ballot; the division of any ballot must remain confidential.

4.4.6 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 of this handbook, "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.

4.4.7 Promotion Consideration and Decision

There is no specification for minimum or maximum time of service in any rank. A faculty member may request at any time consideration for promotion in rank if the library promotion and continued appointment committee (review committee) has not chosen to undertake such an evaluation.

However, appeal of a negative promotion decision is provided only if the faculty member has been in rank for at least six years and if the faculty member has formally requested, in writing, consideration for promotion in a previous year. Candidates for promotion who have been denied by both the review committee and the dean of University Libraries may appeal to the provost, who asks the University-level Promotion and Continued Appointment Committee to consider the appeal. The faculty member presents the appeal in writing as specified in chapter four of this handbook, "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.

4.4.8 Review of Progress Toward Promotion to Professor

Faculty awarded continued appointment at the rank of assistant or associate professor are required to go through at least one review of progress toward promotion. The review is required for faculty members promoted and awarded continued appointment during 2019-2020 and thereafter.

This review will take place by the fifth year after continued appointment, or the last promotion was awarded. The faculty member can elect to submit a review prior to the fifth-year deadline; otherwise by the fifth year the faculty member will receive a notice to submit a review. All reviews of progress towards promotion will be conducted by the library promotion and continued appointment committee (review committee). The review committee will provide a recommendation letter to the candidate prior to the next promotion and continued appointment review cycle.

Candidates undergoing a review of progress towards promotion will submit to the library promotion and continued appointment committee (review committee) documentation

based on [University Libraries policies](#) highlighting the contributions and service since continued appointment or the last promotion was awarded. The review committee will provide feedback focusing on the faculty member's progress toward promotion. The developmental guidance should focus on recommended future activities and plans that will position the faculty member for promotion. Review committee recommendation letters will be in writing; the faculty member will acknowledge receipt by signing and returning a copy of the letter to the personnel officer for departmental file. In addition, the faculty member may request a meeting with the review committee to discuss the review and recommendations. Individual faculty members are also encouraged to seek guidance and mentoring from senior colleagues and/or supervisor(s).

4.4.9 Appeals of Decisions on Reappointment, Continued Appointment, or Promotion

A faculty member who is notified of a negative decision following evaluation for a term reappointment during the probationary period, for continued appointment, or for promotion may appeal for review of the decision under conditions and procedures specified in this section. The appellant has a right to an explanation of the reasons contributing to the denial.

Such an appeal must be filed, in writing, within 14 calendar days of formal notification of the decision, which shall refer to appeal procedures. The appeal can only be based on the grounds that certain relevant information was not provided or considered in the decision, or that the decision was influenced by improper consideration.

In their recommendations, administrators and committees hearing an appeal should address the standards outlined in the previous paragraph. In particular, they shall not substitute their own judgment on the merits for that of the body or individual that made the decision under appeal. The recommendations should address the allegations in the appeal with specificity and cite appropriate evidence.

Appeals should be resolved as quickly as possible without compromising fairness or thoroughness of review. Whenever possible, the goal should be to achieve a final resolution in time to accommodate the first meeting of the Board of Visitors in the fall semester.

A faculty member who believes that the appeal procedures described in this section have been improperly followed may, at any point, seek advice from the [Faculty Senate Committee on Reconciliation](#) [Director of Faculty Reconciliation](#) and/or file a grievance in accordance with the grievance procedure in chapter four of this handbook, "Faculty Grievance Policy and Procedures."

4.5 Annual Evaluation and Post-Continued Appointment Review

4.5.1 Annual Evaluation and Salary Adjustments

The Board of Visitors delegates the authority to the president or the president's designee for selected faculty appointments and compensation actions as outlined in the Amended Delegation of Authority for Selected Personnel Actions dated June 11, 2024.

The Board of Visitors annually approves a faculty compensation plan, including the authorization of an annual merit process guided by the university's Faculty Handbook and processes provided by the commonwealth. 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.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the department head or supervisor 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.

Annual Faculty Activity Report (FAR). 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 head, supervisor, or administrative unit, as appropriate. Submission of a faculty activity report (FAR) may be required for consideration for a merit adjustment.

Virginia Tech uses an electronic faculty activity data system to collect and manage information about research and scholarship, creative works, teaching, Extension, outreach, and service activities. This system automates the production of annual faculty activity reports, promotion and continued appointment dossiers, and CVs, as well as department or other administrative unit and university level reports. The system also enables deposit and claiming of scholarly works in the [VTechWorks](#) institutional repository and will feed public web profiles using [VT Experts](#). Training for faculty is available through Virginia Tech's [Professional Development Network](#) and for departments on request. Faculty members should consult with their department or supervisor on the use of electronic faculty activity reporting.

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 University Libraries 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.

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.

4.5.2 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 ~~periodic evaluations~~[reviews](#) every five years. If the review cannot be conducted in the fifth year as would usually be the case, the provost informs the ~~dean or vice president and any relevant college or unit constituents (such as the unit leadership team and/or college faculty association), as appropriate, with 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 ~~teaching and research (T&R) faculty in the University Libraries~~[continued appointment faculty](#). In the semester prior to a periodic ~~review~~[evaluation](#), ~~the dean and any relevant college or unit constituents (such as the unit leadership team and/or the faculty association)~~ will be notified of the review and ~~those constituent groups may request the association may schedule~~ a meeting with the provost to discuss the upcoming review.

Commented [RG27]: Updated for consistency with changes made to Policy 6105.

Policy 6100, "Department Head, Chair or School Director Appointment and Review," outlines the review process for department heads or their equivalent 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 University Libraries for those serving in 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.

4.5.3 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 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.

4.5.5 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 of this handbook, "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. ~~For more information, consult Information is located on the~~ [University Libraries eEmployment webpage](#). 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 of this handbook "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 of this handbook, "Dismissal for Cause," begin immediately.

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 of this handbook, "Professional Responsibilities and Conduct"); incompetence as determined through post-continued appointment review; willful failure to carry out professional obligations or assigned responsibilities; willful violation of university and/or government policies; falsification of information relating to professional qualifications; inability to perform assigned duties satisfactorily because of incarceration; or personal deficiencies that prevent the satisfactory performance of responsibilities (e.g., dependence on drugs or alcohol).

Reason to consider the imposition of a severe sanction or dismissal for cause is usually determined by a thorough and careful investigation by an appropriately charged faculty committee (as in the case of allegations of ethical or scholarly misconduct, or through a post-continued appointment review) or by the relevant administrator (for example, the dean, compliance and conflict resolution officer, internal auditor, or Virginia Tech Police). Generally, these investigations result in a report of findings; some reports also include a recommendation for sanctions. The report is directed to the relevant administrator for action; it is also shared with the faculty member. Imposition of a severe sanction or

initiation of dismissal for cause proceedings, if warranted, follows the procedures set forth below.

4.6.2 Imposition of a Severe Sanction

Definition and examples. A severe sanction generally involves a significant loss or penalty to a faculty member such as, but not limited to, a demotion in rank and/or a reduction in salary or suspension without pay for a period not to exceed one year, imposed for unacceptable conduct and/or a serious breach of university policy.

Routine personnel actions such as a recommendation for a below average or no merit increase, conversion from a calendar year to an academic year appointment, reassignment, or removal of an administrative stipend do not constitute “sanctions” within the meaning of this policy. A personnel action such as these may be a valid issue for grievance under procedures defined in the Faculty Handbook.

Process for Imposing a Severe Sanction. The conduct of a faculty member, although not constituting adequate cause for dismissal, may be sufficiently grave to justify imposition of a severe sanction. Imposition of a severe sanction follows the same procedures as dismissal for cause beginning with step one. If the matter is not resolved at the first step, a standing or ad hoc faculty committee conducts an informal inquiry (step two). The requirement for such an informal inquiry is satisfied if the investigation was conducted by an appropriately charged faculty committee (as would be the case with an alleged violation of the ethics or scholarly misconduct policies) and, having determined that in its opinion there is adequate cause for imposing a severe sanction, refers the matter to the administration.

4.6.3 Dismissal for Cause

The following procedures apply to faculty members with continued appointment, or for dismissal of a continued appointment-track faculty member before the end of the current appointment.

Dismissal is preceded by:

Step one: Discussions between the faculty member, dean, and/or provost, looking toward a mutual settlement.

Step two: Informal inquiry by a standing (or, if necessary, ad hoc) faculty committee having concern for personnel matters. This committee attempts to affect an adjustment and, failing to do so, determines whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the president’s decision whether to proceed.

Step three: The furnishing by the president (in what follows, the president may delegate the provost to serve instead) of a statement of particular charges, in consultation with the dean. The statement of charges is included in a letter to the faculty member indicating the intention to dismiss, with notification of the right to a formal hearing. The faculty member

is given a specified reasonable time limit to request a hearing, that time limit is no less than 10 days.

Procedures for conducting a formal hearing, if requested: If a hearing committee is to be established, the president asks the Faculty Senate, through its president, to nominate nine faculty members to serve on the hearing committee. These faculty members should be nominated on the basis of their objectivity, competence, and regard in which they are held in the academic community. They must have no bias or untoward interest in the case and are available at the anticipated time of hearing. The faculty member and the president each have a maximum of two challenges from among the nominees without stated cause. The president then names a five-member hearing committee from the remaining names on the nominated slate. The hearing committee elects its chair.

Pending a final decision on the dismissal, the faculty member is suspended only if immediate harm to him or herself or to others is threatened by continuance. If the president believes such suspension is warranted, consultation takes place with the Faculty Senate Committee on

Reconciliation concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.

Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the charges or asserting that the charges do not support a finding of adequate cause. In such a case, the hearing committee evaluates all available evidence and rests its recommendation on the evidence in the record.

The committee, in consultation with the president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration cooperates with the hearing committee in securing witnesses and

evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements of unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The university president and the faculty member are notified of the recommendation in writing and are given a written copy of the record of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the university president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the university president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity for response.

Appeal to the Board of Visitors. If the university president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board). The board's review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the hearing committee with specific objections. The hearing committee then reconsiders, taking into account the stated objections and receiving new evidence if necessary. The board makes a final decision only after studying the hearing committee's reconsideration.

Notice of Dismissal. In cases where gross misconduct is decided, dismissal is usually immediate. The standard for gross misconduct is behavior so egregious that it evokes condemnation by the academic community generally and is so utterly blameworthy as to make it inappropriate to offer additional notice or severance pay. The first faculty committee that considers the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty member with continued appointment receives up to one year of salary or notice, and (b) a probationary faculty member receives up to three months' salary or notice. These terms of dismissal begin at the date of final notification of dismissal.

4.7 Faculty Grievance Policy and Procedures

The following procedure is provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by members of the University Libraries faculty with continued appointment or on the continued appointment-track. ~~The Faculty Senate Review Committee~~The Faculty Senate Review Committee conducts the step four hearing if requested.

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 university community member may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The Ombuds listen and explore options for addressing and resolving concerns or complaints. The Ombuds Office has no authority to make or reverse any decision made or actions taken by university authorities. It supplements, but does not replace, the university's existing conflict resolution resources and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Office will not accept legal notice on behalf of the university, and information provided to it does not constitute such notice. However, if someone wishes to make the university formally aware of a particular problem, the Office can provide instructions on how to do so. The only exception to this pledge of confidentiality is when the 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 and does not keep permanent records of confidential communications.

~~University Ombuds. Any member of the university community may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE) 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.~~

Commented [RG28]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

Faculty Reconciliation. At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Contacting the DFR 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, the grievant must contact the DFR 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 grievance process. If the grievant requests assistance from the DFR, they request a postponement of the time limits involved in the formal grievance procedure while they deal with the case. The request is submitted in writing to the vice provost for faculty affairs and the vice president of the faculty senate by the DFR. In addition, the grievant should reach an understanding with the DFR of the time frame planned for working on the case, with such time not to exceed 60 calendar days.

Faculty members may also consult the DFR about serious disagreements with colleagues, immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the DFR 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 provost. **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. Contact Faculty Affairs in the provost's office for information on Reconciliation. Contact Faculty Affairs in the provost's office for information on Reconciliation.

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 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

Commented [RG29]: Revisions made through governance, will be brought to BOV for approval in June (CFA 2024-25H)

~~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 provost. Information on the Faculty Senate Committee on Reconciliation is on the Faculty Senate website.~~

Mediation and Other Conflict Resolution Services: The Office for Civil Rights Compliance and Prevention Education (OCRCPE) offers a range of conflict resolution services, including conflict coaching, mediation, and group facilitations. In general, OCRCPE's conflict resolution services are available in matters related to the office's work to maintain working environments free from discrimination.

Mediation is a voluntary process through which one or more trained facilitators assist employees in expressing concerns and developing solutions to a conflict in a structured environment. Mediation differs from faculty reconciliation in that mediation facilitators do not conduct fact-finding or evaluate decisions. Mediation may be available prior to or after filing a grievance. Any party to a grievance process may request mediation prior to step three of the process. If both parties voluntarily agree to try mediation and the university, usually through the OCRCPE, appoints a facilitator, then the grievance is placed on administrative hold until the mediation process is complete. If a resolution is reached through mediation, then the parties are responsible to each other for ensuring that the provisions of the resolution agreement are followed. If any party withdraws from mediation or the facilitator terminates the process without agreement, then the grievant may request that the grievance be reactivated and the process continues.

A/P faculty members and supervisors are encouraged to consider using conflict resolution services like mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

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 the Office for Civil Rights Compliance and Prevention EducationOffice for Civil Rights Compliance and Prevention EducationOffice for Equity and Accessibility. 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

Commented [RG30]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting Mediation. Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

4.7.2 The Formal Grievance Procedure

If the assistance of the DFR is not desired or is not requested; or if the DFR determines that they cannot provide assistance in the matter; or if the grievant finds that the length of time the DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of the DFR, 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. For more information, consult the Tenured, Tenure-Track, Continued Appointment, Continued Appointment-Track, and Non-Tenure-Track Instructional Faculty Grievance Form.

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. A grievance form is available on the Faculty For more information, consult the Tenured, Tenure Track, Continued Appointment, Continued Appointment Track, and Non-Tenure Track Instructional Faculty Grievance Form. Affairs Faculty Forms webpage.

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

Commented [RG31]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

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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~~ [at Faculty Forms](#).

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 Director of Faculty~~ 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 of this handbook, "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, appeals of non-reappointment, promotion and/or tenure/continued appointment decisions); the contents of personnel and other 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 ~~Director of Faculty chair of the Faculty Senate Committee on~~ Reconciliation, and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

4.7.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. [Visit Faculty Forms for the “Agreement to Extend the Deadline for Grievance Response” form.](#) ~~(An agreement ble on the provost’s Faculty Forms page.)~~

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from the assigned work location at the time of discovery the event or action is the basis for a grievance, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the

grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg, and he or she is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers he or she has a grievance about actions by an administrator above the level of the immediate supervisor that directly involve the faculty member, or with actions by an administrator not in the department or unit that directly involve the faculty member, the grievant initiates the grievance process by seeking the intervention of the immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in the usual fashion.

A grievance filed by a faculty member concerning an action of the provost is managed by the chair of the Faculty Senate Review Committee and a 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 of this handbook "The Formal Grievance Procedure," for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an

agreement. [Visit Faculty Forms for the “Agreement to Extend the Deadline for Grievance Response” form.](#) (An agreement -)

Step One

Timing	Step Number and Description
Within 30 days of event	1a. Grievant meets with immediate supervisor.
Within 5 weekdays	1b. Supervisor provides verbal response. 1c. If the supervisor’s response is satisfactory to the grievant, that ends the matter. 1d. If supervisor’s response is not satisfactory to grievant, move to step two within 5 weekdays.

Step Two

Timing	Step Number and Description
Within 5 weekdays	2a. Grievant submits written grievance to immediate supervisor.
Within 5 weekdays	2b. Supervisor responds in writing on grievance form. 2c. If the supervisor’s response is satisfactory to the grievant, that ends the matter. 2d. If the supervisor’s response is not satisfactory to the grievant, move to step three within 5 weekdays.

Step Three

Timing	Step Number and Description
Within 5 weekdays	3a. Grievant advances grievance form to the second-level administrator (usually dean of University Libraries).
Within 5 weekdays	3b. Dean meets with grievant; dean may request department to be present.
Within 5 weekdays	3c. Dean responds in writing on grievance form. 3d. If the dean’s written response is satisfactory to the grievant, that ends the matter. 3e. If the dean’s written response is not satisfactory to the grievant, move to step four within 5 weekdays.

Step Four

Timing	Step Number and Description
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Within 5 weekdays	4a. Grievant advances grievance form to the provost.
Within 5 weekdays	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.
Within 5 weekdays	4c. Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.
Within 15 weekdays	4d. Faculty Senate Review Committee chair appoints hearing panel from among Faculty Senate Review Committee members; panel holds its initial meeting with both principals.
Within 45 weekdays	4e. The hearing panel concludes its work and makes recommendations to the provost and the grievant.
Within 10 weekdays	4f. Provost meets with grievant.
Within 10 weekdays	4g. The provost notifies the grievant in writing of the decision. 4h. If the provost's decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendation of the hearing panel that ends the matter. 4i. If the provost's decision is not acceptable to the grievant and not consonant with the recommendation of the hearing panel, move to step five within 20 calendar days.

Step Five

Timing	Description
Within 20 calendar days	5a. Grievant appeals in writing to university president. 5b. The university president's decision is final.

4.8 Research Leaves

For more information, consult ~~Information on faculty research leaves is on the Research Leaves webpage on the provost's Faculty Affairs website.~~

Study-Research Leave. Study-research leave may be granted to faculty members for research and/or advanced study necessary to enhance the competencies of those faculty members to conduct their obligations to the university. ~~(At other universities, this program~~

~~is often called “sabbatical.”) [Research leave request form is available on the provost's webpage.](#)~~

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. Requests may be submitted prior to completion of six years of service, but faculty members must have continued appointment and have completed the sixth year before the leave period begins.

Following such a 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 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 University Libraries, provost, and consideration by the Board of Visitors at their spring (usually March). 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. [Deadlines](#) are established annually and available ~~on the provost's Faculty Affairs Research Leaves webpage at~~ [Research Leaves](#).

Changes not requiring approval by the Board of Visitors. Listed below are changes to an approved study research leave that require department or school, college and provost approval but do not require additional review by the Board of Visitors:

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

The faculty member 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.

Research Assignment. ~~For more information, consult Information on faculty research leaves is on the~~ [Research Leaves webpage on the provost's Faculty Affairs website](#).

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.

Full-time faculty members holding continued appointment with the rank of assistant associate professor or higher and having accrued a minimum of six years of service, are eligible for research assignment. 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. Documentation of all external earnings and expected payments is required and must be reviewed and approved by the department head, supervisor, dean, 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 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 department head or supervisor by November 1 of the academic year preceding that in which the research assignment will be made. 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 department head or supervisor reviews the application and forwards it with a recommendation to the dean by mid-November 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 dean reviews and forwards research assignment requests to the provost by mid-December. The provost reviews the recommendations, communicates with the dean, and announces the results to each candidate following approval by the Board of Visitors. [Deadlines](#) are established annually and available ~~on the provost's Faculty Affairs Research Leaves webpage at~~ [Research Leaves](#).

Changes not requiring approval by the Board of Visitors. Listed below are changes to an approved research assignment that require department or school, college and provost approval but do not require additional review by the Board of Visitors:

- Postponement of research assignment for up to 1 year;
- Change from a full year research assignment to a half-year leave (or vice versa);

- Change in the location of research assignment;
- Cancellation of the research assignment.

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave. If less than this required period of service is met, repayment is required of 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.

4.40-9 Work-Life Resources for Continued Appointment Track and Continued Appointment Faculty

Consult Work-Life Resources for information on dual career program, tenure clock extension, modified duties, caregiving, part-time employment, retirement transition and other university resources.

4.409.1 Dual Career

Virginia Tech recognizes that meeting the needs of today's professional couples is a key factor in recruiting and retaining new faculty, and that many prospective candidates for faculty positions have spouses or partners who are also seeking employment. Given limited funding, priority will be given to individuals with outstanding faculty credentials where the primary candidate is being recruited for a tenure-track faculty or senior administrative position. Dual career guidelines for department heads, chairs, and school directors are available at Dual Career Program. Consult chapter 2 of this handbook, "Dual Career Program" for additional information.

~~The Human Resources Dual Career Program page provides additional support for faculty spouses and partners seeking employment in the New River Valley.~~

4.409.2 Modified Duties

For more information, consult the vice provost for faculty affairs memo "Faculty Support Programs for Birth or Adoption of a Child" at Vice Provost Memos.

Consult Guidance on Paid Parental Leave and Modified Duties on the provost's Faculty Affairs Work-Life Resources webpage. The modified duties program recognizes the need for tenured and tenure track faculty members with special family circumstances to construct a modified workload and flexible schedule for a defined period of time. The faculty member works with the department head, chair, or school director on a modified schedule usually for one semester. In some cases, the Provost's Office may provide funding to allow the buyout of a faculty member's teaching to facilitate the modified schedule.

4.109.3 ~~Tenure Clock Extension~~ Extension of the Probationary Period

For more information, consult ~~the~~ ["Tenure Clock Extension" section of the Provost's Faculty Affairs Work-Life Resources](#). A one-year probationary period extension shall be automatically granted to either parent (or both, if both parents are tenure-track or continued appointment-track faculty members). 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. The request should be made within a year of the child's arrival in the family. A probationary period extension is granted in one-year increments.

4.109.4 Voluntary Transitional Retirement Program (VTRP)

[Policy 4410, "Voluntary Transitional Retirement Program for Tenured Faculty"](#) outlines a program to assist the university's tenured and continued appointment faculty in their transition from full-time active service to retirement and, in some cases, to facilitate their subsequent part-time re-employment to address staffing needs or to support research efforts. Consult ["Retirement Transition"](#) at [Work-Life Resources](#).

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, school, 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 an 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.

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Authority for use of non-tenure-track positions. Academic departments and schools retain the authority and responsibility to decide whether to employ non-tenure-track faculty members to deliver aspects of their instructional program. An appropriate standing departmental or school committee, such as a promotion and tenure or executive/personnel committee, establishes the policies and practices related to the use of non-tenure-track ranks. The department head, chair, or school director and dean review and approve the policies and practices.

Graduate or Professional Degree Required. 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 of this handbook “Faculty Search Processes” and the [Human Resources Faculty Recruiting Guidelines](#).)

Teaching Qualifications. Non-tenure-track faculty must present credentials appropriate to the level of the course they are teaching. It is the responsibility of the department or school to verify documentation of appropriate teaching credentials prior to the start of the course. (~~For more information, consult Faculty Qualifications for Teaching~~~~See Faculty Qualifications for Teaching page~~). Any appointment without the relevant terminal degree in the field must be certified by the department or school as appropriately credentialed for the faculty member’s particular instructional assignment in accordance with guidelines for regional accreditation and university policy and procedures.

Not Eligible for Tenure. Tenure cannot be awarded to individuals with non-tenure-track appointments.

Wage Employees. Non-tenure-track faculty can be employed as wage employees using the university’s P14 form found ~~on the~~ [Adjunct Faculty \(P14\)](#). The titles in these series may be used for wage faculty appointments if appropriate for the assignment and credentials of the individuals.

Full or part-time employment. The non-tenure-track faculty tracks provide for short- or long-term, full or part-time appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty.

Participation in 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 or school graduate program, department head, chair, or school director and graduate school. A terminal degree, active involvement in research, and approval by the department or school and the graduate school is required to chair a graduate committee. Instructors may not chair a graduate committee.

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 head, chair, school director, the dean, and the Office of Research and Innovation. A written request for authorization (PI Status Request) may be submitted by the department or school with the approval of the dean to the Office of Research and Innovation.

Participation in Department, School, University Service and Governance. Salaried non-tenure-track instructional faculty members are eligible to participate in departmental, school, college, and university committees as appropriate for their assignments. Non-tenure-track faculty members should have meaningful engagement in program planning at the department or school 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 or school faculty in accordance with the policy set by individual departmental or school governance.

5.1 Non-Tenure-Track Instructional Faculty Series

5.1.1 Visiting Professor Faculty

Appointment to ~~the rank of visiting~~ **assistant, associate, or professor** ~~faculty positions~~ is for a restricted period to conduct learning, discovery, and engagement responsibilities within an academic department or school. A visiting faculty member may not serve in such a position beyond six years.

Service. 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 Faculty

Appointment to ~~the rank of~~ adjunct ~~assistant, associate, or professor~~ faculty positions is reserved for persons whose primary employment is with another agency, organization, educational institution, or with a non-instructional unit of the university. Appointments may be renewed annually.

Adjunct professors are usually compensated as wage employees using the university's P14 form found ~~on the~~ Adjunct Faculty (P14).

Commented [RG34]: Resolution for these changes is going to BOV June Meeting (CFA 2024-25J)

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 or school 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

For disciplines where professional preparation of students is a major goal, the involvement of experienced practitioners in teaching the skills and values of the profession, overseeing internships and project experiences, and career advising, for example, are a vital aspect of a successful program. Professional programs often have a deep commitment to the on-going continuing education of practitioners in the field, resulting in a greater commitment to delivery of outreach programs than is typical of a tenure-track appointment outside of Virginia Cooperative Extension. Programs in the arts may wish to attract resident artists or performers for a period of time to contribute to the program. The professor of practice rank series may be appropriate in these and other roles that typically do not reflect the same range of responsibilities required for tenure-track faculty members.

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.

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 or school committee and head, chair, or school director. 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. 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.

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

Faculty members with responsibilities primarily in instruction and/or service in a clinical setting such as veterinary or human medicine are considered clinical faculty. Clinical faculty appointments are intended to promote and retain clinical educators and to complement the clinical activities of the university. The clinical faculty ~~track-series~~ 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.

Clinical faculty with distinctive assignments and work schedules will have these responsibilities conveyed upon their initial 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 Promotion and Tenure departmental committee and head, chair, or school director.

Promotion in rank is neither a requirement of continued employment, nor an entitlement for continued years of service. Tenure is not awarded at any of these ranks and all service at any clinical instructor or professor 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 clinical instructor ranks may not chair a graduate committee.

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. Time spent in one of these ranks is not applicable toward pre-tenure probationary tenure-track faculty service.

The responsibilities of a person appointed to one of the clinical instructor ranks in an academic department are focused on service and professional instruction in a clinical setting, with no expectation for development of an independent program of research or scholarship. Clinical instructors may have additional instructional duties in classroom and laboratory settings, typically related to clinical practice. A professional degree is the usual minimum educational credential for an appointment to the clinical instructor ranks. Clinical instructor series faculty are generally appointed to 1-, 3-, or 5- year renewable contracts depending on their rank.

The clinical instructor ranks include clinical instructor, advanced clinical instructor, and senior clinical instructor.

5.1.4.1 Clinical Instructor Track

Clinical Instructor: Persons appointed to this rank must have the appropriate professional degree. Primary responsibilities are to clinical service and the clinical instructional program, but assignments vary depending on the faculty member's expertise and experience and departmental needs. Duties may include clinical service, teaching professional and graduate students in clinical settings, advising clinical interns and residents, and lecturing in professional courses. Appointments at this rank are typically for one year and are renewable. A minimum of five years at the clinical instructor rank is required before consideration for promotion to advanced clinical instructor. 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.

Advanced Clinical Instructor: In addition to the requirements for Clinical Instructor, persons appointed or promoted to this rank must demonstrate significant evidence of related professional growth such as advanced clinical training and continued professional development. Advanced clinical instructors are expected to demonstrate mastery in experiential education with significant impact on student learning in a clinical setting. Promotion to the advanced clinical instructor rank is generally accompanied by a renewable three-year contract. A minimum of five years at the advanced clinical instructor rank is required before consideration for promotion to senior clinical instructor.

Senior Clinical Instructor: Senior clinical instructor is the capstone rank in the clinical instructor series and promotion to this rank denotes exemplary clinical service and instruction. Senior clinical instructors may have considerable responsibility in mentoring colleagues or professional clinical trainees, overseeing clinical service activities, or other

responsibilities reflecting their role as clinical service and instructional leaders. Promotion to the rank of senior clinical instructor is generally accompanied by a renewable five-year contract.

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 or schools and approved by an appropriate college-level committee and the dean and shared with the faculty member upon their initial appointment.

5.1.4.2 Clinical Professor Track

Clinical Professor Series. The clinical professor ~~series-track~~ 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. Persons appointed in the clinical professor ranks are expected to conduct engage in scholarship and research and present their findings in professional venues, though there are no expectations for of an extensive research program as is typical of tenure-track faculty appointments. 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).

A record of significant professional achievement is expected for appointment at the clinical associate professor or clinical professor level; initial appointments at such ranks require approval of the appropriate departmental or school committee and head, chair, or school director. The clinical professor ranks include clinical assistant professor, clinical associate professor, and clinical professor.

Clinical Assistant Professor: Persons appointed to this rank must have the appropriate professional or terminal degree evidence of related professional qualifications or activities (including but not limited to activities or certification by a relevant professional organization 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 a tenure-track assistant professor, with an expectation for primary commitment to the instructional and clinical teaching setting. Duties may include clinical service, teaching professional and graduate students in clinical settings, advising clinical interns and residents, and lecturing in professional courses. Clinical assistant professors are expected to engage in scholarship and research and present their findings in professional venues, though there is no expectation of an extensive research program as is typical of tenure-track faculty appointments.

Clinical Associate Professor: Persons appointed to this rank must have the appropriate professional or terminal degree and continued evidence of related professional qualifications or activities, including but not limited to activities or certification by a relevant professional organization and, when relevant to their discipline, 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. Duties may include a caseload at or above the average for assistant professors within the same clinical service, mentoring colleagues or clinical residents, student advising, course or curriculum development, and/or exemplary service or outreach. Clinical associate professors are expected to engage in scholarship and research and present their findings in professional venues, though there is no expectation of an extensive research program as is typical of tenure-track faculty appointments. Distinguished professional achievement and evidence that their scholarly activities enhance their clinical discipline is expected. This evidence should include activities and accomplishments demonstrating a trajectory towards national reputation and impact.

Clinical Professor: Persons appointed to this rank must have the appropriate professional or terminal degree and continued evidence of related professional qualifications or activities, including but not limited to activities or certification by a relevant professional organization and, when relevant to their discipline, 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. Clinical professors may have considerable responsibility in mentoring colleagues or professional clinical trainees, overseeing clinical service activities, or other responsibilities reflecting their role as clinical service and instructional leaders. Clinical professors are expected to engage in scholarship and research and present their findings in professional venues, though there is no expectation of an extensive research program as is typical of tenure-track faculty appointments. Distinguished professional achievement and evidence that their scholarly activities enhance their clinical discipline is expected. This evidence should include activities and accomplishments demonstrating achievement of a national or international reputation and impact.

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 department or school and approved by an appropriate college-level committee and the dean and shared with the faculty member upon their initial appointment.

5.1.5 Collegiate Faculty Series

Collegiate professors must have a major commitment to the instructional missions of the department or school. 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 or school's faculty, collegiate faculty may take a lead role in enhancing the curricula and promoting teaching excellence.

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

Commented [RG35]: Updates to this section to include a Clinical Instructor Track (5.1.4.1) in addition to the Clinical Professor Track (5.1.4.2), per resolution approved by BOV on March 25, 2025 (CFA 2024-25A).

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 and professions in ways that contribute to their assignment—teaching, consulting, or outreach, serving in technical and professional societies and associations, and similar activities.

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, chair, or school director.

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 or school committee and head, chair, or school director. Appointment to one of these ranks is for a specified number of years and is renewable without limit. Performance and promotion evaluations of collegiate professors are performed by department or school 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.

Service at these ranks is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position.

Commented [RG36]: Sentence referencing exclusion of service was unintentionally deleted from 2023-24 handbook.

Collegiate Assistant Professor: Persons appointed at this rank have a terminal graduate or professional degree in the discipline (or a related discipline) and professional certification(s), if relevant. Experience and demonstrated competence in teaching are expected. Appointment to this rank is for three years and is renewable without limit.

Collegiate Associate Professor: Persons appointed at the collegiate associate professor rank have a terminal graduate or professional degree in the discipline (or a related discipline) and professional certification(s), if relevant. Credentials for appointment or promotion to this rank must document a record of significant instructional experience and accomplishments relevant to the field and type of assignment. The appointment to this rank is for five years and is renewable without limit.

Collegiate Professor: Collegiate professor is the capstone rank in the series. Appointment to this rank denotes distinguished professional achievement, and regional, national, or international prominence in the field. Credentials for appointment or promotion to this rank must document a record of significant instructional experience and scholarly accomplishments relevant to the field and type of assignment.

External evaluation of such accomplishments and leadership in the field is expected at the time of appointment or promotion. Appointment to this rank is for seven years and is renewable without limit.

5.1.6 Instructor Ranks

Instructors 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. Instructors with distinctive assignments and work schedules will have these responsibilities conveyed in the Terms of Faculty Offer (TOFO) 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 or school committee and head, chair, or school director. 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.

Service at these ranks 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.

Commented [RG37]: Reinstated sentence referencing exclusion of service was unintentionally deleted from 2023-24 handbook.

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 or school 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 or school 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 or school. Advanced instructors are expected

to demonstrate mastery in teaching with significant impact on student learning and the department or school'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

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.

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, restricted, for either a calendar year (CY) or academic year (AY), and full or part-time depending on responsibilities and available funding.

Appointments may be regular, which are renewable term appointments with a presumption or consideration of reappointment.

Restricted appointments may be made for which there is no presumption or consideration of renewal. Restricted appointments are designated with start and end dates in the terms of faculty offer (TOFO).

Visiting and adjunct appointments are intended to be temporary in nature and are almost always restricted.

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 of this handbook "Retirement, Resignation, and Non-Reappointment."

5.2.3 Annual Evaluation and Salary Adjustments

The Board of Visitors delegates the authority to the president or the president's designee for selected faculty appointments and compensation actions as outlined in the Amended Delegation of Authority for Selected Personnel Actions dated June 11, 2024.

The Board of Visitors annually approves a faculty compensation plan, including the authorization of an annual merit process guided by the university's Faculty Handbook and processes provided by the commonwealth. 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.

Annual Faculty Activity Report (FAR). 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, school, college, or administrative unit, as appropriate. Submission of a faculty activity report (FAR) may be required for consideration for a merit adjustment.

Virginia Tech uses an electronic faculty activity data system to collect and manage information about research and scholarship, creative works, teaching, Extension, outreach, and service activities. This system automates the production of annual faculty activity reports, promotion and tenure dossiers, and CVs, as well as department, school, college, and university level reports. The system also enables deposit and claiming of scholarly works in the VTechWorks institutional repository and will feed public web profiles using VT Experts. Training for faculty is available through Virginia Tech's Professional Development Network and for departments on request.

Faculty members should consult with their department head, chair, school director, or supervisor on the use of electronic faculty activity reporting. Continuing faculty members must submit an annual faculty activity report in accordance with departmental or school 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, school director, 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 faculty members.

5.2.4 Promotion Guidelines

Non-tenure-track faculty members are eligible for promotion in rank in accordance with guidelines established by academic departments or schools 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, school, and college documents related to promotion. Faculty members in a regular or restricted appointment may 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.

For more information, consult [See provost's Promotion and Tenure resources](#) **Promotion and Tenure**. Consideration for promotion in rank includes preparation of a dossier using a common university format. Typically, such a dossier includes a statement of professional direction and accomplishment, a complete curriculum vitae, and documentation of contributions associated with the appointment. Colleges and departments or schools may request supplemental materials. The appropriate college committee and dean approve guidelines for dossier development and departmental or school policies and procedures for the promotion process. External review of credentials is required for some –but not all– promotions in non-tenure-track ranks.

The promotion dossier is reviewed at three levels: (1) by an appropriately charged departmental or school committee and the department head, chair, or school director, (2) by an appropriately charged college-level committee and the dean, and (3) by the provost. The department head, chair, or school director 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, school and college committees. For example, departments or schools with significant numbers of instructors, the committee charged with reviews would consist of a majority representation of advanced and senior instructors. In departments or schools with very few such appointments, the existing departmental or school promotion and tenure committee may review the dossier(s) and make recommendations. Similarly, at the college level either a special committee may be formed to review promotions of non-tenure-track instructional faculty with majority representation of those in the advanced level of such ranks, or the

existing promotion and tenure committees may be assigned such review and recommendation responsibilities.

While the procedures vary to recognize practical issues and varying numbers, the guidelines for review should be in writing and adhered to for consistency and fair treatment of all candidates. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Given that promotion decisions do not carry the same “up or out” decision associated with tenure decisions, a negative recommendation on a promotion request need not translate into termination of employment. Indeed, a faculty member may remain at the initial rank if their performance warrants continued employment and serves departmental or school 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.

A positive recommendation from either or both the departmental or school committee and the department head, chair, or school director automatically advances the dossier 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 for consideration by the provost. The decision of the provost is final and cannot be appealed.

Faculty members should be provided with written feedback in the case of a negative recommendation at either the department, school or college 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 or school committee and department head, chair, or school director, 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 this chapter “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 of this handbook “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, chair, or school director 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, chair, or school director must again write the faculty member with an evaluation of their 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 dean: 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.

Appeal to the provost: 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, chairs, or school directors 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 will follow the schedule outlined in chapter two of this handbook "Retirement, Resignation, and Non-Reappointment". 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 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](#) conducts the step four hearing if requested.

5.4.1 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 university community member may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The Ombuds listen and explore options for addressing and resolving concerns or complaints. The Ombuds Office has no authority to make or reverse any decision made or actions taken by university authorities. It supplements, but does not replace, the university's existing conflict resolution resources and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Office will not accept legal notice on behalf of the university, and information provided to it does not constitute such notice. However, if someone wishes to make the university formally aware of a particular problem, the Office can provide instructions on how to do so. The only exception to this pledge of confidentiality is when the 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 and does not keep permanent records of confidential communications.

~~University Ombuds. Any member of the university community may visit Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The Ombuds listens~~

Commented [RG38]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

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 Reconciliation. At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Contacting the DFR 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, the grievant must contact the DFR 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 grievance process. If the grievant requests assistance from the DFR, they request a postponement of the time limits involved in the formal grievance procedure while they deal with the case. The request is submitted in writing to the vice provost for faculty affairs and the vice president of the faculty senate by the DFR. In addition, the grievant should reach an understanding with the DFR of the time frame planned for working on the case, with such time not to exceed 60 calendar days.

Faculty members may also consult the DFR about serious disagreements with colleagues, immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the DFR 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 provost.

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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. Contact Faculty Affairs in the provost's office for information on Reconciliation. Faculty Affairs in the provost's office for information on Reconciliation in the provost's office for information on Reconciliation.~~

~~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 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 provost.~~

~~Information on the Faculty Senate Reconciliation Committee is in chapter two of this handbook and on the Faculty Senate website.~~

Mediation and Other Conflict Resolution Services: The Office for Civil Rights Compliance and Prevention Education (OCRCPE) offers a range of conflict resolution services, including conflict coaching, mediation, and group facilitations. In general, OCRCPE's conflict resolution services are available in matters related to the office's work to maintain working environments free from discrimination.

Mediation is a voluntary process through which one or more trained facilitators assist employees in expressing concerns and developing solutions to a conflict in a structured environment. Mediation differs from faculty reconciliation in that mediation facilitators do not conduct fact-finding or evaluate decisions. Mediation may be available prior to or after filing a grievance. Any party to a grievance process may request mediation prior to step three of the process. If both parties voluntarily agree to try mediation and the university,

usually through the OCRCPPE, appoints a facilitator, then the grievance is placed on administrative hold until the mediation process is complete. If a resolution is reached through mediation, then the parties are responsible to each other for ensuring that the provisions of the resolution agreement are followed. If any party withdraws from mediation or the facilitator terminates the process without agreement, then the grievant may request that the grievance be reactivated and the process continues.

A/P faculty members and supervisors are encouraged to consider using conflict resolution services like mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

Mediation. Conflict resolution 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 the Office for Civil Rights Compliance and Prevention Education Office for Equity and Accessibility. Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of mediators. Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting mediation. Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

5.4.2 The Formal Grievance Procedure

If the assistance of the DFR is not desired or is not requested; or if the DFR determines that they cannot provide assistance in the matter; or if the grievant finds that the length of time the DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of the DFR, the grievant may pursue the issue as a formal grievance through the following procedure. Department heads, chairs, or school directors,

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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. For more information, consult the Tenured, Tenure-Track, Continued Appointment, Continued Appointment-Track, and Non-Tenure-Track Instructional Faculty Grievance Form.

~~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. A grievance form is available on the provost's webpage. A grievance form is available at Faculty Forms. Department heads, chairs, school directors, deans, 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.~~

Commented [RG42]: Updated for consistency with changes to made to other section through governance process (CFA 2024-25H). See Section 3.11.2 for detailed changes.

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 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.

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 their 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.

5.4.3 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 [Director of Faculty](#) ~~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.

5.4.4 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 “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, appeals of non-reappointment or promotion decisions); the contents of personnel and other 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 ~~Director of Faculty 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.

5.4.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement.

~~Visit Faculty Forms for the “Agreement to Extend the Deadline for Grievance Response” form. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)~~

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel

members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from the assigned work location at the time of discovery of the event or action that is the basis for a grievance, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the grievant is able to resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers a grievance about actions by an administrator above the level of the immediate supervisor that directly involves the faculty member, or with actions by an administrator not in the department or school 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 an impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the president for ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of

the president of the university is dealt with by a special panel appointed by the provost in consultation with the president of the Faculty Senate.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations, or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.

5.4.6 Overview of the Formal Grievance Process for Non-Tenure-Track Instructional Faculty

Below is an abbreviated overview of the grievance process and deadlines.

Step One

Timing	Step Number and Description
Within 30 days of event	1a. Grievant meets with immediate supervisor (usually department head).
Within 5 weekdays	1b. Department head provides verbal response.
	1c. If the department head's response is satisfactory to the grievant, that ends the matter.
	1d. If the department head's response is not satisfactory to grievant, move to step two within 5 weekdays.

Step Two

Timing	Step Number and Description
Within 5 weekdays	2a. Grievant submits written grievance to department head.
Within 5 weekdays	2b. Department head responds in writing on grievance form.
	2c. If the department head's response is satisfactory to the grievant, that ends the matter.
	2d. If the department head's response is not satisfactory to grievant, move to step three within 5 weekdays.

Step Three

Timing	Step Number and Description
Within 5 weekdays	3a. Grievant advances grievance form to the second-level administrator (usually dean).

Within 5 weekdays	3b. Dean meets with grievant; dean may request department head to be present.
Within 5 weekdays	3a. Dean responds in writing on grievance form. 3b. If the dean's written response is satisfactory to grievant, that ends the matter. 3c. If the dean's written response is not satisfactory to grievant, move to step four within 5 weekdays.

Step Four

Timing	Step Number and Description
Within 5 weekdays	4a. Grievant advances grievance form to the provost.
Within 5 weekdays	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.
Within 5 weekdays	4c. Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.
Within 15 weekdays	4d. Faculty Senate Review Committee chair appoints hearing panel from among Faculty Senate Review Committee members; panel holds its initial meeting with both principals.
Within 45 weekdays	4e. The hearing panel concludes its work and make recommendations to provost and grievant.
Within 10 weekdays	4f. The provost meets with grievant. 4g. The provost notifies grievant in writing of the decision.
Within 10 weekdays	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

Timing	Step Number and Description
Within 20 calendar days	5a. The grievant appeals in writing to president. 5b. The president's decision is final.

CHAPTER SIX-: RESEARCH FACULTY

6.0 Employment Policies for Research Faculty

~~Research faculty are general, teaching and research (T&R) faculty. The following policies address specific aspects for research faculty appointments. Research faculty are designated to promote and expedite university research activities. Research faculty are typically employed on sponsored grants and contracts and are on a restricted appointment to carry out research or outreach projects. The duties of research faculty may have a small or no instructional component.~~ Research faculty are supported by the Office of Research and Innovation.

~~See “Restricted Appointments” in chapter two of this handbook.~~ Appointments to the faculty may be made for which there is no presumption or consideration of renewal. Such appointments are called “restricted” and are designated with start and end dates in the terms of faculty offer (TOFO). See “Restricted Appointments” in chapter two of this handbook.

See “Regular Appointments” in this chapter for circumstances in which a research faculty member may be on a regular appointment.

~~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 resources on research faculty including [Principal Investigator Eligibility](#).

Track	Ranks
Postdoctoral Associate	postdoctoral associate
Research Associate	research associate, senior research associate
Research Scientist	research scientist, senior research scientist
Research Professor	research assistant professor, research associate professor, research professor

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 can be found ~~on at the Research and Innovation~~ [Research Faculty Ranks](#).

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, chair, school director 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 ~~with a terminal degree~~ 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 mentors. 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 ~~always on restricted~~ ~~not appropriate for regular~~ appointments. [Consult section 2.3.2 for additional information on restricted appointments.](#)

~~Individuals are eligible to be postdoctoral associates for a~~ [The maximum cumulative allowable duration of employment for a postdoctoral associate held by a single individual, even at multiple institutions, will be five years, including prior experience in a postdoc position at another institution. Generally, eligibility is calculated from the date of conferral of a terminal degree. Appointment to this faculty rank is usually 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.](#) ~~The maximum allowable time an individual may be employed in the rank of postdoctoral associate at Virginia Tech is five years. continued~~ [Continued](#) appointment beyond five years ~~would requires~~ a promotion in rank. [Exceptions for extenuating circumstances may be made by the Office of Research and Innovation.](#)

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 head, chair, or school director, 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. Review by the Office of Research and Innovation is required before an offer is made.

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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 Research and Innovation.

6.1.3.1 Research Associate

The research associate rank is the entry, or most junior, rank for research faculty members involved in sponsored projects. However, the work may vary from that which is appropriate for a relatively new professional to broader or more significant responsibilities expected of more experienced research faculty personnel. Research associates generally conduct research under supervision. They may provide input into the preparation of proposals or supervise staff or student personnel, but typically they have limited responsibility and authority in these areas.

A master's degree in a relevant field is the minimum qualification for appointment as a research associate. The Office of Research and Innovation must approve requests for exceptions for individuals with a bachelor's degree and significant related experience before an offer is extended.

6.1.3.2 Senior Research Associate

The rank of senior research associate requires greater qualifications than the research associate either in education, experience, or both. Senior research associates conduct research under limited supervision.

Typically, they have some significant supervisory responsibility for lower-level personnel and may contribute to the conceptualization and preparation of research proposals, reports, and resource acquisition.

A doctorate or a terminal degree in the field and some experience are required. The Office of Research and Innovation must approve an appointment or promotion to this rank for

individuals with a lesser degree and substantial related experience before an offer is extended.

6.1.4 Research Scientist Ranks

6.1.4.1 Research Scientist

Research scientists fulfill a senior role in the university's research program. They conduct independent research under limited supervision. By virtue of their expertise and experience, research scientists make significant contributions to the conceptualization and conduct of the research. They may be involved in the preparation of proposals, reports, and publications, presentation of research results, and development of patents. The rank of research scientist is parallel to that of research assistant or research associate professor. A doctorate or terminal degree in the field and significant experience are expected.

6.1.4.2 Senior Research Scientist

The senior research scientist is the highest rank in the research faculty series for those who are not involved in a graduate program. As experienced research faculty members, senior research scientists are often responsible for the design and execution of a project and interpretation of research results. Typically, they have significant responsibility for supervision of personnel, budget preparation and execution, and organization and management of the research project. Guidelines and information regarding Principal Investigators is located in chapter ten of this handbook and on the Office for Sponsored Programs Principal Investigator Resources page.

The rank of senior research scientist is parallel to that of research associate professor or research professor. A doctorate or terminal degree in the field and a considerable record of research are expected.

6.1.5 Research Professor Ranks

The research professor ranks are designed for research faculty members whose appointments are expected to last more than one year and whose credentials are comparable to those of the tenured and tenure-track faculty of similar rank. This track is parallel to research scientist and senior research scientist, not necessarily above it. Appointment to research professor ranks is not appropriate for those with short-term or limited appointments since this would disadvantage the graduate or professional students with whom they might work. Research faculty members with appropriate credentials and approvals whose primary appointment is in a research unit not affiliated with a degree-granting academic department or school 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 or school, 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. [For more information, consult Information on Faculty Qualifications for Teaching is on the provost's Faculty Affairs webpage.](#) 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, chair, or school director, 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 or school 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, school, or college committees that will be reviewing a family member (spouse or dependent immediate family member) or an individual with whom they have a close personal relationship such as partner or extended family member.

6.1.5.1 Research Assistant Professor

Persons appointed as research assistant professors are required to have a doctoral degree or terminal degree appropriate to the field and credentials consistent with those for appointment to the rank of assistant professor. Research assistant professors are equivalent to research scientists in terms of their credentials; however, appointment to this rank indicates actual or anticipated involvement with the academic program.

Research assistant professors are expected to contribute significantly to the design and execution of research projects. They conduct independent research in their field of specialization under general supervision. They may have supervisory responsibility for project personnel and contribute to project management.

The approval of the department head, chair, school director and 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 or school procedures for tenured and tenure-track faculty appointments. Typically, this involves approval by the appropriate departmental/unit/school committee, followed by approval of the department/unit head or chair, school director, and 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 the disciplinary field, contribution to research or creative activity supported through grants and contracts, and at least regional recognition. The promotion review and approval process is described in this chapter “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 or school procedures for tenured and tenure-track faculty appointments. Typically, this involves approval by the appropriate departmental/unit/school committee, followed by approval of the department/unit head or chair, school director, 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. The promotion review and approval process is described in this chapter “Research Faculty Promotions: Professorial Ranks”.

6.2 Policies Related to Research Faculty Appointments

For additional information, ~~C~~consult ~~the~~ [the Office of Research and Innovation Human Resources website](#). Research faculty members may be assigned a functional title in addition to their official faculty rank to facilitate their work or clarify their role to internal or external constituencies. (A functional title may not be an official faculty rank other than that held by the research faculty member.) In some cases, increased responsibilities lead

to a change in functional title and possibly a salary adjustment rather than a promotion in faculty rank.

Appointments to research faculty ranks, except the rank of postdoctoral associate, are indefinitely renewable. However, tenure cannot be earned in any of the research faculty ranks and service is not applicable toward the pre-tenure probationary period if the employee is subsequently appointed to a tenure-track position.

The source of funds is not the determining factor as to whether a position carries a research faculty rank, but rather the nature and purpose of the assignment. Thus, a research faculty member may be funded by sponsored projects, facilities and administrative funds, state dollars, or other sources. Policies related to research faculty apply, regardless of the source of funding.

Research faculty may participate in activities outside of their direct source of funding, such as providing significant contributions to the conceptualization or writing of new proposals, or teaching. 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 to the development of position descriptions where funding is limited to only sponsored funding. [For further information, consult the Office of Research and Innovation Financial Compliance.](#)~~See Effort Reporting on the Research and Innovation website.~~

Original appointments and reappointments, including rank, salary, and other conditions, require the approval of the department head, chair, school director and 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, school director and dean must approve exceptions. The academic department or school provides instructional funding for the teaching appointment and research duties are adjusted accordingly. A three-credit course equates to 0.25 FTE during an academic semester; this is the usual basis for salary charges to the instructional budget.

Research faculty members may receive additional compensation to teach a class that exceeds their normal research assignment. To qualify for additional compensation, the research faculty member may not be 100% ~~percent~~ supported from sponsored funds, must be the instructor of record, and must usually be assigned to teach for the entire semester. For courses with block teaching, the research faculty member must have a formal teaching assignment for a specified portion of the course. The academic department or school 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 department, school, and college, and by the Office of Research and Innovation.

For more information, consult ~~Faculty Qualifications for Teaching~~ ~~Consult Faculty Qualifications for Teaching~~. It is the responsibility of the hiring department/unit or school to obtain and verify documentation of credentials of all faculty prior to employment.

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 or school. Those with appointment to the research professor ranks may chair a committee, if approved by the degree-granting department or school. 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 or school and by the supervisor.

6.2.2 Research Faculty Promotions: Research Associate, Research Scientist

For additional information, ~~Consult Research Faculty Promotion Guidelines~~ ~~Consult Research Faculty Promotion Guidelines~~. While there is logic to the progression between and among ranks, employees may change ranks as appropriate or necessary to reflect a change in role or project that aligns best with the essential responsibilities of the position. A promotion from one rank to another may be recommended by the supervisor to recognize a faculty member's increased responsibilities, credentials, and/or contributions to the program over time.

Recommendations for promotions within the non-professorial ranks (such as research associates and research scientists) may be requested at any time during the year in recognition of significant increases in responsibilities, credentials, or contributions. The promotions require approval by the department head, chair, school director, 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, chair, or school director 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 or school committee and the head, chair, or school director; (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 Senior Vice President of 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 and schools. 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 schools 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 academic credentials, but who has not found appropriate employment opportunities.

Appointments in departments, schools, colleges, or by the provost, are approved at the department or school 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 department head, chair, or school director 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 or school for that discipline. The appointment is initiated by the host department or school 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 or school, approved by the department head, chair, or school director, 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~~ broad 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-proactive~~ recruitment practices to attract the broadest possible pool of applicants ~~a diverse workforce~~.

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. A search is not required to fill a postdoctoral associate position (though review by the Office of Research and Innovation is required before an offer is made) 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.

Commented [RG44]: Revised for consistency with changes made to section 6.1.2 through governance, will be brought to BOV meeting in June for approval (COR 2024-25A)

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, chair, or school director. 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.” TOFOs refer to additional terms and conditions of employment contained in the Faculty Handbook.

The terms of faculty offer for a restricted appointment clearly defines the length of the appointment. In cases where there is no expected opportunity for continuation, the document also serves as a notice of termination. The terms of faculty offer makes clear that continuation of appointment, even during the initial year, is subject to the availability of funds, the need for services, and satisfactory performance. Related letters of offer or appointment should not contain promises that the hiring unit may not be able to keep; the university looks to the department or school to make good on defaults. Approval of the department head, chair, or school director and dean, and the Office of Research and Innovation are required before an offer is extended.

It is the responsibility of the hiring department or school to obtain and verify documentation of credentials on all faculty prior to employment.

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. 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 or school 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 this chapter, "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 or schools intending to support specific research faculty members on applicable state funds, whether or not those individuals participate in a "program" or "center" may also seek approval to appoint a research faculty member to a regular position using the same process.

The criteria and expectations for such approval are as follows:

- The unit must have a documented record of substantial past funding, usually from diversified sources, generally over more than five years. In the case of a new center with multi-year funding, documentation of the new funding supported by the history of funding for the principal researchers may be considered. Research programs supported in full or in part by state funds are eligible for consideration for regular positions.
- The unit must have documented prospects for continued funding at a level equal to or greater than its current funding.
- The unit must be able to guarantee payment of salary and fringe benefits from sponsored grants or contracts (or other appropriate sources) for a minimum of three years to advertise a research faculty position as a regular appointment.
- The unit must be able to guarantee funding of annual leave, sick leave, and salary following non- reappointment in the case of insufficient grant funds. The source of such payouts or salary support must be non-sponsored funds, such as indirect or state funds.

- The unit will advertise and conduct a national search for regular positions. Search exemptions may be approved only under certain very limited conditions, such as unique qualifications or unit restructuring. However, a search must be conducted if there is an intention of supporting an international candidate for permanent residency. In such a case, the hiring unit should work closely with the International Support Services Office to ensure compliance with current Immigration and Naturalization Service (INS) regulations.

Appropriate documentation of the search process and selection is a critical element in supporting an application for permanent residency.

In supporting the request for a regular faculty appointment, the approving department/unit or school is thereby committing itself to covering shortfalls in funding between grants, or whenever there is insufficient funding for the salary, from other sources. Should this occur, duties may be reassigned to match the available source of funds.

The Office of Research and Innovation may grant approval to the unit to conduct searches for regular positions for a period of three to five years at which time the financial capabilities and commitments of the unit are reviewed, and authorization is granted for another three-to five-year period, if appropriate.

Approval for the unit to advertise and fill some research faculty positions as regular appointments does not in any way suggest that all positions in the unit should be so designated. Indeed, careful thought should go into the shaping of such positions, the identification of talents and skills needed in the research group, and the availability of qualified individuals that may necessitate this more generous commitment of resources.

Postdoctoral associates are considered temporary or short-term appointments by definition and are not appropriate for regular appointments.

Research faculty members on regular appointments are entitled to notice of non-reappointment, as specified in chapter two of this handbook.

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. Information on faculty sick leave is ~~on the at~~ [Human Resources Faculty Leave webpage](#).

Research faculty members on academic year appointments may accept summer research wage (P14) or summer or winter session teaching employment in the same department, school, or program, or elsewhere in the university. Research faculty on H1-B visas qualify for summer wage employment only in very limited cases. Contact [Global Strategic 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 of this handbook "Research-Extended Appointments for Faculty on Academic Year Appointments," and "Effort Certification Compliance Issues for Research Faculty" in this chapter, and "Effort Certification and Salary Charges to Sponsored Grants and Contracts" in chapter 10 of this handbook.

6.6 Position Descriptions

Every research faculty member must have an up-to-date position description that forms the basis for initial hiring and assignment of duties and, through subsequent updates, for annual evaluation. Position descriptions should include a detailed list or narrative description of assigned responsibilities and expectations for performance. A position description should be created and entered into the university's online position description system.

6.7 Annual Evaluations

Supervisors, usually principal investigators, are responsible for conducting an annual evaluation for any and all research faculty. The annual performance review must be shared with the appointee and documented in writing. This documentation supports the request for annual merit and/or special adjustments. Giving regular and constructive feedback is essential to the development of employees, and it is the responsibility of the department head, chair, or school director 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 the department head, chair, or school director who, in turn, makes 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 of this handbook.

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 of this handbook.

6.10.1 Dismissal for Cause

Research faculty members may be dismissed for just cause. Stated causes for dismissal shall include but are not limited to professional incompetence; unacceptable or unsatisfactory performance after due notice; unethical conduct or misconduct that interferes with the capacity of the employee to effectively perform the requirements of the position; violation of university policy; falsification of credentials, experience, leave reports, or other official employment documents. Filing a grievance does not constitute just cause for termination.

When it becomes necessary to terminate a member of the research faculty for unsatisfactory performance prior to the end of the appointment period, the following procedures apply:

When the faculty supervisor determines that performance is unsatisfactory, the supervisor writes a letter to the individual detailing the areas of performance that are deficient. This letter should indicate specific expectations of improvement by the employee during a specified period of not less than 30 calendar days. The department head, chair, or school director 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, chair, or school director 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, chair, or school director. 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, chair, or school director has a conflict of interest, the head refers the matter to the college dean.)

The department head, chair, or school director (or dean) must respond in writing within 10 working days. If the recommendations of the department head, chair, or school director (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, chair, or school director and college dean of the faculty supervisor are copied on all correspondence.

6.10.2 Non-Reappointment of Research Faculty

The terms of faculty offer for a restricted appointment clearly defines the length of the appointment and serves as a notice of termination. The terms of faculty offer makes clear that continuation of appointment, even during the initial year, is subject to the availability of funds, the need for services, and satisfactory performance.

Research faculty members with regular appointment receive written notice of non-reappointment as described in chapter two of this handbook 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 of this handbook. A proposed notice of termination because of insufficient funds or lack of need for services requires the approval of the department head, chair, or school director, 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 of this handbook, "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 university community member may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The Ombuds listen and explore options for addressing and resolving concerns or complaints. The Ombuds Office has no authority to make or reverse any decision made or actions taken by university authorities. It supplements, but does not replace, the university's existing conflict resolution resources and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Office will not accept legal notice on behalf of the university, and information provided to it does not constitute such notice. However, if someone wishes to make the university formally aware of a particular problem, the Office can provide instructions on how to do so. The only exception to this pledge of confidentiality is when the 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 and does not keep permanent records of confidential communications.

~~**University Ombuds.** Any member of the university community may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The university 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.~~

Faculty Reconciliation. At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Contacting the DFR 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.

Commented [RG45]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

For a potential grievance issue to qualify for consideration, the grievant must contact the DFR 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 grievance process. If the grievant requests assistance from the DFR, they request a postponement of the time limits involved in the formal grievance procedure while they deal with the case. The request is submitted in writing to the vice provost for faculty affairs and the vice president of the faculty senate by the DFR. In addition, the grievant should reach an understanding with the DFR of the time frame planned for working on the case, with such time not to exceed 60 calendar days.

Faculty members may also consult the DFR about serious disagreements with colleagues, immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the DFR 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 provost.

~~**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. Contact Faculty Affairs in the provost's office for information on Reconciliation. Contact Faculty Affairs in the provost's office for information on Reconciliation.~~

~~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~~

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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 provost. Information on the Faculty Senate Committee on Reconciliation is in chapter two of this handbook and on the Faculty Senate website.

Mediation and Other Conflict Resolution Services: The Office for Civil Rights Compliance and Prevention Education (OCRCPE) offers a range of conflict resolution services, including conflict coaching, mediation, and group facilitations. In general, OCRCPE's conflict resolution services are available in matters related to the office's work to maintain working environments free from discrimination.

Mediation is a voluntary process through which one or more trained facilitators assist employees in expressing concerns and developing solutions to a conflict in a structured environment. Mediation differs from faculty reconciliation in that mediation facilitators do not conduct fact-finding or evaluate decisions. Mediation may be available prior to or after filing a grievance. Any party to a grievance process may request mediation prior to step three of the process. If both parties voluntarily agree to try mediation and the university, usually through the OCRCPE, appoints a facilitator, then the grievance is placed on administrative hold until the mediation process is complete. If a resolution is reached through mediation, then the parties are responsible to each other for ensuring that the provisions of the resolution agreement are followed. If any party withdraws from mediation or the facilitator terminates the process without agreement, then the grievant may request that the grievance be reactivated and the process continues.

A/P faculty members and supervisors are encouraged to consider using conflict resolution services like mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

Mediation. Mediation is available through the Office for Civil Rights Compliance and Prevention Education Office for Equity and Accessibility and is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of Mediators. Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting Mediation: Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate

~~in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.~~

~~Mediation differs from faculty reconciliation in that mediators do not engage in fact finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.~~

6.12.2 The Formal Grievance Procedure

~~If the assistance of the DFR is not desired or is not requested; or if the DFR determines that they cannot provide assistance in the matter; or if the grievant finds that the length of time the DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of the DFR, 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. For more information, consult the Tenured, Tenure-Track, Continued Appointment, Continued Appointment-Track, and Non-Tenure-Track Instructional Faculty Grievance Form.~~

~~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. A grievance form is available on the provost's webpage. The department head, chair, or school director, dean, 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. For more information, consult the Tenured, Tenure-Track, Continued Appointment, Continued Appointment-Track, and Non-Tenure-Track Instructional Faculty Grievance Form.~~

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~~ Research faculty grievance forms are available ~~on provost's~~ at Faculty Forms page.

The supervisor meets with the grievant and provides a written response within five weekdays to the grievant citing reasons for action taken or not taken and the final decision. If the supervisor's response is satisfactory to the grievant, that ends the matter.

Commented [RG48]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

Commented [RG49]: Updated for consistency with changes to made to other section through governance process (CFA 2024-25H) through governance process. See Section 3.11.2 for detailed changes. Will be brought to BOV meeting in June for approval.

If the response is not satisfactory to the grievant or the supervisor does not respond within five weekdays, the grievant will indicate “no resolution” on the faculty grievance form, return a copy of the form to the immediate supervisor and proceed to step two.

Step two: The grievant advances the written description of the event or action, relevant supporting documentation, research faculty grievance form and the written response of the immediate supervisor (or statement of non-response if the supervisor did not respond within five the weekdays at step one) to the next level administrator within five weekdays of receipt of the decision. The next level administrator is the department head, chair, or school director. If the department head, chair, or school director 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 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, chair, or school director 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 Senior 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; 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, appeals of non-reappointment, and/or promotion decisions); the contents of personnel and other 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 ~~Director of Faculty~~ [chair of the Faculty Senate Committee on Reconciliation](#),

and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

6.12.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an agreement. [Visit Faculty Forms for the "Agreement to Extend the Deadline for Grievance Response" form.](#) ~~An agreement form to extend the grievance response time is available on the provost's Faculty Forms webpage.~~

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits.

If a faculty member is away from the assigned work location at the time the event or action that is the basis for a grievance is discovered, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

"Weekdays," as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

If a faculty member discovers there is a grievance about actions by an administrator above the level of the immediate supervisor that directly involve the faculty member, or with actions by an administrator not in the department or school that directly involve the

faculty member, the grievant initiates the grievance process by seeking the mediation of the immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in usual fashion.

A grievance filed by a faculty member concerning an action of the provost is managed by the chair of the Faculty Senate Review Committee and a regular impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the university president for ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of the president of the university is dealt with by a special panel appointed by the provost in consultation with the president of the Faculty Senate.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.

6.12.6 Overview of the Formal Grievance Process for Research Faculty

Below is an abbreviated overview of the grievance process and deadlines. Refer to “The Formal Grievance Procedure” in this chapter for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an agreement. [Visit Faculty Forms for the “Agreement to Extend the Deadline for Grievance Response” form.](#) ~~(An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)~~

Step One

Timing	Step Number and Description
Within 30 days of event	1a. Grievant submits written grievance to supervisor.
Within 5 weekdays	1b. The supervisor meets with the grievant and provides written response. 1c. If the supervisor’s response is satisfactory to the grievant, that ends the matter. 1d. If supervisor’s response is not satisfactory to grievant, move to step two within 5 weekdays.

Step Two

Timing	Step Number and Description
Within 5 weekdays	2a. Grievant advances grievance form to the next-level administrator referred to as the second-level administrator.
Within 5 weekdays	2b. Second-level administrator provides written response. 2c. If the second-level administrator's written response is satisfactory to the grievant, that ends the matter. 2d. If the second-level administrator's written response is not satisfactory to grievant, move to step four within 5 weekdays.

Step Three

Timing	Step Number and Description
Within 5 weekdays	3a. Grievant advances grievance form to the dean or equivalent senior-level manager.
Within 5 weekdays	3b. The dean or equivalent senior-level manager meets with grievant; dean or senior-level manager may request immediate supervisor to be present. 3c. The dean or senior-level manager provides a written response. 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 five within 5 weekdays.

Step Four

Timing	Step Number and Description
Within 5 weekdays	4a. The grievant advances grievance form to the provost.
Within 5 weekdays	4b. The provost may consult faculty members unfamiliar with the grievance for their opinion and provides a response in writing. The provost's decision is final.

CHAPTER SEVEN: ADMINISTRATIVE AND PROFESSIONAL FACULTY INCLUDING VIRGINIA COOPERATIVE EXTENSION 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 education, 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 administrators and professionals.

7.1.1 Administrative Faculty – Executive and Senior Administrators

Administrative faculty members are referred to as executive or senior administrators to accurately reflect the nature of these appointments. See [Central Administration in chapter one and chapter seven](#) of this handbook.

Executive or 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.

Administrative faculty may have a rank other than lecturer, may hold an academic rank in a college department or school, and may be tenured. [A/P faculty members with academic rank are considered T&R faculty.](#)

Qualifications. Executive and 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 executive and senior administrators in academic leadership roles, may require a terminal degree. Executive and senior administrators regularly exercise discretionary actions.

7.1.2 Professional Faculty

Professional faculty are administrators with responsibilities in a variety of roles and appointments. The professional A/P faculty include positions with significant managerial, supervisory, and budgetary oversight within a unit, and positions that provide direct services. Professional faculty 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.

Professional A/P faculty typically have responsibility for supervision and evaluation of a significant number of university staff and/or other 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.

~~Professional A/P faculty include employees who 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 or support vital university roles such as information technology, budget or finance, human resources, public relations, development, and architectural or engineering functions.~~

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Professional A/P faculty regularly exercise discretion and judgment on matters of significance and take initiative in conducting their primary roles and assignments. Professionals include, but are not limited to, Extension faculty, librarians (not on continued appointment-track appointment), 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. A master's degree is the typical entry qualification; however, exceptions can be made to include individuals with a bachelor's degree and significant 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.

7.2 Administrative and Professional Faculty Rank and Title

Lecturer. The rank of lecturer is generally reserved for A/P faculty appointments. A master's degree or bachelor's degree with 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/career track level rather than promotion in faculty rank. Appointments are considered term and are renewable annually.

Position Description and Performance. 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.

Administrative faculty. Administrative faculty usually have a rank other than lecturer, may hold an academic rank in a college department or school, and may be tenured.

Professional faculty. Professional faculty have the nominal faculty rank of lecturer and a functional title appropriate to the position (e.g., lecturer and director, or assistant dean of students). Professional advancement is recognized by salary adjustment and/or functional title advancement not in faculty rank.

Administrative and professional faculty to whom initial ranks other than lecturer were assigned prior to July 1, 1983, retain such ranks.

Faculty Rank in an Academic Department or School. Executive and senior administrators who achieve tenure in an academic department or school retain their tenure. Members of the administrative and professional faculty with appropriate credentials and responsibilities in an academic department or school may be assigned a faculty 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 the approval of a 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 or school 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 or school and with the individual A/P faculty member so that the appropriate materials are submitted for committee consideration. Appeal of a negative promotion decision is managed in accordance with appeal procedures outlined in chapter three of this handbook "Appeals of Decisions on Non-Reappointment, Tenure, or Promotion." The assignment of, or change in, a standard faculty rank carries no aspect of tenure.

7.2.1 University Libraries Faculty

University Libraries faculty are A/P faculty. Policies for libraries faculty with continued appointment and continued appointment-track are described in chapter four of this handbook. Consult [the University Libraries Employment webpage for information on promotion and continued appointment](#) information on promotion and continued appointment.

7.2.2 Virginia Cooperation Extension faculty (Extension Faculty)

The policies in this chapter apply to Extension faculty. However, Extension faculty who are on the tenure-track or are tenured are not A/P faculty members and are covered in chapter three of this handbook. [Consult Careers in Extension for information](#) on Extension faculty positions ~~is on the Virginia Cooperative Extension website.~~

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 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.~~

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

Tenure awarded to any member of the Virginia Cooperative Extension faculty before July 1, 1983, continues to be recognized. Continued appointment awarded to any member of the Virginia Cooperative Extension faculty before August 10, 2024, continues to be recognized.

7.3 Policies Related to Administrative and Professional Faculty Appointments

7.3.1 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.

Virginia Cooperative Extension Faculty are 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.

7.3.2 Initial Appointment and Appointment Term

Search. Faculty search resources are available ~~on the~~ [Human Resources-Faculty Recruiting Guidelines page](#). Further guidance for searches involving senior administrative faculty positions (e.g., dean, vice president, or president) is included in other sections of this handbook.

Restricted. 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 of this handbook “Restricted Appointments.”

Appointment term. Initial appointments to an administrative or professional faculty position are usually for a minimum of one calendar year (CY) or academic year (AY), as appropriate. If the annual evaluation is positive, the faculty member can typically expect to continue employment. Important determinants in any reappointment decision is a productive and effective job performance and the continued need of the university for the scope and level of services being provided.

To address budget reductions, and with a six-month written notice to the employee, the university is authorized to convert administrative and professional faculty on calendar year appointments to the traditional academic year appointment period, or to an alternate 9, 10, or 11-month appointment.

Appointment with tenure in an academic department or school. On occasion, requests are made by outside candidates, particularly for executive or senior administrative appointments or administrative appointments in academic areas, for an appointment with tenure and rank in an academic department or school 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, chair, or school director and the departmental or school promotion and tenure committee (or the University Libraries 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 in the University Libraries to a senior academic administrator. Review and approval by the department or school promotion and tenure committee or University Libraries 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 member.

7.3.3 Degree Verification and Qualifications for Teaching

Prior to employment, Human Resources verifies the highest degree earned for salaried administrative and professional faculty members. Verification is conducted by a 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 or school for verification of appropriate credentials in accordance with the university's regional accrediting body Southern Association of Colleges and Schools (SACSCOC). [For more information, consult Faculty Qualifications for Teaching.](#) ~~Qualifications for teaching are found on the provost's webpage.~~

7.3.4 Calendar Year (CY) and Academic Year (AY) Appointments

Most administrative and professional faculty positions are 12-month, calendar year (CY) appointments 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 (AY) appointment earn annual leave only during the period of their appointment and at the same rate as regular A/P faculty members on calendar year (CY) 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.

7.4 Annual Evaluation and Salary Adjustments

The Board of Visitors delegates the authority to the president or the president's designee for selected faculty appointments and compensation actions as outlined in the Amended Delegation of Authority for Selected Personnel Actions dated June 11, 2024.

The Board of Visitors annually approves a faculty compensation plan, including the authorization of an annual merit process guided by the university's Faculty Handbook and processes provided by the commonwealth. 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 members are required to report annually on their activities. The annual Faculty Activity Report (FAR) must be completed 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 faculty activity report (FAR) is required for consideration for a merit adjustment.

7.4.1 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), or vice president.

Salary adjustments may be recommended to address such issues as equity, increased responsibility, and retention for an especially meritorious employee, or completion of a doctorate.

Merit encompasses more than adequate performance of assigned duties. Administrative and professional faculty should collaborate with their supervisor to develop a long-range plan to demonstrate a high level of competence in the areas below.

7.4.2 Electronic Faculty Activity Reporting (EFAR)

Virginia Tech uses an electronic faculty activity data system to collect and manage information about research and scholarship, creative works, teaching, extension, outreach, and service activities. This system can automate the production of annual faculty activity reports, promotion and tenure dossiers, and CVs, as well as department, college, and university level reports. The system also enables deposit and claiming of scholarly works in the [VTechWorks](#) institutional repository and will feed public web profiles using [VT Experts](#).

A/P faculty members should consult with their department head, chair, school director, or supervisor on whether the annual faculty activity report (FAR) should be submitted using the university's electronic system. For more information, consult [Electronic Faculty Activity Reporting](#). Information on EFARs is on the provost's Faculty Affairs webpage.

Performance. Administrative and professional faculty members have an obligation to maintain a high level of performance in their job. 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 job performance.

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, school, college, or university committees, special university-wide assignments, or similar activity on behalf of university priorities is expected of those who hold administrative positions.

Professional and scholarly activities. Administrative and professional faculty have an obligation to maintain a high level of professional competence and to stay current in developments in their field. Effective administrators benefit from active involvement in the intellectual and scholarly development of their field and contributions to their profession.

Teaching in appropriate credit or non-credit programs. Administrative and professional faculty may contribute to academic programs by teaching undergraduate or graduate courses or becoming involved in continuing and professional education activities.

7.4.2 Annual and Periodic Reviews of Administrators Reporting to the President

The president's office guides the Administrative Evaluation and Development Program which documents the process to be used for periodic evaluations and executive development for the vice presidents reporting directly to the president, or to the executive vice president and chief operating officer, the president's direct reports, and direct reports to the vice presidents.

The vice presidents participate in an external leadership assessment and development program appropriate to the stage of their career. The selected program must include an opportunity for 360-degree feedback, with responses shared with the president. Participation in the evaluation and development program is required within two years of the initial appointment and every five years thereafter. The president may also solicit feedback from other individuals and/or constituencies as may be appropriate to the administrator being reviewed. Preparation of an individual development plan and executive coaching for a limited period are also standard elements of the process. The president provides verbal and written feedback to the administrator.

The review process for those senior administrators who report directly to the president and direct reports to the vice presidents will follow a similar pattern, generally using internal assessment instruments and professional development resources.

The determination of participants for the Administrative Evaluation and Development Program, the schedule, and specific procedures for periodic evaluations of administrators reporting through the president are the responsibility of the president's office.

The university president determines the schedule and review process for the provost, vice presidents, senior staff reporting to the president, and other non-academic administrators. Detailed evaluation program procedures can be obtained from the President's Office.

Periodic assessments of all administrative vice presidents (executive, senior, and vice presidents) are completed every five years. Administrative vice presidents new to their role will have a periodic review within two years of assuming their new role.

The assessment will be comprised of a 360-assessment instrument, executive coach, and completion of a development plan. The president will initiate the review of vice presidents with a direct reporting line. The executive vice president and chief 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 executive vice president and chief operating officer, or administrative vice presidents are encouraged.

7.4.3 Annual and Periodic Reviews of Administrators and Directors of Major Organizational Units Reporting to the Provost

See chapter three in this handbook for periodic review of college deans, dean of university libraries, dean of the honors college, dean of graduate education, senior administrators, and academic vice presidents are subject to review every five years. Periodic reviews are administered by the office of the provost. The determination of participants, the schedule, and specific procedures for periodic review of academic administrators are the responsibility of the provost.

7.4.4 Teaching For-credit Classes and Overload Compensation for Administrative and Professional Faculty

[Policy 4072, "Teaching Credit Classes and Overload Compensation for Administrative Professional Faculty Members—Teaching Credit Classes"](#) 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. Occasional lectures, supervision of interns or practicum students, or other minor instructional support activities typically are not compensated.

Academic departments and schools may employ full-time administrative and professional faculty to teach one course per semester. The A/P faculty member must hold the minimum credentials required for teaching courses in accordance with accreditation expectations. It is the responsibility of the teaching department or school to verify and document appropriate [Faculty Qualifications for Teaching](#) ~~faculty qualifications for teaching which are on the provost's webpage.~~

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. The [Technical Assistance Program \(TAP\)](#) through Continuing and Professional Education and "Outside Employment and External Activities Other Than Consulting" in chapter two of this handbook).

The teaching assignment must be approved in advance by the faculty member's own department head, chair, school director, or supervisor. The department head, chair, school director or supervisor determines whether the teaching assignment is within the A/P faculty member's usual job responsibilities, and therefore eligible (or not) for additional compensation. The agreement may be multi-year and revisited periodically if the instructional assignment is on-going.

In approving or disapproving the teaching assignment, the department head, chair, school director 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.

7.5 Non-Reappointment or Reassignment

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.

7.5.1 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 of this handbook "Retirement, Resignation, and Non- Reappointment."

7.5.2 Non-Reappointment of Administrative and Professional Faculty on Restricted Appointments

Restricted appointments may be terminated for several reasons including discontinuation of funding, or a change in research or other program priorities, resulting in the need to terminate the services of an employee. Administrative and professional faculty appointments may be terminated in the case where there are insufficient funds or no further need for services. The date of termination for a restricted A/P faculty member is at least 30 calendar days from the date of notification. A proposed notice of termination because of insufficient funds or lack of need for services requires the approval of the department head, chair, school director and dean (or appropriate administrator), and the provost or president (or their designees).

7.5.3 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 or school, 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 of this handbook, "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 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.

7.6.1 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 this chapter, “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 this chapter, “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.

7.7 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 or school 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 or school.

7.8 Grievance Policy and Procedures for Administrative and Professional Faculty

The following procedure is provided ~~as the means for resolution of to resolve~~ 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. The grievant, and those ~~involved in~~ responding to grievances, may consult ~~with the~~ [Administrative and Professional Faculty Senate Vice President](#) for additional information.

Commented [RG53]: Updated description of process and resources CAPFA 2024-25A; Sections 3.11.1, 4.7.1, 5.4.1, and 6.12.1 revised for consistency with these changes. Further adjusted for consistency with changes made to Chapter 3 (faculty reconciliation) through CFA .Will be brought to Board of Visitors on June 3, 2025 for approval (CFA 2024-25H).

7.8.1 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 ~~member~~ may visit the [Virginia Tech Office of Interactive Communication and Empowerment \(VOICE\)](#). The Ombuds listens and explores options for addressing and resolving concerns or complaints. The Ombuds Office ~~does not have the~~ ~~has no~~ authority to make ~~decisions or~~ ~~to reverse~~ any decision made or actions taken by university authorities. ~~The Ombuds Office~~ It supplements, but does not replace, the university's existing ~~resources for~~ conflict resolution ~~resources~~ 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~~ ~~it does~~ not constitute such notice ~~to the university~~. ~~Should However, if~~ someone wishes to make the university formally aware of a particular problem, the ~~Ombuds Office~~ can provide ~~information instructions~~ on how to do so. The only exception to this pledge of confidentiality is ~~where when~~ 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 and~~ 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. Contact Faculty Affairs in the provost's office for information on Reconciliation.

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. This

Mediation and Other Conflict Resolution Services: Mediation is available through the Office for Equity and AccessibilityThe Office for Civil Rights Compliance and Prevention Education (OCRCPE)Office for Equity and AccessibilityOffice for Civil Rights Compliance and Prevention Education offers a range of conflict resolution services, including conflict coaching, mediation, and group facilitations. In general, - OCRCPE's conflict resolution services are available in matters related to the office's work to maintain working environments free from discrimination.

Mediation is a voluntary, ~~confidential~~ process through which ~~one or more~~ trained ~~neutral third persons (mediators)~~ ~~facilitators~~ assist ~~people~~ ~~employees to in~~ expressing their concerns and developing solutions to ~~the a conflict dispute~~ in a ~~safe and~~ structured environment. ~~Mediation differs from faculty reconciliation in that mediation facilitators do not conduct fact-finding or evaluate decisions.~~ Mediation may be available prior to or after filing a grievance. Any party to a grievance process may request mediation prior to step three of the process. If both parties voluntarily agree to try mediation and the university, usually through the OCRCPE, appoints a facilitator, then the grievance is placed on

Commented [RG52]: This section is being removed to align with dissolution of Faculty Senate Committee on Reconciliation. Reconciliation for A/P Faculty will be available through the Ombuds and/or other mediation and conflict resolution services noted in the following section (CFA 2024-25H).

administrative hold until the mediation process is complete. If a resolution is reached through mediation, then the parties are responsible to each other for ensuring that the provisions of the resolution agreement are followed. If any party withdraws from mediation or the facilitator terminates the process without agreement, then the grievant may request that the grievance be reactivated and the process continues.

Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. A/P faculty members and supervisors are encouraged to consider using [conflict resolution services like](#) mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

Role of Mediators: Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting Mediation: Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step three. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

7.8.2 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 "Valid Issues for Grievance" in this chapter.

~~The number of steps in the process is determined by t~~The grievant's reporting line determines the number of steps in the process ~~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 relief must be specified on the ~~grievance~~ form. [For more information, consult the Administrative and Professional Faculty Grievance Form.](#)

The Administrative and Professional Faculty Senate Vice President will maintain an active list of trained A/P faculty members who can ~~provide consultation to~~ consult 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 department head, chair, school director, or appropriate supervisor/director; for A/P faculty in Virginia Cooperative Extension, the district director or appropriate step one administrator) and ~~to the~~ Administrative and Professional Faculty Senate Vice President within 30 calendar days of the date identified, or the grievant should have known, of the event or action that is the basis for the grievance. If appropriate, the step one administrator will provide a copy of the grievance to the ~~supervisor of the~~ grievant's supervisor.

Grievability Panel: The Administrative and Professional Faculty Senate Vice President, within ten weekdays of receiving a copy of the grievance form, will convene a grievability panel. The panel ~~is comprised~~ ~~consists of~~ the Administrative and Professional Faculty Senate Vice President and two A/P faculty senators. The panel meets to deliberate and determine the admissibility of the matter to the grievance process. (See "Valid Issues for Grievance" in this chapter) 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, ~~the~~ administrator's written response, should cite reasons for action taken or not taken. If the written response of the department head, chair, school director, or appropriate supervisor/director 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 member 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~~ under the responsibility of a different dean, the designated step two administrator consults with the programmatic dean before ~~rendering making~~ a decision.

The step two administrator gives the grievant a written decision within five weekdays after the meeting, citing reasons for the decision. If the step two administrator's written response to the grievance is satisfactory to the grievant, it ends the matter.

Step three: If the resolution of the grievance proposed in the written response by the step two administrator is not acceptable, the grievant may advance the grievance to the step three administrator. The step three administrator is the vice president for human resources or the vice provost for faculty affairs. The grievant must advance the complaint to the step three administrator within five weekdays of receiving the written response from the step two administrator. If the grievant works in a college or academic vice president's division, the step three administrator will provide the provost a copy of the grievance ~~to the provost~~.

Advancement of a grievance to step three includes consideration by an impartial Administrative and Professional Faculty Senate hearing panel unless the grievant petitions the step three administrator to bypass the hearing panel and rule on the grievance. If the step three administrator accepts the request to rule on the grievance, there is no subsequent opportunity for the grievance to be heard by an Administrative and Professional Faculty Senate hearing panel. If the step three administrator does not accept the petition, an Administrative and Professional Faculty Senate hearing panel is formed to review the grievance as outlined in these procedures. An Administrative and Professional Faculty Senate hearing panel may also be convened to determine whether a complaint may be grieved under university policy.

Within five weekdays, the step three administrator, or appropriate designated representative, acknowledges receipt of the grievance and forwards a copy immediately to the Administrative and Professional Faculty Senate Vice President. Within five weekdays, the Administrative and Professional Faculty Senate Vice President acknowledges receipt of the grievance and forwards a copy of the "Hearing Procedures of the Committee on Administrative and Professional Faculty Grievances" to parties in the grievance process. ~~The step three administrator also forwards a copy of the grievance immediately to the chair of Administrative and Professional Faculty Senate.~~

Hearing Panel: A grievance hearing for A/P faculty is conducted by an ad hoc panel selected by the Administrative and Professional Faculty Senate Vice President from the current A/P Faculty Senate membership, including Senators and Alternates. A hearing panel consists of three A/P Faculty Senators or Alternates, an alternate panel member, and the non-voting chair. The chair polls all appointees to ensure ~~that they have~~ no conflict

of interest in the case. Either party may challenge one of the appointments, including the alternate. Other replacements are made only for cause. The alternate serves as a replacement panel member if the need arises.

To ensure uniformity in practice, the Administrative and Professional Faculty Senate Vice President serves as the non-voting chair of each hearing panel. If the Administrative and Professional Faculty Senate Vice President has a conflict of interest concerning a case, they ~~chair~~ appoints a replacement from among the Administrative and Professional Faculty senators who serve on Commission on Administrative and Professional Faculty Affairs (CAPFA) at-large to serve as chair of the hearing panel. In the unlikely event that all A/P faculty senators and alternates have a conflict of interest concerning a case, the Administrative and Professional Faculty Senate Vice President, in consultation with the A/P Faculty Senate ~~president~~ 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 members are appointed, the Administrative and Professional Faculty Senate Vice President requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Administrative and Professional Faculty Senate Vice 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 can occur. The hearing is then reconvened as appropriate (and within the 45-day period required by this policy, unless agreed upon by both parties).

Each party to the grievance may have a representative present during the ~~sessions of the~~ hearing sessions, during at which testimony is presented. The representative may speak if requested. Representatives may also be legal counsel; if both parties are ~~so~~ represented, but if the grievant does not wish to have legal counsel at a hearing present, 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~~ Legal counsel participates is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel.

Findings and Recommendations: The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Administrative and Professional Faculty Senate Vice President. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding the 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 satisfactory to the grievant, even if it differs from the hearing panel's recommendations, then that ends the matter. If the step three administrator's decision is entirely consonant with ~~(or exceeds)~~ the hearing panel's recommendations of the ~~hearing panel, or if whether or not~~ it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel, that ends the matter, and there is no further appeal.

Step four: If the step three administrator's decision is not consonant with the recommendations of the hearing panel and it is not acceptable to the grievant ~~and not consonant with the recommendations of the hearing panel~~, only then may the grievant ~~may~~ appeal in writing to the university president. The appeal must be made within 20 calendar days of the step three administrator's decision and must be in writing. The president's decision is final.

7.8.3 Timeliness of Grievance and Procedural Compliance

A grievance must be brought forward in a timely manner. The grievant ~~It is the responsibility for of the grievant to initiate~~ initiating 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~~ before filing or advancement ~~of~~ ing a grievance that precludes action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution is accepted as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the Administrative and Professional Faculty Senate Vice President in writing, who determines if there was good reasonable cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the

Administrative and Professional Faculty Senate Vice President is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations, other than time limit issues, the Administrative and Professional Faculty Senate Vice President rules on the question, as in disputes about the validity of procedural issues qualifying for the grievance procedure. The Administrative and Professional Faculty Senate Vice President has the following options: The Administrative and Professional Faculty Senate Vice President can either find no ~~significant-substantial~~ 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-substantial~~ 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.

7.8.4 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 ~~university~~ 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-everyday~~ 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 example, complaints of unlawful discrimination or harassment, complaints related to unprofessional or unethical conduct, complaints related to non-reappointment, promotion, or abolition of position).

See chapter two of this handbook for information regarding “Allegations of Unprofessional or Unethical Conduct” against an A/P faculty member.

The Administrative and Professional Faculty Senate does not consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

7.8.5 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 or school office within the specified time frame is acceptable. ~~This is immediately followed by submission by mail of the original form and any related materials.~~

Time limits are subject to an extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. Visit Faculty Forms for the "Agreement to Extend the Deadline for Grievance Response" form. ~~(An is available on the provost's Faculty Forms page.)~~

At step three, if necessary, ~~The~~ principals and the Administrative and Professional Faculty Senate Vice President, ~~if necessary,~~ negotiate ~~extensions of time limits extensions at step three.~~ In case of disagreement, the ~~Administrative and Professional Faculty Senate~~ Vice President rules on time extensions and procedural questions or recommendations designed to expedite the proceedings while providing a peer review of the grievance.

If an A/P faculty member is away from the assigned work location at the time the event or action is discovered that is the basis for a grievance, the 30-day period during which the grievant must meet with the supervisor or step one administrator to initiate the grievance process begins when the A/P faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the written grievance as prescribed in step one by mail or email attachment during absence from the primary work location.

"Weekdays," as used in this procedure, include Monday through Friday only ~~and only~~ when the university is open and those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave, the grievance process stops ~~until such time as~~ the grievant can resume duties. Exceptions to this provision are made at the ~~request of the~~ grievant's request, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not ~~be harmful to~~ the grievant's health of the ~~grievant~~ or exacerbate the ailment that required taking sick leave.

The grievant bears Aall costs of legal counsel employed by a grievant ~~are borne by the grievant.~~

If a grievant is employed ~~away from outside of~~ Blacksburg and ~~is required to must~~ travel ~~away~~ from their duty station ~~in resolution of to resolve~~ 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 or school 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 proper~~ 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 an A/P faculty member concerning an action of either the provost, ~~senior executive~~ vice president and chief business officer, vice provost for faculty affairs, or the vice president for human resources is handled by the Administrative and Professional Faculty Senate Vice President and an impartial hearing panel. ~~Still, 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 ~~university's~~ president ~~of the university~~ is dealt with by a special panel appointed by the provost in consultation with the ~~Administrative and Professional Faculty Senate Vice President 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.

7.8.6 Overview of the Formal Grievance Process for Administrative and Professional Faculty

Below is an abbreviated overview of the grievance process and deadlines. Refer to, “The Formal Grievance Procedure” in this chapter for specific details and options available ~~in~~ at each step ~~of the grievance process.~~

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. Visit Faculty Forms for the “Agreement to Extend the Deadline for Grievance Response” form.

~~(An is available on the provost's Faculty Forms page.)~~

The Administrative and Professional Faculty Senate can determine the validity of a grievance under university policy ~~can be determined by CAPFA~~ at any point in the process.

Step One

Timing	Step Number and Description
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Within 30 days of event	1a. Grievant submits written grievance to step one administrator (for Extension A/P faculty this is usually the district director) and Administrative and Professional Faculty Senate Vice President.
Within 10 weekdays	<p>1b. CAPFAAdministrative and Professional Faculty Senate Vice Presidentchair acknowledges in writing to grievant that copy of grievance has been received.</p> <p>1c. 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.</p> <p>1d. If the issue is not grievable, the grievance process concludes.</p> <p>1e. If the issue is grievable, the step one administrator responds to grievance in writing on the grievance form.</p> <p>1f. If step one administrator's response is satisfactory to grievant, that ends the matter.</p> <p>1g. If step one administrator's response is not satisfactory to the grievant, move to step two within 5 weekdays.</p>

Step Two

Timing	Step Number and Description
Within 5 weekdays	<p>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.</p> <p>2b. Step two administrator meets with the grievant and provides a written response.</p> <p>2c. If step two administrator's response is satisfactory to grievant, that ends the matter.</p> <p>2d. If step two administrator's response is not satisfactory to grievant, move to step three within 5 weekdays.</p>

Step Three	Step Number and Description
Within 5 weekdays	3a. 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.
Within 5 weekdays	3b. Step three administrator acknowledges receipt of grievance and forwards copy to Administrative and Professional Faculty Senate Vice President.
Within 5 weekdays	3c. Administrative and Professional Faculty Senate Vice President acknowledges in writing to grievant that copy of grievance has been received from the step three administrator <u>and forwards a copy of the "Hearing Procedures for Administrative and Professional Faculty Grievances" to parties in the grievance process.</u>
Within 15 weekdays	3d. Administrative and Professional Faculty Senate Vice President convenes a hearing panel that holds its initial meeting with both principals.
Within 45 weekdays	3e. The hearing panel concludes its work and makes recommendation to step three administrator and grievant.
Within 10 weekdays	3f. Step three administrator meets with grievant.
Within 10 weekdays	3g. Step three administrator notifies grievant in writing of the decision.
	3h. If the step three administrator's decision is <u>satisfactory to the grievant, even if it differs from the recommendations of the hearing panel, then that ends the matter.</u> If the step three administrator's decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if whether or not it is satisfactory to the grievant, -even if it differs from the recommendations of the hearing panel that ends the matter.
	3i. If the step three administrator's decision is <u>not consonant with the recommendations of the hearing panel and</u> not acceptable to the grievant and not consonant with the recommendations of the hearing panel, <u>only then may</u> the grievant may appeal in writing to the <u>university</u> president. <u>The appeal must be made</u> within 20 calendar days <u>of the step three administrator's decision.</u>

Step Four

Timing	Step Number and Description
Within 20 calendar days	4a. Grievant appeals in writing to president. 4b. The president's decision is final.

7.9 Leave

~~For additional information, consult Human Resources Benefits, Leave—the Human Resources Leave website Leave for information.~~ Administrative and professional faculty are eligible for the following types of leave: 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 [research leave](#), particularly when they are returning to instructional faculty status. All study-research leaves and research assignments require approval by the Board of Visitors. ~~For more information, consult Research Leaves. Consult faculty affairs in the office of the provost.~~

7.10 Consulting Activities for Virginia Cooperative Extension Faculty

See chapter two of this handbook 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 [at Conflicts of Interest and Commitment](#).) 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 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, chair, school director, 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 of this handbook, "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.

CHAPTER EIGHT— GRADUATE ASSISTANTS

8.0 Policies for Graduate Assistants, Graduate Research Assistants, and Graduate Teaching Assistants

Consult [Graduate Student Catalog](#), [the Assistantship Management & Funding Guide](#), and [Graduate Assistantship Information](#) for additional information.

8.1 Graduate Student Appointments

[Policy 6210, “Management of Graduate Assistantships and Tuition Remission”](#) 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

~~For more information, consult Faculty Qualifications for Teaching. Consult Qualifications for Teaching on the provost's webpage for information on qualifications for teaching.~~ The teaching department or school has the responsibility to document the qualifications for

teaching for any Instructor of Record. Per the university's regional accrediting body, the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), a GTA who is assigned full responsibility for teaching an undergraduate course as an Instructor of Record must have a master's degree in the discipline being taught 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.

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. [For additional information, consult Policy 6210, "Management of Graduate Assistantships and Tuition Remission"](#). Graduate students receiving full-time assistantships are not prohibited from seeking additional employment. In the interest of their professional development and maintenance of satisfactory academic progress, students seeking additional employment should consult with their academic advisors, and when appropriate their assistantship providers, regarding the fulfillment of their assistantship and graduate study responsibilities. The Graduate School must be notified in advance of any additional employment plan. The Graduate School should be consulted to assist with the resolution of any conflicts of interest that may arise. Attempted resolution of conflict occurs at the departmental or school level first, and then can be referred, if necessary, to the Graduate School and/or [Office of the Graduate Ombudsman](#).

In evaluating the merits of additional employment, including outside employment, graduate students and their advisors should consider the following:

Employment by a company owned in whole or part by the faculty chair of the student's dissertation or thesis committee presents the potential for serious conflicts of interest. In such cases, another faculty member of equal or greater rank must serve as chair or co-chair of the advisory committee.

It is inappropriate for any student to receive remuneration directly from the external funding organization while also being employed as a graduate assistant or wage earner on a contract with that same organization.

It is inappropriate for any student to work for an employer who is in direct competition with a current funding source. International graduate students on assistantships may be prohibited from any additional employment by their specific visa status.

CHAPTER NINE—INSTRUCTION-RELATED POLICIES

9.0 Instruction-Related Policies

For more information, See [consult Office of the University Registrar website](#).

9.1 Assignment of Academic Responsibilities

Assignments of teaching load and academic advising are the responsibility of the department head, chair or school director and may vary from one term to the next depending on the departmental or school 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, chair or school director 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, chair, or school director is recognized in assigning duties during periods when the university is not in session. Faculty members are expected to inform their department heads, chairs, or school directors 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

As outlined in [Presidential Policy Memorandum No. 312, "Special Authority Conferred to University Registrar During States of Emergency,"](#) special, time-limited authority 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, chair, or school director. (See chapter two of this handbook "Summer and Winter Appointments.")

9.1.3 Independent Study and Undergraduate Research

For more information, consult [Office of 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, chair, or school director 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, chair, or school director 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 as individualized work. Additional information can be found ~~on the at~~ [Office of the University Registrar's website](#) [Office of the University Registrar](#).

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 at the~~ [Graduate School webpage](#). 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, chair, school director 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 or schools. Individual professors address scheduling issues through the department head, chair, school director or the designated scheduler.

The university registrar assigns classrooms. Moving the location of courses is possible only with the approval of the department scheduler and the university registrar. Enrollments may not exceed the posted room capacity. Commonwealth of Virginia fire code specifications do not allow students to be seated in the aisles or on the floor.

9.3 Registration for Classes

The registration period for each term occurs during the regular preceding term. New and transfer students register for the fall semester during online summer orientation academic advising. Students who enter the university for the first time in the spring semester or a summer term register in the usual manner.

The university registrar works with each department or school 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, chair, or school director and the dean and canceled unless there are compelling reasons for keeping the class. In the summer and winter terms, the department head, chair, or school director 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 or schools notify enrolled students of any change or cancellation of a course section. This notification should be as timely as possible for students to make alternate plans.

Students submit course requests during the published pre-registration period. After departments or schools make the necessary adjustments based on course requests, completed schedules are made available to students. Students may adjust their schedules during the add/drop period.

9.3.1 Add/Drop Period

At the beginning of the term, students may add courses through the end of the fifth day of classes and drop courses through the 30th day of classes. During the summer, students may add courses through the end of the third day of classes and drop courses through the end of the fifth for each part of the term.

During the winter term, students may add courses through the first day and drop classes through the first day of the term.

Dropping or adding courses becomes necessary if a student has an incomplete schedule, changes curriculum, fails a course in the previous term, or fails to pay fees on time, which removes the student from all classes.

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 or school for departmental or school 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, 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 or school 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 or school’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 or school determines that a copy of the textbook is on reserve in the University Libraries during any period that the textbook is to be used. Additional information on the federal textbook requirements and guidelines may be found ~~on the~~ [University Registrar's HEOA Textbook Provision page](#).

In accordance Section 23.1–1308 Code of Virginia the University has adopted guidelines for the use of low-cost and no-cost open educational resources in courses offered at the university. Such guidelines may include provisions for low-cost commercially published materials. These guidelines are available ~~on the~~ [University Libraries Open Education: OER Overview page](#).

Faculty members should not engage in direct sale of instructional materials to students. The Code of Virginia §23 1-1308 states that, "No employee of a public institution of higher education shall demand or receive any payment, load, subscription, advance, deposit of money, services or anything, present or promised, as an inducement for requiring students to purchase a specific textbook required for course work or instruction. However, such employee may receive (i) sample copies, instructor's copies, or instructional material, not to be sold; and (ii) royalties or other compensation from sales of textbooks that include such instructor's own writing or work." See also [Policy 13010, "Conflict of Interest"](#), and [Policy 6400, "Policy on University Textbook Sales."](#)

9.4.1 Faculty-Authored Course Materials

A faculty member teaching a course may not receive a royalty and/or other fees beyond direct cost of production and sales for any material used as part of class activity, except for material that has received an independent external review, that has been copyrighted, and a portion of the copyright is owned by a publisher other than the author. Faculty accused of abusing the distribution of classroom material for personal financial gain are subject to review by the Committee on Faculty Ethics.

9.5 Grading Systems

“A” to “F” system (undergraduate students): The majority of course enrollments by undergraduate students at the university are graded on the traditional A-F basis, with a 12-point plus/minus grading scale. The grades “A” through “D-” represent passing grades and “F” is a failing grade. The grade of “A” should be assigned to students who meet the learning objectives outlined for the course at a level of comprehension and performance deemed excellent. The grade of “F” should be used for those students who have not demonstrated acceptable achievement with regard to the learning objectives of the course of study. An instructor may choose not to use the plus/minus system in the assignment of grades.

“A” to “F” system (graduate students): The grading system for graduate students is similar to the A-F system with “D” as the lowest passing grade.

Pass/Fail system (undergraduate students): A pass/fail grading system is available to encourage students to enrich their academic programs and explore more challenging courses outside their major without the pressures and demands of the regular grading system. The pass/fail grading option is available to all undergraduates who have completed a minimum of 30 credit hours at Virginia Tech and have a cumulative Virginia Tech grade point average (GPA) of 2.0 or above. The following restrictions apply:

for students in a four-year program, the total maximum allowable credits for pass/fail shall not exceed 12 semester hours, exclusive of courses offered only pass/fail

for students in a five-year program, the total maximum allowable credits for pass/fail shall not exceed 12 semester hours, exclusive of courses offered only pass/fail, or 10% percent of the required hours for graduation completed at Virginia Tech—whichever is greater

a student may not enroll for more than two courses per semester on a pass/fail basis—excluding physical education activity courses and required courses offered on a P/F basis only

courses may not be changed from A-F to the P/F basis beyond the last day to drop classes without penalty

courses may not be changed from P/F to A-F beyond the last day to resign without penalty

for students in a four-year program, the total maximum allowable credits for pass/fail shall not exceed 12 semester hours, exclusive of courses offered only pass/fail

For courses offered only on a pass/fail basis, the 30-hour and 2.0 GPA requirement does not apply. Any courses taken beyond the number of hours required for graduation also may be taken pass/fail, except that no more than two courses may be taken on the P/F option per semester.

Under the pass/fail grading system for undergraduate students, a “P” is granted for earning a “D” or better in the course; otherwise, an “F” is given. The “P” or “F” is recorded

on the student's transcript and credit given if the course is passed; if the course is failed, the "F" is considered as equivalent to an "F" received under the A-F grading system and is included in calculation of the GPA. The GPA is unaffected by a "P." Once credit is received for a course taken on pass/fail, the course cannot be repeated under the A-F grading system.

Pass/Fail system (graduate and veterinary medicine students): A limited pass/fail grading system is available to encourage graduate students to explore courses outside their major. Subject to approval of the major professor, graduate students may take an unlimited number of hours of graduate course work (5000-and 6000-level) on a pass/fail basis, if outside the department or school 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 Presidential Policy Memorandum No. 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 or school of the course. Incompletes not removed during the designated time are changed to "F" and calculated in the student's GPA. It is expected that a Documentation for Assignment of an Incomplete Grade(I) for Undergraduate Students form, available on the University Registrar's website, be submitted to the college's associate dean as record of the Incomplete grade contract between the faculty member and student.

The "NG" grade (No Grade): The "NG" grade is given when a student's name appears on the class roll, but the student has never attended class or submitted work for grading.

The "X" grade (Continuing Course): The "X" mark shows that pursuit of the project begun in the course will be continued. The "X" does not compute in the student's GPA. The "X" may be assigned only for courses pre-established as eligible for this treatment. Changes from the "X" to the final grade must be submitted on change-of-grade cards; the regular grade marked on a grade sheet for an "X"-eligible course will process to that term's enrollment only.

The "EQ" grade: The "EQ" grade is reserved for graduate students enrolled in research and thesis (5994), or research and dissertation (7994). The awarding of this grade shows that the enrollment has been reviewed and the credits are to be sent to the grade report system. Failure to assign an "EQ" grade will result in the computation of the credits as failing.

The "NR" grade (Not Reported): The "NR" (not reported) grade is automatically entered when an instructor fails to award a grade to a student. The "NR" grade computes as an "F."

The "W" grade (Course Withdrawn): The "W" (withdrawn) grade is given to an undergraduate or graduate student who has applied the course withdrawal policy to a course. The "W" grade is automatically awarded based on the course option of "W." A regular grade cannot be awarded if a student has applied the withdrawal policy or "W" option to the course.

Mid-term grade reports: Mid-term grade reports are issued for first-term undergraduates and first semester transfer students for the purpose of informing them about their progress early in their first academic year. Courses that are oriented toward freshmen should be designed to include at least one substantial graded assignment in time for the mid-term grade report.

~~Projected grades for the graduating students, spring term: Projected grades for graduating students—all levels—must be submitted by the published tentative grade entry deadline in the spring semester. All students are completed for spring term based on the projected (tentative) grades received. Failure to submit tentative grades results in the student's non-completion and non-receipt of diploma at the college or department or school ceremony. Entry of tentative grades follows the same process as the end of term entry via Hokie SPA.~~

Commented [RG54]: Removed language about projected grades as that process is no longer in place.

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, chairs, or school directors may ask instructors in their department or school 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 of this handbook “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 or school office during normal working hours. Further information regarding the undergraduate honor system and the graduate honor system is located below. 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 or school 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 or school 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 this chapter "Syllabus and Performance Expectations"). 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, chair, or school director 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, chair, or school director who examines the student's allegation, discusses the matter with the instructor, and makes every effort to resolve the matter at the department or school level. In the unusual circumstance that resolution does not occur at the departmental or school or divisional level, the student may appeal to the instructor's college dean. The dean reconciles the matter by whatever mechanism is most appropriate for that college and that case.

The decision of the college dean is final in undergraduate appeals.

The student must make a grade appeal as soon as possible, but no later than the end of the next academic term of the regular academic year (i.e., fall or spring).

9.6.5 Graduate Student Grade Appeals

Graduate education is a complex activity involving a high order of student-faculty interaction and collegial relationships.

It follows that the evaluation of the graduate student's progress is, and must be, dependent in large part on the judgment of the graduate student's major professor, augmented by the collective judgment of the members of their assigned committees. The university, through the agency of the graduate school, defines minimal entrance standards and prescribes general rules governing eligibility for continuation. But the crucial agency in student evaluation is the department or school 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 or school's expectations as well. Each department or school 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 or school 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 or school 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 head, chair, or school director. 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, chair, or school director 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 Faculty 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 or school 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-theat~~ [Services for Students with Disabilities page](#)~~Services for Students with Disabilities~~. 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-theat~~ [Office of Undergraduate Academic Integrity website](#).

9.8.1.1 Faculty Participation in the Undergraduate Honor System

The support of faculty is essential to cultivating a culture of academic integrity. Faculty members are encouraged to support the undergraduate honor system and are expected to abide by the procedures designed for the effective implementation of the undergraduate honor code.

Faculty are expected to adhere to policy pertaining to the reporting and adjudication of violations of the honor code. Initiating formal procedures when academic misconduct is suspected is a necessary and obligatory component of a faculty member's duties. Any suspected violations of the honor code should be reported promptly, in writing, to the director of the Office of Undergraduate Academic Integrity. Forms of this purpose are available from all department or school offices, the undergraduate honor system office, and the [Office of Undergraduate Academic Integrity website](#). A faculty member involved in a case is also expected to cooperate with undergraduate honor system personnel, attend hearing panels, faculty-student resolution meetings, and to maintain confidentiality.

In addition, the undergraduate honor system offers the following guidelines to faculty:

Faculty are encouraged to describe the prohibited behavior and the consequences of such activity to students, as well as to openly discuss academic integrity with students in their courses early and throughout the semester.

When an alleged violation is detected, the suspected student(s)' paper should not be collected until the test is completed. However, any evidence that would be necessary in an investigation should be collected immediately. The test should be graded without prejudice and the alleged violation should be reported to the undergraduate honor system. Please provide the original assignment in question in the submission of evidence. Grades should not be adjusted in a course to compensate for suspected dishonesty.

If a professor suspects that a student or students are cheating, it is permissible to speak with the suspected student(s)—after the test or other work has been completed—and indicate these suspicions. However, it is not permissible to penalize or berate the student(s) or to take any other action that might affect the student(s).

Faculty members are not required to proctor quizzes, tests, and examinations. Faculty are expected to personally administer the examination and to remain within reasonable proximity of the examination room to answer questions that may be raised by the students. However, it is not a compromise of the undergraduate honor system to stay in the room or visit frequently, when a test is being given. In fact, precautionary measures in the spirit of reducing the opportunity for academic misconduct are advisable, especially in large classes. Seats should be spaced in examination rooms whenever possible. Alternate test forms may be used. In rare cases, such extreme measures as requiring ID when a test is handed in may be necessary to prevent organized "paid substitutes" from taking tests for other students.

Faculty are encouraged to speak with the director of the Office of Undergraduate Academic Integrity to obtain information designed to prevent academic misconduct.

The faculty, along with the students and other university personnel, share the responsibility of cultivating a culture of academic integrity and honesty through upholding the undergraduate honor code.

9.8.1.2 Undergraduate Honor Code Statement in Course Syllabi

All undergraduate course syllabi shall contain a section that states and refers students to the honor code procedures available ~~on-at the~~ [Office of Undergraduate Academic Integrity website](#). The minimum required statement is, "As a Hokie I will conduct myself with honor and integrity at all times. I will not lie, cheat, or steal, nor will I accept the actions of those who do." Additional information about the expectation of academic integrity in a particular course may be appropriate.

Each student who enrolls at Virginia Tech is responsible for abiding by the honor code. A student who has doubt about how the honor code applies to any graded assignment is responsible for obtaining specific guidance from the instructor before submitting the assignment for evaluation. Ignorance of the rules does not exclude any member of the university community from the requirements and expectations of the honor code. For additional information, ~~please see consult the Office of Undergraduate Academic Integrity Office of Undergraduate Academic Integrity website.~~

9.8.1.3 Undergraduate Honor Code Definitions of Academic Misconduct

Commission of any of the following acts shall constitute a violation of the undergraduate honor code. The list is not, however, exclusive of other acts that may reasonably be said to constitute academic misconduct.

Cheating includes intentionally using unauthorized materials, information, notes, study aids, or other devices or materials in any academic exercise, or attempts thereof.

Plagiarism includes the copying of the language, structure, programming, computer code, ideas, and/or thoughts of another and passing off the same as one's own original work or attempts thereof.

Falsification includes the statement of any untruth, either verbally or in writing, with respect to any circumstances relevant to one's academic work or attempts thereof.

Fabrication includes making up data and results, and recording or reporting them, or submitting fabricated documents, or attempts thereof.

Multiple submission includes the submission for credit—without authorization of the instructor receiving the work—of substantial portions of the same work (including oral reports) previously submitted for credit at any academic institution or attempts thereof.

Complicity includes intentionally helping another to engage in an act of academic misconduct or attempts thereof. Violation of university, college, departmental, school, or faculty rules includes the violation of any course, departmental, school, 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 System

9.8.2.1 Graduate ~~School~~ Honor System (GHS)

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.

The GHS provides a variety of resources for faculty, including tips for how to reduce violations; information about why and how to submit reports about suspected violations; how to grade students accused of an academic integrity violation; and how to support the GHS by volunteering as a faculty panelist. For more information, consult Faculty resources, Graduate Honor System.

Commented [RG55]: Corrected name "Graduate Honor System", added link to Constitution of Graduate Honor System, and added a reference to faculty resources webpage.

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 (VTC SOM) is described in the VTC SOM Student Handbook.

9.9 Classroom Conduct

Maintaining a good learning environment in the classroom is an important part of a faculty member's responsibility as a teacher. The teacher should endeavor to create a classroom atmosphere that is comfortable and welcoming of all students, including women and members of minority groups. Disruptive classroom conduct on the part of some students may be distracting, annoying, or intimidating to other students and should not be tolerated by the teacher.

As much as possible, the teacher should endeavor to create a classroom environment in which there is active participation on the part of most of the students, rather than the domination of the class by a few individual students. This may require different teaching strategies such as the use of small groups or teams, as well as different approaches to the structure of classroom presentations. Assistance for faculty who are trying to improve the learning environment of the classroom is available through the Center for Excellence in Teaching and Learning.

Faculty have the prerogative of deciding the classroom conduct and the appropriate dress of their students as long as these actions do not infringe upon the students' rights as guaranteed in principles underlying the section in the Student Code of Conduct. It is the faculty member's obligation to ensure that the classes following find a clean and orderly space.

9.10 Teaching Evaluations

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 or

school offices and from the academic deans. Student evaluation of courses and instructors is an integral component of a good teaching program. While specific procedures vary across the colleges, in general, committees in each college are responsible for designing appropriate evaluation procedures and for receiving such evaluations. Faculty members should ensure that their college's procedures for conducting student teaching evaluations are followed in a way that is absolutely free of intimidation or influence by the teacher's presence.

Student Perceptions of Teaching (SPOT) system was developed to provide a centrally supported, university-wide method for collecting student feedback regarding courses and instruction. The SPOT questionnaire is designed for use across all university departments and schools; 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, schools, and individuals wishing assistance in devising evaluation forms may consult the [Center for Excellence in Teaching and Learning](#), where a variety of such forms are available. Faculty members may find such evaluations helpful in revealing information that leads to improvement of classroom presentation, evaluation of students, and student response to their classes.

9.11 Student Record Policy

In response to the Family Educational Rights and Privacy Act (FERPA), a statement of policy on the maintenance and disclosure of student records was adopted by the university. This policy protects the privacy of student records; the specific policy document is available from ~~the university registrar's~~ [Student Privacy \(FERPA\) page](#).

9.11.1 Academic Records

Names of current and former students, that are not marked suppressed or confidential, may be selected and released to non-university entities only on the basis of class level (e.g., freshman, senior), major, or place of residence.

Pursuant to the Code of Virginia § 23.1-405, student and former student addresses (both physical and VT email) and phone numbers should not be released to non-university entities regardless if they are marked suppressed or confidential or not.

The protection of academic records, which exist in enrollment management and in the college and departmental or school files, is covered by this policy. This includes the student's right to review these records.

Responses to telephone inquiries are limited to the following information: whether the student is currently enrolled; dates of enrollment; degree(s) earned if any, date, major, and honors received; address and telephone number. The Office of the University Registrar must provide official certification of these items. Special note: no information, including directory information, may be released if a student has marked all or part of their record suppressed or confidential.

Grade reports may not be released to parents, guardians, or any other person without prior written approval from the student. Students may not have access to financial aid information about their parents or guardians without written approval from the parent or guardian.

The university may withhold transcripts, certificates, registration materials, or any other information about a student's record if financial obligations are unmet. The university also reserves the privilege of withholding materials if violations of university regulations have not been cleared.

9.11.2 Lecture Recording

Lecture recordings should be handled in a manner that ensures any and all student's personally identifiable information isn't released outside of FERPA requirements. The following guidelines should be considered when using lecture recording:

- Faculty should not upload to a public site any recording of a class session where the students are in any way the focus in the recording, either by name or by image.
- Faculty who wish to record lectures for use in later semesters may do so by recording the course in such a way that the students' identity is never revealed.
- Recordings that include student names (such as on zoom) or in which a student is presenting their work may be shared **ONLY** through Canvas and **ONLY** with the section of the course in which the student(s) are enrolled.

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 or school procedures regarding changing advisors; and bring concerns regarding quality of advising to the attention of the advisor.

Statement of advisor responsibility. The advisor shares responsibility for developing an advising partnership with undergraduate students. The advisor will: communicate with students and delivering individualized and accurate information in a professional and sincere manner; be informed of and provide accurate information about current academic policies and procedures; keep appointments and be available for assistance; provide appropriate referrals, contacts, and information; do appropriate follow-up with students; and seek out and take advantage of opportunities for professional development.

9.13 Identifying and Referring the Distressed Student

The college years can be stressful for students. In the contemporary climate of competition and pressure, some students adequately cope with these stresses, but others find that stress becomes unmanageable and interferes with learning. In some cases, these students may even disrupt the learning of others.

Identifying the distressed student. Many students initially seek assistance from faculty. A student in distress may display: excessive procrastination and very poorly prepared work, especially if inconsistent with previous work; infrequent class attendance with little or no work completed; dependency (e.g., the student who hangs around or makes excessive appointments during office hours); listlessness, lack of energy, or frequently falling asleep in class; marked changes in personal hygiene; impaired speech and disjointed thoughts; repeated requests for special consideration; threats to others; expressed suicidal thoughts; excessive weight gain or loss; behavior that regularly interferes with effective class management; frequent or high levels of irritable, unruly, abrasive, or aggressive behavior; inability to make decisions despite repeated efforts to

clarify or encourage; bizarre behavior that is obviously inappropriate for the situation; or may appear overly nervous, tense, or tearful.

Guidelines for interacting with a 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 a 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.

9.14 Faculty Awards for Teaching, Advising, Research, and Outreach

In recognition of the university's conviction that excellence in teaching, advising, research, and outreach should be a major concern of every faculty member, several awards are presented annually to honor outstanding teaching and advising performance. For information about these awards, visit University Honorifics.

Commented [RG56]: This section was unintentionally removed from the 2019-20 FHB, and should be included for reference and for consistency with PPM 458.

CHAPTER TEN—: RESEARCH, CREATIVE AND SCHOLARLY ACTIVITIES

10.0 Policies for Research, Creative and Scholarly Activities

For more information, Consult the Office of Research and Innovation~~consult the Office of Research and Innovation~~. 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. Information and PI guidelines are maintained by the Office of Research and Innovation and can be found ~~on the~~[Sponsored Research \(OSP\) Principal Investigator Resources](#)~~page~~.

10.2 Research Classifications

10.2.1 Departmental Research

Research supported by departmental operating funds and/or through adjustment of teaching responsibilities is called departmental research. In this category, faculty are free to pursue research to enrich their teaching, scholarship, and greater understanding of their discipline.

10.2.2 Core Research

Core research focuses primarily on the needs of Virginia and is funded by state and federal appropriations through the instructional division and Virginia Cooperative Extension /Agricultural Experiment Station. There are six core research sub-programs:

- agriculture and forestry research
- coal and energy research
- environmental and water resources research
- industrial and economic development research
- veterinary medical research, and
- supporting research

Faculty, who believe their research relates directly to one or more of the sub-programs and is applicable to problems or concerns of the commonwealth, should contact their department head or chair about procedures for securing core research support.

10.2.3 Sponsored Research

Sponsored research is supported through awards funded by external sponsors resulting from proposals submitted, on a project-by-project basis, by university faculty. Such proposals are submitted to state and federal agencies, corporations, and private foundations. Through sponsored research, faculty obtain the resources needed to conduct expanded research programs and may receive additional months of salary

support. Research time is charged when the work activity and work reported are during the same period.

Sponsored awards add stature to the recipient and the university; thus, faculty members are encouraged to seek such support. Restrictions for sponsored research include that the research must not constitute undue competition with commercial testing and research laboratories or with private consultants, and that it is compatible with the primary mission of the university. Questions about the appropriateness of a specific research project should be directed to the department head or chair, dean's office, or to the Office of 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-at the~~ [Office of Sponsored Programs \(OSP\) -website](#). Faculty are encouraged to explore research sponsorships by viewing funding opportunities on the Office of Research and Innovation website. Office of Research and Innovation personnel consult with faculty regarding research support and help faculty locate programs and individuals at government agencies, industry, and private foundations.

Most funding agencies have their own scientific and technical priorities and funding restrictions. Therefore prior to writing a formal proposal, faculty are encouraged to review their proposal concept with the appropriate person at the agency to which the proposal will be submitted. Faculty may wish to discuss proposal preparation with the appropriate member of their college dean's staff. Before final budget preparation, an OSP official must review the proposed budget. The OSP official provides information and guidance about university policies for cost sharing, budgetary matters, confidentiality, publication, and intellectual property undertakings.

Faculty should be aware that some agencies limit the number of proposals, frequency of institutional proposal submission or the total dollar amount of proposals that can be submitted by an institution in response to a research sponsor's solicitation. Some sponsors also limit the number of active awards for a given program by institution. Additional guidance for these programs, along with deadlines and procedures for submitting internal notices of intent for these solicitations or program notices are available ~~on-the-at~~ [Research and Innovation Limited Submissions-webpage](#).

The required process for submitting a sponsored project proposal is ~~on-the-OSP webpage~~ [found in 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 \(IACUC\)](#) using 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-facilitates~~ 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-facilitates~~ four compliance review committees with federally mandated membership composition including faculty peers and community members, that review each research protocol to ensure scientific quality, ethical treatment of research subjects (animal and human), and compliance with related federal and state research regulations.

10.5.1 Research with Human Subjects

The [Virginia Tech Institutional Review Board \(IRB\)](#) has general oversight responsibility for the university's compliance with its federal-wide assurance with the Office for Human

Research Protections in the U.S. Department of Health and Human Services, the ethical principles established in the Belmont Report, and human subjects protection regulations in the Code of Federal Regulations title 45, part 46 (45 CFR 46) and 21 CFR 50. All research with human subjects, as defined in 45 CFR 46 and 21 CFR 50, conducted by Virginia Tech faculty, staff, or students, regardless of funding source (including non-funded research), must be reviewed and approved by the IRB before research is initiated and subjects are recruited. In accordance with federal law, the Virginia Tech IRB has the authority to approve, disapprove, or require modifications in protocols before approval is granted. For studies that the IRB deems to be greater than minimal risk, the investigator must seek continuing IRB review, at least annually, or as determined by the IRB. Continuing review materials must be reviewed and approved by the IRB before the study's expiration date. No changes may be made to an approved nonexempt protocol until an amendment application is approved by the IRB. Investigators must seek research determinations from the Human Research Protection Program for all proposed research projects, which fall into one of the following categories: Not human subjects research, exempt, expedited or full-board review. [Policy 13040, "Virginia Tech Human Subjects Research Policy,"](#) establishes requirements for research involving human participants. These requirements are intended to protect the rights and welfare of human research subjects recruited to participate in research activities.

The [Privacy and Research Data Protections program \(PRDP\)](#) has oversight of privacy and confidentiality protections of research data in collaboration with Virginia Tech information security and related policy stakeholders. The PRDP collaborates with researchers, the IRB, University Libraries, and university IT resource owners on data use and storage opportunities to facilitate secure storage and use of personally identifiable information and protected health information. PRDP provides guidance [and referrals](#) 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.~~ [by maintaining an approved animal welfare assurance with the Office of Laboratory Animal Welfare, an approved research facility registration with USDA Agriculture, Animal, and Plant Health Inspection Service, and the American Association for Accreditation of Laboratory Animal Care \(AAALAC\) International accredited portions of Virginia Tech. Through these, IACUC oversees adherence to 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, additional AAALAC International FAQ's, and guidance resources provided within the regulations. All proposed research and teaching use of vertebrate animal species, regardless of funding source (including non-funded research), must be reviewed and approved by the IACUC before animals are acquired and activities initiated. In accordance with federal law, the Virginia Tech IACUC has the authority to approve, disapprove, or require modifications in protocols before approval is granted. No changes may be made to an approved protocol until a protocol amendment application is approved by the IACUC. Researchers and instructors must provide annual continuing review information and as requested. In accordance with federal regulations, protocols can only be approved for a three-year period, after which a renewal protocol must be submitted for review and approval by the IACUC. Per federal law, every six months the IACUC must inspect areas where animals are housed or used (e.g., labs where animals may be taken) and review the animal program. [Policy 13035, "Virginia Tech Animal Research Policy,"](#) establishes requirements governing the use of animals in research and training. These requirements are intended to safeguard and ~~ensure-facilitate~~ the humane treatment of animals used in research and training.

Commented [RG57]: Language regarding animal welfare compliance updated to reflect current national and international policy.

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. [Consistent with the federal and state DURC regulations and laws, 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 Policy 13050, "Virginia Tech Life Sciences Dual Use Research of Concern and Pathogens with Enhanced Pandemic Potential 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.

Commented [RG58]: Revised language to reference university policy rather than federal policy to avoid redundancy.

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-at~~ [Virginia Tech Intellectual Properties \(VTIP\) page](#) or by contacting the License team within the Office of Research and Innovation. Invention Disclosures should be made as soon as possible after creation (i.e., before publication or other public discussion) to protect the potential value and utility of the IP.

As project leader, it is the responsibility of the faculty principal investigator to preserve the research material and results in the manner that is customary to the field. This includes all notebooks and files (independent of whether they are in analog or digital format), computer files, samples, specimens, prototypes, etc. germane to the veracity and validity of the research claims. Sponsored research projects may require additional document retention based on sponsor requirements or fulfillment of the project's data management plan, included in the original proposal. All research data, results, and related materials must be retained as required by state law and in accordance with the retention requirements of the Library of Virginia's state records management program. The faculty principal investigator is also responsible for complying with any additional applicable regulations regarding data retention for specific records.

Additional requirements concerning ownership and control of research data, results, and related records are set forth in [Policy 13015, "Ownership and Control of Research Results."](#)

10.7 Financial Conflicts of Interest Related to Sponsored Research

Virginia Tech recognizes the value and necessity of engaging with outside entities to translate research into beneficial products. Transparency and appropriate management of these relationships promotes objectivity in research and safeguards the interests and reputation of Virginia Tech and its employees.

To ~~ensure-facilitate~~ compliance with state law and federal regulations, and to provide consistent institutional policies and practices in relation to all research sponsors, investigators engaged in sponsored activities research must take training and disclose financial interests related to their institutional responsibilities as described in [Policy 13010, "Conflict of Interest."](#) The Research Conflict of Interest Program is responsible for assessing and implementing management strategies for investigator financial conflicts of interest. The program also administers the university's system for outside activity and financial interest disclosure.

Once an Investigator discloses a financial interest to the university, the Research Conflict of Interest program determines whether the financial interest could directly and significantly affect the design, conduct, or reporting ~~of~~ research. If so, the situation represents a financial conflict of interest (FCOI) and the program must ~~ensure-develop~~

~~and implement~~that a plan to manage the financial interest ~~is developed and implemented prior to before~~ the start of the research. The management plan is designed to mitigate the conflict, promote research objectivity, and ~~promote~~ provide academic and professional protection ~~of for~~ graduate students and postdoctoral scholars, respectively. If needed, the Management Plan Advisory Committee (MPAC), a standing committee of the university, will make recommendations to the Research Conflict of Interest program director regarding how the financial conflict of interest should be managed to ~~ensure~~ facilitate that ~~sponsored-objective~~ research ~~will be objective and that is~~ free from bias to the extent possible.

There is a particular significance to financial conflict of interest processes when a faculty member has a financial interest in a small business that is pursuing SBIR/STTR funding in collaboration with Virginia Tech. Note that use of university resources on behalf of a small business is not permitted unless Virginia Tech is performing the scope of work authorized through the subaward from the small business to Virginia Tech and that subaward is fully executed before work begins. Only the documented subawarded work is authorized to be performed using Virginia Tech resources. University personnel cannot support the small business funding application whatsoever, including developing a budget or proposal on behalf of the small business. The involvement of the university in such activities occurs only to the extent that Virginia Tech is an intended subawardee in the research, in which case typical involvement of Virginia Tech researchers and research administrators is permissible. University personnel cannot provide any pre- or post-award support to the small business or make arrangements/handle reimbursements for small business travel. Note that rights to intellectual property cannot generally be assigned to an entity other than Virginia Tech except as permitted pursuant to [Policy 13000, "Policy on Intellectual Property"](#). See chapter two of this handbook 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 statutes 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 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~~**promote** 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 of this handbook "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](#). 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-by~~ the [Office of Undergraduate Academic Integrity-website](#). Standards of conduct and performance, as well as procedures for dealing with alleged violations of unacceptable conduct and grievance procedures, are available in the employee handbooks located ~~on-at the~~ [Human Resources page](#).

10.11.3 Procedures for Reporting, Investigating, and Resolving Misconduct in Research

The university has established detailed procedures for reporting, investigating, and resolving misconduct in research. Those procedures are available in [Policy 13020, "Policy on Misconduct in Research."](#) The research integrity officer is responsible for overseeing the procedural process. Any questions regarding the policy or procedures should be addressed to the research integrity officer in the Office of 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-facilitate~~ 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 Reporting and Certification

~~For more information, cConsult Effort Reporting~~consult the Office of Research and Innovation Financial Compliance, Effort Reporting~~Effort Reporting~~. 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 if the overall effort and salary charges during the period are consistent.

10.13.3 Effort Compliance 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 and chief research and innovation officer or designee. Membership of the IPC is set forth in the bylaws of the University Council.

CHAPTER ELEVEN: FACULTY BENEFITS

11.0 Faculty Benefits

Eligible faculty members are required to participate in a group life insurance plan, a retirement plan, and disability plan. Selection of required benefits must occur within 60 days of employment. Contact [Human Resources](#) for information. In the event of any changes in third-party benefits, vendor information is immediately available ~~in the at~~ [Benefits](#) ~~section of the Human Resources website.~~

11.1 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%~~ [percent](#) 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.

11.1.1 Health Flexible Spending Account

Salaried faculty members who work at least 20 hours per week (.50 FTE) are eligible to enroll in the commonwealth's health flexible spending account (FSA), which allows them

to set aside part of their income on a pre-tax basis and then use that money to pay for eligible out-of-pocket health care expenses for themselves, a spouse, and dependents. The minimum that may be set aside is \$10 per pay period; the annual maximum is established by the IRS and may change from year to year. A monthly pre-tax administrative fee does apply.

New faculty (with the exception of transfers from other state agencies) must request enrollment within 30 calendar days to enroll in the health FSA. Each year during open enrollment in the spring, faculty may renew FSA accounts or elect to enroll for the first time. Changes made during open enrollment are effective the following July 1. Certain qualifying mid-year events may be made outside the open enrollment period if the request for change is made within 60 calendar days of the qualifying event. Contact the Human Resources Service Center about specific qualifying mid-year events for family status change.

11.1.2 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.

New faculty employees (with the exception of transfers from other state agencies) must request enrollment within 30 calendar days to enroll in the dependent care (FSA). Each year during open enrollment in the spring, faculty may renew FSA accounts or elect to enroll for the first time. Changes made during open enrollment are effective the following July 1. Certain qualifying mid-year events may be made outside the open enrollment period if the request for change is made within 60 calendar days of the qualifying event. Contact the Division of Human Resources about specific qualifying mid-year events for family status change.

11.2 Group Life Insurance (required employee participation)

Participation in the group life insurance program is **required** of all full-time and part-time salaried faculty members. [For additional information, consult Human Resources, Benefits, Life Insurance.](#) The university pays the monthly premium and coverage is effective on the first day of employment.

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.

Per IRS requirements, life insurance in excess of the established excludable limit, in a calendar year, is taxable to current employees and those eligible for retirement upon separation.

11.2.1 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.

11.2.2 Whole Life Insurance

After the initial enrollment period in 2015, only new hires and those who initially elected to take at least a minimum \$5,000 policy will be allowed to add to their coverage on a guaranteed basis. New York Life whole life insurance is an optional program available to full-time faculty and staff members who meet eligibility requirements.

Employees can purchase a minimum \$5,000 to a maximum \$100,000 of death benefit on a guaranteed issue basis. Spouses, domestic partners, children, and grandchildren are eligible for a minimum \$5,000 and maximum \$25,000 of death benefit with no medical questions if the employee participates.

11.2.3 Long-Term Care Insurance

Genworth Life Insurance Co. offers long-term care insurance coverage, under the Commonwealth of Virginia Voluntary Group Long Term Care Insurance Program, which assists with costs related to long-term care services such as nursing home care or at-home care to assist with bathing, eating or other activities of daily living which may not be covered by most medical plans. Participant-paid coverage provides a monthly benefit allowance for covered long-term care expenses. Employees do not have to be a VRS member to be eligible, and family members may also apply for coverage.

11.2.4 Supplemental Insurance Plans

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.

11.2.5 Accidental Death and Dismemberment Insurance

Accidental death and dismemberment insurance is an optional program available to faculty and staff members on at least half-time appointment. The policy is with Zurich.

Accidental death and dismemberment insurance is available in multiples of \$5,000, in a range of benefits from \$10,000 to \$250,000. The employee pays the entire premium. Coverage is effective on the first day of the month following the month in which the application is received by Human Resources. An employee may enroll at any time in this program.

This coverage has full 24-hour, 365-days-a-year protection against accidents occurring during business or pleasure. The insurance includes accidents whether on or off the job, occurring in or away from the home, or traveling by public or private transportation. The benefits provided under this plan are payable in addition to other insurance that may be in effect at the time of accident. There are no geographical limits on this coverage. This policy also provides travel-assist coverage at no additional cost.

11.3 Retirement Plans (required employee participation)

All eligible faculty members are **required** to participate in a retirement plan and must choose either the [Virginia Retirement System \(VRS\)](#) or the [Optional Retirement Plan \(ORP\)](#) within 60 days of employment. If no choice is made, the default is the [VRS Hybrid Plan](#) (or other applicable VRS plan option) and will include enrollment in the Virginia Sickness and Disability Program. Consult [Human Resources, Benefits, the Retirement on the Human Resources website](#) for resources on retirement plans.

Part-time salaried faculty members working half-time, or more are eligible to participate in either the ORP or the VRS to the extent permitted by the VRS.

The Virginia Retirement System (VRS). Consult ~~the Human Resources Virginia Retirement System webpage~~[Virginia Retirement System](#) for information on eligibility, Plans 1 and 2, the Hybrid Retirement Plan, separation from the university, purchasing prior service, and investment options, ~~and Social Security~~. All VRS contributions are subject to applicable compensation and contribution limits per the Internal Revenue Code (IRC).

Optional Retirement Plan (ORP). ~~Consult For more information, consult the Human Resources Optional Retirement Plans webpage~~[Optional Retirement Plans](#). Contributions are subject to applicable compensation and contribution limits per the Internal Revenue Code. For faculty members hired before July 1, 2010, the university contributes 10.4% percent of base salary. No employee contribution is required. For faculty members hired on or after July 1, 2010, the university contributes 8.5% percent of base salary and the employee contributes 5% percent of their base salary.

11.3.1 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. Information is also available ~~on the Human Resources website under Human Resources Retirement page at~~ [Retirement](#).

11.4 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 CareMC** Innovations, LLC, Workers' Compensation Department, P.O. Box 1140, Richmond, VA 23208-1121.

11.4.1 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 CareMC** Innovations, LLC, the university's worker's compensation carrier, will be assigned to handle the claim.

11.4.2 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.

11.5 Disability (required employee participation)

Selection of a disability plan is **required** within 60 days of employment. No selection results in defaulting in VSDP. Information on short and long-term disability is available ~~on~~ [at the Disability of the Human Resources website](#). Faculty members who enroll in the Optional Retirement Plan (ORP) will be placed in Virginia Tech's faculty sick leave plan. Faculty members who enroll in the Virginia Retirement System (VRS) will choose between the Virginia Tech faculty sick leave plan or the Virginia Sickness and Disability Plan (VSDP).

Long-term disability insurance provides income replacement based on ~~60%-~~ [percent](#) of the pre-disability salary after a six-month period if the employee is deemed disabled. These benefits may be offset by Social Security and federal retirement (if applicable). The maximum and minimum monthly benefits are outlined ~~on the at Disability of the Human Resources website~~.

Faculty members on regular appointments. Faculty members on regular appointments who select the Virginia Tech Faculty Sick Leave Plan in lieu of the Virginia Sickness and Disability Program (VSDP) are provided with 1040 hours (based on 1 FTE) of sick leave at the time of employment. 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 takes effect and provides disability income to age 65 or for five years if over age

60 at the onset of disability. For more information, consult [Human Resources, Leave Benefits, the Disability of the Human Resources website](#).

Faculty members enrolled in the Virginia Retirement System may participate in 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 employment to be eligible for the VSDP short- and long-term disability benefits. The selection for coverage under VSDP is irrevocable.

Faculty members who default into the VRS plan will be placed in the VSDP.

Faculty members on restricted appointments. Faculty members on restricted appointments not enrolled in the Virginia Sickness and Disability Program (VSDP) are automatically enrolled in a short-term disability plan administered by a third party. While on an approved short-term disability leave, the restricted faculty member is provided with 60%— percent of their salary for up to six months after an initial seven-day period. Employees who are considered disabled after six months will transition into the faculty long-term disability plan.

Faculty members on restricted appointments who selected coverage under VSDP and converted to a regular faculty appointment on or after September 1, 2017, are required to remain in the VSDP.

11.6 Holidays

For information, consult [the the-Holidays and Winter Break schedule-for information](#). Holidays observed by faculty members are New Year's Day, Martin Luther King Jr. Day, Memorial Day, Juneteenth, Independence Day, Labor Day, Thanksgiving Day and the day following, Christmas Day, the four days comprising winter break between December 25 and January 1, and other holidays that the governor may designate. If faculty members are required to work on these days due to extenuating circumstances as determined by the department head, chair, school director or appropriate supervisor, or if they are designated as emergency personnel, they may use compensatory leave at a later date. Compensatory days do not accrue as annual leave.

11.7 Leave

Consult [For more information, consult Human Resources, Leave Benefits, the-Faculty Leave,—on the Human Resources website](#). Several types of leave, with or without compensation, are available. The types of leave available are contingent on the type of appointment: regular or restricted, calendar year (CY) or academic year (AY), full or part-time, and years of service to the university.

Leave Reporting. Consult department, school, or administrative unit for information on leave reporting. A link to the Leave and Time Worked Reporting System (password protected) is [on the Human Resources Leave page at Human Resources, Benefits, Leave](#).

Information on reporting leave is available ~~on the~~ [Human Resources, Leave Benefits, Reporting Your Leave on the Human Resources website](#).

11.7.1 Annual Leave

~~Consult~~ For more information, consult ~~the~~ [Human Resources, Leave Benefits, Faculty Leave](#) ~~Faculty Leave for information~~. Annual leave must be earned before it is used. Approval of the department head, chair, school director or supervisor is required in advance of using annual leave.

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.

Academic Year (AY) Appointment. Faculty members on academic year (AY) appointments do not earn or accrue annual leave. Administrative and professional (A/P) faculty members on regular, academic year (AY) appointments earn annual leave only during the period of their appointment and at the same rate as A/P faculty members on a regular, calendar year (CY) appointment.

Academic Year (AY) Faculty with Research—Extended Appointment. Faculty members on research—extended appointment earn annual leave proportional to their appointment. However, unused annual leave is not compensated at the time of reconversion or separation from the university.

Calendar Year (CY) Appointment. Faculty members on a calendar year (CY) appointment earn two days (16 hours) of annual leave per month. After 20 years of continuous employment by the commonwealth, 18 hours of annual leave are earned per month.

Faculty members on calendar year regular (CY) 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).

Faculty members on regular, CY appointments 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.

Calendar Year (CY) Faculty on Research Leave. Calendar year (CY) faculty members on research leave earn annual leave at a rate that is half their usual annual leave earnings.

11.7.2 Sick Leave

Faculty members are encouraged to talk with an HR professional to discuss the use of sick leave for extended absences. ~~Consult For more information, consult the Human Resources, Leave Benefits, Faculty Leave website Faculty Leave.~~ The types of leave available are contingent on the type of appointment, regular or restricted, calendar or academic year, full or part-time. Department heads, chairs, school directors, deans, and other supervisors are urged to be flexible within existing university policy in responding to the need for leave or temporary adjustment of duties for family-related reasons.

Plans include the Virginia Tech Faculty Sick Leave Plan, the Faculty Family Sick Leave Plan (excludes faculty members in the Virginia Sickness and Disability Program), and Faculty Family Leave.

11.7.3 Family and Medical Leave Act (FMLA)

For detailed information and FMLA-required forms consult the [Human Resources, Leave Benefits, FMLA](#). Faculty members are encouraged to discuss the use of FMLA with the appropriate [Human Resources Representative](#). Eligible faculty members 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, school director, 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.

11.7.4 Paid Parental Leave

The commonwealth provides eight (8) weeks (320 hours) of paid parental leave to employees on a regular or restricted appointment and a minimum of twelve (12) consecutive months of employment. The paid parental leave policy is in addition to other leave benefits available to commonwealth employees. 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.

11.7.5 Leave without Pay or Leave of Absence

~~For information, consult Human Resources~~ [Leave without Pay-webpage](#) and [Leave of Absence](#). Eligible faculty members may be granted leave without pay for up to one year (academic year or calendar year depending on type of appointment) guaranteeing their job during the period of leave. A second year of leave without pay may be requested and approved in unusual cases. Approval by the provost or the Office of Research and Innovation is required.

11.7.6 Educational Leave

~~Consult For more information, consult Policy 4800, "Tuition Benefits Program for Salaried Employees" and policy-Policy 4810, "Educational Leave for Employees." Consult policy 4810 Educational Leave for Employees. AnThe "Educational Leave Request~~

~~Form~~[Educational Leave Request Form](#)" is available ~~on the~~ [Faculty Forms](#)~~provost's website~~. Contact Faculty Affairs in the provost's office for additional guidance.

11.7.7 Military Leave

Consult ~~Human Resources, Leave Benefits, the Human Resources~~ ["Other Leave Types" webpage](#) for information and contact Human Resources for guidance and a full description of military leave benefits, conditions, and reinstatement. 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 21 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. Twenty-one days of paid military leave plus an additional day for a physical is the maximum allowable for one tour of duty, even when that tour encompasses more than one federal fiscal year. Employees may use accrued annual leave to continue their pay while on military leave. Employees are granted unconditional leave without pay for the duty indicated in their military orders that is not covered by military leave with pay. To qualify for military leave, faculty members must furnish their department head, chair, school director 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.

11.7.8 Civil Administrative Leave

Consult ~~the Human Resources~~ ["Human Resources, Leave Benefits, Other Leave Types"Other Leave Types webpage](#) for information. 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 a subpoena or other supporting document accompanies the leave report.

Administrative leave with pay is not granted for more time than 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. Administrative leave is not used if a faculty member is serving as an official representative of the university. The time is treated as part of the faculty member's regular work hours.

11.7.9 Disaster Relief Leave

Department heads, chairs, school directors, and supervisors may grant release time to faculty members 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 or school file, along with the written request.

11.8 Part-time Employment

Faculty members on regular appointments may request consideration for part-time employment at proportional pay. Assigned responsibilities, including service assignments, will vary depending on the needs of the individual and the department or school and should be discussed in advance. The department head, chair, school director, or supervisor may require the faculty member to be assigned different responsibilities or transferred to another position at the same salary to accommodate the intermittent leave or reduced schedule.

11.9 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.

11.10 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.

CHAPTER TWELVE—VIRGINIA TECH CARILION SCHOOL OF MEDICINE

12.0 Virginia Tech Carilion School of Medicine (VTCSOM) Faculty

For policies applicable to VTCSOM faculty members employed by the university see the appropriate chapter in this handbook. This includes tenure-track and tenured faculty (chapter three), instructional faculty not on the tenure-track (visiting, adjunct, professor of practice, clinical faculty, collegiate faculty, and instructors), research faculty (chapter six), administrative and professional (A/P) faculty (chapter seven). Chapters two and 11 of this handbook include policies applicable to all faculty.

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 VTCSOM and the university's policies and procedures.

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

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.

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.

Ranks: assistant professor, associate professor, or professor

Instructional Faculty

Ranks: adjunct assistant professor, adjunct associate professor, adjunct professor, clinical preceptor, instructor, or senior instructor

VTCSOM Faculty Appointments and Ranks

Regular* Appointment	Appointment Description	Rank
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Tenure-to-Title Track	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.	Eligible for promotion as experience and accomplishment warrant to the following ranks: Assistant, Associate, Professor
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.	NA
Instructional Appointment	Appointment Description	Rank
Adjunct	<p>Current or previous appointment with another academic institution; defined role in teaching or mentoring medical students.</p> <p>Must possess a doctoral or other terminal degree.</p> <p>Appointments are typically for up to three years and may be renewed. Ineligible for tenure-to-title, but eligible for reappointment.</p>	<p>Assistant Adjunct Professor</p> <p>Associate Adjunct Professor</p> <p>Adjunct Professor</p>
	<p>Must possess a doctoral or other terminal degree.</p> <p>Appointments are typically for up to three years and may be renewed. Ineligible for tenure-to-title, but eligible for reappointment.</p>	
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	The Clinical Preceptor title does not change, even

	up to three years and may be renewed. Ineligible for tenure to title, but eligible for reappointment and promotion.	with prolonged service, unless a promotion is granted.
Instructors and Visiting Faculty	<p>Instructors are faculty members who may not have doctoral level degrees but have instructional roles with students.</p> <p>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.</p> <p>Visiting faculty members are individuals who are applying for a faculty position, but for whom the opportunity to instruct medical students is anticipated before the faculty appointment process is completed.</p> <p>Appointment as Senior Instructor or Instructor may be up to three years. The appointment as a Visiting Instructor is for no more than six months. Ineligible for tenure to title, but eligible for reappointment and promotion.</p>	<p>Instructor</p> <p>Senior Instructor</p> <p>Visiting Instructor</p>

~~*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.~~

~~42.2 Tenure to Title Track Faculty Appointments~~

~~Exclusive to the VTCSOM, tenure to title is the conferring of a permanent, non-employment 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 to the school (college).~~

~~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.~~

~~42.3 Department and VTCSOM Evaluation for Tenure to Title and/or Promotion in Rank~~

~~VTCSOM faculty members employed by the university should consult the department head, chair, dean's office, and relevant chapter in this handbook for guidance on evaluation and promotion.~~

~~University promotion and tenure information is located on the .~~

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 this handbook and university policies. Including chapter two "Professional Responsibilities and Conduct" and chapter three "Imposition of a Severe Sanction or Dismissal for Cause".

CHAPTER ~~THIRTEEN~~TWELVE: EMERGENCY PREPAREDNESS

4312.0 Emergency Management

Students and colleagues anticipate that their instructor or supervisor will know what to do if an emergency occurs. University resources include:

- Virginia Tech Emergency Management, 540-231-4873, @BeHokieReady, oem@vt.edu
- Virginia Tech Police Department - police.vt.edu | 540-382-4343 | @VaTechPolice
- VT Alerts - alerts.vt.edu | @vtalerts
- Virginia Tech News - news.vt.edu | @vtnews

4312.1 Know the Environment

- Know the space in which you teach and work. Identify two or more exit routes.
- Some university spaces include message boards that display VT Alerts.
- Buildings with Fire Alarm annunciators will audibly “speak” VT Alerts messages.
- Know the [Emergency Action Plan](#) for each building.
- The National Weather Service uses “watch” and “warning” in its weather communication to differentiate weather hazards.
 - **Watch:** Conditions are favorable for the development of severe weather.
 - **Warning:** Severe weather has been observed. Listen closely to instructions provided by weather radios, emergency officials, and other alert mechanisms. Seek shelter immediately.

4312.2 Prepare

- Know the information in this chapter. Keep it with you as a reference.
- Consider different protective actions in your office, teaching, and research spaces.
- [Be Hokie Ready](#). Review the preparedness material on the university’s emergency management website.
- [Keep a](#) charged cell phone with you in class, lab, or other location.
- Subscribe to [VT Alerts](#); keep your contact information updated.
- Download the [Hokie Ready](#) app.
- [Maintain a](#) list of contact numbers (e.g., department leadership, lab supervisors).

4312.3 Prepare Students and Colleagues

- During the first week of the semester, review:
 - What to do in an evacuation.
 - What to do when instructed to *Shelter or Secure* -in-Place.
 - Remind students to subscribe to VT Alerts and download the Hokie Ready app.

4312.4 During an Emergency

- Lead by example. Remain calm, follow emergency procedures and/or take protective actions as instructed by VT Alerts or emergency personnel.
- Consider “run, hide, fight” options.

4312.5 Report the Emergency

- As soon as it is safe, **call 9-1-1** and talk with the dispatcher who answers the call. Do NOT hang up the phone until instructed to do so by the dispatcher.
- Interior emergency phones (blue wall boxes) will work during power disruptions. Not all office phones will work during power outages.
- Be clear and accurate to describe the nature of the emergency.
- Give the dispatcher your full name and telephone number from which you are calling in case you are disconnected.
- Report your location, the more precise, the better. Tell them you are at Virginia Tech, give the street address, building name, and room number.
- If it's safe, ask someone to meet emergency personnel outside of the building.

4312.6 Medical Emergency

- Create an open space for the affected individual(s) and emergency personnel
- Do not move an injured person before responders arrive.
- Only those trained properly should provide first aid, CPR, or bleeding control techniques.

4312.7 SECURE-in-Place (confronted by an assailant)

To secure-in-place is to put barriers between yourself and an assailant and to deny them access to you. Virginia Tech will send a VT Alert advising you to secure in place if an active, potentially violent, incident is occurring that requires you to act.

- Remain calm.
- If inside, lock the door and/or place a barricade between yourself and the violence or danger.
- Turn off lights and equipment, silence phones (but keep them on), draw blinds, move away from windows and doors.
- Await further instruction from VT Alerts and/or emergency personnel.
- Leave once VT Alerts and/or emergency personnel provide instructions or an “All Clear” is declared by emergency responders or via VT Alerts
- If outside, seek safety inside a building. Lock and/or barricade the door.

4312.7.1 Controlling Entry to a Secure Location

- Manage the security of an indoor space. Before opening a door consider whether the area outside the door can be seen. It is possible that an assailant is waiting outside the door.
- If a description of an alleged assailant has been communicated, and you can see outside the door, compare the person wanting entry to the description.

- Additional considerations: can the area be re-secured? Can the person leave items they are carrying outside and away from the door (e.g. backpack, laptop case, package, etc.)?
- Have the person lift up their shirt, coat, or jacket until the waistline is visible and ask them to rotate 360 degrees in case they might be concealing a weapon before letting them in.

4312.8 SHELTER-in-Place (environmental danger)

To shelter-in-place is to put barriers between yourself and an environmental danger. Virginia Tech will send a shelter in place message if a severe weather incident or similar situation is occurring. If severe weather or other dangerous situation occurs, do not wait for a VT Alerts notification.

- Remain calm.
- Respond immediately. Do not go outside to check the weather conditions.
- Shelter in the closest building. For severe weather, shelter in the building's lowest level, in an interior room or corridor, and away from windows, glass, and unsecured objects.
- Leave doors ~~open~~unlocked to allow others to shelter.
- Avoid large free-standing spaces such as auditoriums and gymnasiums.
- Use stairs if necessary. DO Not use elevators.
- Listen for instruction from VT Alerts and/or emergency personnel.
- Wait for an "All Clear" communication from VT Alerts and/or emergency personnel.

4312.9 Evacuation

Evacuation routes are posted in hallways, usually near stairwells or exits.

- Identify and know two evacuation routes.
- 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~~remain in the building.
- Once evacuated, keep students and/or colleagues together. Proceed to the designated assembly point, stay 50 feet from the building.

4312.10 Persons with Disabilities

Persons with access and functional needs may need assistance during an emergency. Those who voluntarily identify their needs may need help planning for emergencies. Students with access and functional needs may be accustomed to academic environments in which instructors and others are aware of their needs and may not have considered what they might require to take care of themselves in an emergency. Ask students to self-identify in confidence if they might require special assistance during an emergency. Considerations include:

- Auditory: Individuals with hearing impairments may not hear alarms or verbal guidance. A note or hand gestures might be necessary to communicate.

- Visual: Individuals with vision impairments may need verbal descriptions and/or help from a classmate or colleague who can escort them. Identify a “buddy” before an emergency.
- Mobility: Individuals with restricted mobility may be unable to safely leave a building. With the person’s consent, a classmate or colleague can accompany the individual to an area of refuge (e.g. a stairwell) without blocking the evacuation path.
- [Services for Students with Disabilities](#)
- ~~Office for Civil Rights Compliance and Prevention Education, Office for Equity and Accessibility,~~ [ADA & Accessibility Services](#)

Approval of 2025-26 Hotel Roanoke Conference Center Commission Budget

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

May 16, 2025

The Hotel Roanoke Conference Center Commission was established by resolutions adopted by Virginia Tech on November 18, 1991 and by the City Council of the City of Roanoke, Virginia on April 13, 1992, pursuant to Chapter 440 of the 1991 Acts of Assembly of the Commonwealth of Virginia, adopted March 20, 1991, and as amended in 1994 and 1997. Section 21 B of the enabling legislation provides that the Commission shall annually, prior to April 1 of each year, prepare and submit to the participating parties (City of Roanoke and Virginia Tech) (i) a proposed operating budget showing its estimated revenues and expenses on an accrual basis for the forthcoming fiscal year, and if such estimated expenses exceed such estimated revenues, the portion of the deficit proposed to be borne by each participating, and (ii) a proposed capital budget showing its estimated expenditures for such fiscal year for assets costing more than \$20,000 (or such higher amount as the Commission and the participating parties may determine) and having an estimated useful life of twenty years or more and the source of funds for such expenditures, including any amount requested from the participating parties.

The Commission has adopted and approved the operating budget and planned capital expenditures for fiscal year 2025-2026 as shown on the following pages. Virginia Tech and the City of Roanoke will make equal contributions of \$80,000 to the Commission for fiscal year 2025-2026.

RECOMMENDATION:

That the Hotel Roanoke Conference Center Commission budget and capital plan for FY2025-2026 be approved.

June 3, 2025

**HOTEL ROANOKE CONFERENCE CENTER COMMISSION
OPERATING BUDGET
JULY 2025 - JUNE 2026**

Revenue from Participating Parties

City of Roanoke	\$ 80,000	
Virginia Tech	<u>\$ 80,000</u>	
Total Revenue from Participating Parties		<u>\$160,000</u>

Revenue from Operations

Conference Service	\$4,385,742	
Garage and Parking	\$759,856	
Miscellaneous Income	<u>\$658,940</u>	
Total Revenue from Operations		<u>\$5,804,538</u>

Total Revenue		<u>\$5,964,538</u>
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Expenses – Commission Administrative

Salaries & Fringe Benefits	\$83,255	
Fees for Professional Services	\$72,745	
Administrative Supplies	\$1,500	
Training & Development	\$2,500	
Total Expenses – Commission	<u>\$160,000</u>	

Expenses – Departmental

Conference Services	\$2,157,917	
Garage & Parking	<u>\$336,967</u>	
Total Departmental Expenses		<u>\$2,494,884</u>

Undistributed Operating Expenses

Administrative & General	\$586,322	
Information & Telecommunications Systems	\$94,395	
Sales & Marketing	\$922,832	
Property Operations	\$421,383	
Utilities	<u>\$345,102</u>	
Total Undistributed Expenses		<u>\$2,370,034</u>

Total Expenses		<u>\$4,864,918</u>
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Gross Operating Profit		<u>\$939,620</u>
Management Fees	<u>\$100,000</u>	

Non-Operating Income & Expenses

Commission	\$148,530	
Property & Other Taxes	\$1,930	
Other Expenses	\$5,700	
Insurance	<u>\$34,422</u>	

Total Non-Operating Income & Expenses Total	<u>\$190,582</u>	<u>\$290,582</u>
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Earnings Before Interest, Taxes, Depreciation FF&E Reserve	<u>\$290,227</u>	<u>\$649,038</u>
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Net Income		<u>\$358,811</u>
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Exhibit A

Hotel Roanoke Conference Center Capital Plan Budget FY2025-2026

Designer Fees for Public Space Renovations (Includes: Both Ballrooms, Washington Lecture, Paint, Vinyl, Carpeting, FF&E, Window Treatments, Water Filler Stations, etc.)	\$75,000
Design Fees for Public Space Restrooms	15,000
Designer Fees for Meeting Rooms Renovations/Upgrade (Includes: Carpet/Pad, Wall Vinyl, Planner Kits, Whiteboard, Painting, Doors, Hardware, Artwork, Drapery, Water Filling Stations, and Possible Technology Adjustments.) – Last performed 12/13. *This Item was Held from Last Year.	25,000
Renovation of All Public Space Restrooms	275,000
Acoustical Ceiling Replacement (Phase 2 of 2)	100,000
Patch & Seal Commonwealth Dr. (50/50) \$75k Shared	37,500
Replace Entire Main Service Hallway Flooring & Teammate Locker Rooms (33/67) \$100k Shared	33,000
Elevator #7 Replace Door Operator (32/68) \$52k Shared	16,640
Meeting Room Updates – Replace Carpet, Wall Vinyl, Paint, Tackable Surface, Doors, etc. *See Design Points (Scope) for Exact Listing.	650,000
Replace Service Corridor Floor (Upper & Lower Level) – Last Replaced in 2010.	75,000
Upgrade CCTV Systems Including NVRs (33/67) \$30k Shared	9,900
Lithonia Upgrade (Phase 3 of 3) *Estimate	250,000
Replace Chiller #1 (33/67) \$800k Shared	264,000
Air Handler Units on Kitchen Roof (Phase 3 of 3) (68/32) \$58k Shared	18,560
Electric Car Charging (50/50) \$60k Shared	30,000
Replacement of 17" Meeting Room Digital Signs (Per Count: 31) \$7,500 Shared	7,500
Phone System (PBX and Admin Phone System) (33/67) \$159k Shared	49,500
Parking Lot Lighting Conversion to LED (50/50) \$80k Shared	40,000
Heating Boiler (Phase 3 of 3) (33/67) \$75k Shared	24,750
Admin PC Replacement (33/67) \$10k Shared	3,300
Contingency for Emergency Repairs/Replacement	50,000
Replace (2) Reach-In Coolers (32/68) \$12k Shared	3,840
Replace Large Exterior Doors at Tim Taylor's Office	9,000
Varimixer 80qt. Replacement (32/68) \$25k Shared	8,000
Tilt Skillet – 30gal. / Vario (32/68) \$40k Shared	12,800
Alto Shan Cook / Hold – 2 Units (32/68) Shared	9,600
Double Basket Fryer (New) (32/68) \$3k Shared	960
Replace Glass Washer Bar (32/68) \$5k Shared	1,600
Banquet Mobile Beer Chill Units (4) (Phase 1 of 2) (32/68) \$6k Shared	1,920
Replace Wooden Chiavari Chairs with Cushions	30,000
Replace Risers / Staging (Phase 1 of 2)	30,000
Electric Shuttle (25/75) \$35k Shared	8,750
Convection Oven (1-Stack) (Phase 2 of 4) (32/68) \$50k Shared	16,000
Silver Top Banquet Tables (Including Carts), Tray Jacks (Including Covers), Trays (67/33) \$45k Shared	30,150
Coat Racks – Wheeled	5,000
Easels & Black Covers with HR Logo	4,000
Audio System Modernization (Ex. Amplifiers, Digital Sound System, Network Hardware, In-Room Controls & Speakers) & Video Equipment Upgrades (Recording Rack)	150,000
Replace Exhaust Fans in CC (Phase 1 of 2)	5,000
40' x 40' MityLite Magnattach Dance Floor in Silver Ash with Silver Edging and Carts	40,000
Total	\$2,416,270

Approval of a 9(d) Debt Financing Resolution for the New Business Building

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

The New Business Building project will construct a 92,300 building for the Pamplin College of Business. The New Business Building is envisioned as a four-story structure that will connect with the Data and Decision Sciences Building through a common area and provide expanded, modern, educational space sufficient to meet demand for the business programs. The site for the academic building is the northwest corner of campus near Prices Fork Road and West Campus Drive. The total \$94 million project need will be funded by \$36 million of private gift receipts, \$20.5 million of overhead, and \$37.5 million of bond proceeds. Debt will be serviced by outstanding pledge payments and the College of Business.

The debt will be issued as a general revenue pledge bond issued directly by the university. The resolution authorizes (1) the Executive Vice President and Chief Operating Officer, (2) the Vice President for Finance and Chief Financial Officer, and the (3) Assistant Vice President for Finance and Associate Treasurer (Authorized Officers) to execute and deliver all certificates and instruments and to take all such further action as may be considered necessary or desirable in connection with the sale and issuance of the bonds subject to the following parameters: (a) the principal amount to be paid under the bonds for any "new money" financing shall not exceed \$37.5 million in the aggregate plus amounts needed to fund issuance costs, original issue discount, other financing expenses and any other increase permitted by law; (b) the final maturity on any bonds shall not exceed 50 years from their date of issuance; and (c) subject to the foregoing, the actual amount, interest rates, principal maturities, and date of the bonds shall be approved by an Authorized Officer, as evidenced by the execution thereof.

**RESOLUTION OF THE BOARD OF VISITORS OF
VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY
FINANCING AUTHORIZATION FOR A NEW SCHOOL OF BUSINESS BUILDING**

WHEREAS, Chapter 26, Title 23.1 of the Code of Virginia of 1950, as amended, establishes a public institution of higher education under the name and style of Virginia Polytechnic Institute and State University (University) which is governed by a Board of Visitors (Board); and

WHEREAS, by Chapter 10, Title 23.1 of the Virginia Code (Restructuring Act), the University entered into a management agreement with the Commonwealth of Virginia (Management Agreement), which was enacted as Chapters 933 and 943 of the 2006 Virginia Acts of Assembly, pursuant to which the University is empowered with the authority to issue bonds for any purposes that is consistent with its institutional mission; and

WHEREAS, the Restructuring Act further authorizes the University to provide for the payment of the principal of and the interest on any bonds from, among other things, its revenues generally or from the income and revenues derived from the operation, sale, or lease of a particular project or projects; and

WHEREAS, the Board periodically desires to finance, on more than one occasion, projects for the University with financing pursuant to the Restructuring Act and the Management Agreement (Restructuring Act Financing); and

WHEREAS, the Board desires to authorize Restructuring Act Financing by the issuance of general revenue pledge bonds, in one or more series and on more than one occasion (Bonds) for the purposes of (1) financing all or a portion of the costs of a new building for the University's School of Business, and (2) financing if and as needed, capitalized interest, working capital and the costs of issuing the Bonds, all subject to the limitations and parameters set forth in this resolution (Project); and

WHEREAS, each series of Bonds will be issued under a bond resolution (Bond Resolution) the form of which will be determined in accordance with this resolution; and

WHEREAS, the Board desires to designate certain University officers delegated authority to approve the forms of and to execute and deliver the Bonds, the Bond Resolutions, and any amendments thereto, and any other documents necessary or desirable in connection with foregoing (Financing Documents);

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD:

Section 1. The Project is hereby designated to be undertaken and financed by the University and, accordingly, the Executive Vice President and Chief Operating Officer, the Vice President for Finance and Chief Financial Officer, and the Assistant Vice President for Finance and Associate Treasurer (Authorized Officers) are each hereby delegated and invested with full power and authority to approve the forms of the Financing Documents, and any pledge to the payment of the Bonds and any amendment thereto of total gross University-sponsored overhead, unrestricted endowment income, tuition and fees, indirect cost recoveries, auxiliary enterprise revenues, general and nongeneral fund appropriations and other revenues not required by law or previous binding contract to be devoted to some other purpose, restricted by a gift instrument for another purpose or excluded from such pledge as provided in the Financing Documents, subject to the provisions of Section 3 hereof.

Section 2. The Authorized Officers are authorized and directed to determine whether to finance the Project and whether that financing will be undertaken through the issuance of Bonds. Subject to the provisions of Section 3 hereof, the Authorized Officers are each hereby delegated and invested with full power and authority to execute, deliver and issue, on behalf of the University, (a) the Financing Documents, with approval of such documents in accordance with Section 1 hereof evidenced conclusively by the execution and delivery of the respective document, and (b) any other documents, instruments or certificates as may be deemed necessary or desirable to finance costs of the Project through and participate in the Program, and to further carry out the purposes and intent of this resolution. The Authorized Officers are authorized and directed to take such steps and deliver such certificates in connection with delivery of the Financing Documents, and any amendment thereto, as may be required under any existing obligations, including bond resolutions relating to any outstanding general revenue pledge bonds.

Section 3. The authorizations given above as to the approval, execution, delivery and issuance of the Financing Documents are subject to the following parameters: (a) the principal amount to be paid under the Bonds for any "new money" financing shall not exceed \$37.5 million in the aggregate plus amounts needed to fund issuance costs, original issue discount, other financing expenses and any other increase permitted by law; (b) the final maturity on any Bonds shall not exceed 50 years from their date of issuance; and (c) subject to the foregoing, the actual amount, interest rates, principal maturities, and date of the Bonds shall be approved by an Authorized Officer, as evidenced by the execution thereof.

All officers of the University are authorized and directed to take all such further actions, including without limitation the designation of underwriters, paying agents, remarketing agents, trustees and liquidity providers for the Bonds, and to execute all such instruments, agreements, documents, and certificates as they shall deem necessary or desirable to carry out the terms of the financing plans presented to this meeting, including without limitation any liquidity facilities, swap or other interest rate management agreements associated with the Bonds.

Section 4. All acts of all officers of the University which are in conformity with the purposes and intent of this resolution and in carrying out the financing plans presented to this meeting are ratified, approved and affirmed. This resolution shall take effect immediately upon its adoption.

RECOMMENDATION:

That the resolution authorizing the issuance of 9(d) bonds for the New Business Building be approved.

June 3, 2025

**RESOLUTION TO AFFIRM THE VIRGINIA TECH BOARD OF VISITORS
POLICIES ON ELECTRONIC MEETINGS
AS STATED IN THE BOARD'S BYLAWS**

WHEREAS, legislation passed by the General Assembly and signed into law by Governor Youngkin in 2022, 2023, and 2024 expanded and clarified the circumstances under which boards of visitors may conduct meetings electronically, and all of these provisions were incorporated into the Virginia Tech Board of Visitors Bylaws, revised most recently on August 28, 2024; and

WHEREAS, the 2024 legislation instituted a requirement that the Board at least once annually adopt a policy by recorded vote for the conduct of all-virtual meetings and remote participation by individual Board members;

NOW, THEREFORE, BE IT RESOLVED that the Virginia Tech Board of Visitors affirms Article I, Sections 3a (Electronic "All -Virtual" Meetings) and 3b (Remote Participation by Individual Board Members) of the Board's Bylaws approved on August 28, 2024, and attached to this document; and

BE IT FURTHER RESOLVED that in accordance with the 2024 legislation, the Board at least once annually will continue to affirm or adopt a policy, applicable separately to the Board and its committees, for conducting all-virtual meetings and conditions under which individual Board members may participate remotely.

RECOMMENDATION:

That the Virginia Tech Board of Visitors affirms Article I, Sections 3a and 3b of the Board's Bylaws as adopted on August 28, 2024, regarding the conduct of all-virtual board and committee meetings and remote participation by individual Board members.

June 3, 2025

Section 3a. Electronic (“All-Virtual”) Meetings

In accordance with §2.2-3701 and §2.2-3708.3 of the *Code of Virginia*, the Board and any of its committees separately may conduct all-virtual public meetings in which all who participate do so remotely, provided that the electronic communication means by which members of the public may witness the meeting is disclosed in the public notice of the meeting. Members of the public must be provided electronic communication means through which to observe or listen to the meeting. Any interruption in the means of electronic communication for an all-virtual meeting shall result in a suspension of action at the meeting until repairs are made and public access is restored. The board or its committee may not convene an all-virtual meeting (a) more than two times per calendar year or 50 percent of the meetings held per calendar year rounded up to the next whole number, whichever is greater, or (b) consecutively with another all-virtual meeting.

When audio-visual technology is available during an all-virtual meeting, a Board member will be considered absent for purposes of quorum during any portion of the meeting in which visual communication with the Board member is voluntarily disconnected or otherwise fails or in which audio communication involuntarily fails.

During an all-virtual meeting, no more than two members of the Board may participate from the same remote location unless that remote location is open to the public for physical access.

An “all-virtual meeting” is a meeting conducted by electronic means during which all members who participate do so remotely rather than being assembled in one physical location and to which public access is provided through electronic communication means.

Section 3b. Remote Participation by Individual Board Members

In accordance with §2.2-3701 and §2.2-3708.3 of the *Code of Virginia*, an individual Board member may participate remotely in a Board or committee meeting by some electronic communication means if on or before the day of a meeting, the Board member notifies the Rector or respective committee chair and Board Secretary that the Board member is unable to attend the meeting due to:

(a) a Board member’s own disability or medical condition that prevents the member’s physical attendance. An individual member who has a disability as defined below and participates remotely counts towards the quorum as if physically present; or (b) the Board member’s need to care for a family member due to the family member’s medical condition or the Board member being a caregiver (as defined below) who must provide care for a person with a disability (as defined below) at the time the meeting is held. A board member who is a caregiver for a person with a disability and participates remotely counts towards the quorum as if physically present; or (c) the Board member’s principal residence being located more than 60 miles from the meeting location; or (d) a personal matter.

Any Board member who participates remotely for one of the reasons above retains voting rights. The Board member’s location need not be open to the public. The minutes must include the remote location of the Board member and the reason that the Board member was unable to attend; if the reason is a personal matter, the specific nature of the personal matter must be cited in the minutes. If a Board member’s request to participate remotely is disapproved, such disapproval shall be recorded in the minutes with specificity. A Board member may participate remotely due to a personal matter in up to two meetings per calendar year or 25 percent of the meetings held per calendar year rounded up to the next whole number, whichever is greater.

These provisions regarding remote participation of individual board members apply to meetings of the full board and to each of its committees separately.

“Remote participation” is participation by an individual Board member via electronic means in a meeting where a quorum of the public body is otherwise physically assembled.

“Caregiver” means an adult who provides care for a person with a disability as defined in § 51.5-40.1 of the Code of Virginia. A caregiver shall be either related by blood, marriage, or adoption to or the legally appointed guardian of the person with a disability for whom he is caring.

"Person with a disability" means any person who has a physical or mental impairment that substantially limits one or more of his major life activities or who has a record of such impairment. Refer to § 51.5-40.1 of the Code of Virginia for a more detailed definition of physical and mental impairment.

Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies (Unauthorized Deficits)

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

June 3, 2025

§ 4-3.00 DEFICIT AUTHORIZATION AND TREASURY LOANS

§ 4-3.01 DEFICITS

a. GENERAL:

1. Except as provided in this section no state agency shall incur a deficit. No state agency receiving general fund appropriations under the provisions of this act shall obligate or expend moneys in excess of its general fund appropriations, nor shall it obligate or expend moneys in excess of nongeneral fund revenues that are collected and appropriated.

2. The Governor is authorized to approve deficit funding for a state agency under the following conditions:

- a) an unanticipated federal or judicial mandate has been imposed,
- b) insufficient moneys are available in the first year of the biennium for start-up of General Assembly-approved action, or
- c) delay pending action by the General Assembly at its next legislative session will result in the curtailment of services required by statute or those required by federal mandate or will produce a threat to life, safety, health or property.

d) Such approval by the Governor shall be in writing under the conditions described in § 4-3.02 a Authorized Deficit Loans of this act and shall be promptly communicated to the Chairmen of the House Appropriations and Senate Finance Committees within five calendar days of deficit approval.

3. Deficits shall not be authorized for capital projects.

4. The Department of Transportation may obligate funds in excess of the current biennium appropriation for projects of a capital nature not covered by § 4-4.00 Capital Projects, of this act provided such projects a) are delineated in the Virginia Transportation Six-Year Improvement Program, as approved by the Commonwealth

Transportation Board; and b) have sufficient cash allocated to each such project to cover projected costs in each year of the Program; and provided that c) sufficient revenues are projected to meet all cash obligations for such projects as well as all other commitments and appropriations approved by the General Assembly in the biennial budget.

b. UNAUTHORIZED DEFICITS: If any agency contravenes any of the prohibitions stated above, thereby incurring an unauthorized deficit, the Governor is hereby directed to withhold approval of such excess obligation or expenditure. Further, there shall be no reimbursement of said excess, nor shall there be any liability or obligation upon the state to make any appropriation hereafter to meet such unauthorized deficit. Further, those members of the governing board of any such agency who shall have voted therefor, or its head if there be no governing board, making any such excess obligation or expenditure shall be personally liable for the full amount of such unauthorized deficit and, at the discretion of the Governor, shall be deemed guilty of neglect of official duty and be subject to removal therefor. Further, the State Comptroller is hereby directed to make public any such unauthorized deficit, and the Director, Department of Planning and Budget, is hereby directed to set out such unauthorized deficits in the next biennium budget. In addition, the Governor is directed to bring this provision of this act to the attention of the members of the governing board of each state agency, or its head if there be no governing board, within two weeks of the date that this act becomes effective. The governing board or the agency head shall execute and return to the Governor a signed acknowledgment of such notification.

c. **TOTAL AUTHORIZED DEFICITS:** The amount which the Governor may authorize, under the provisions of this section during the current biennium, to be expended from loans repayable out of the general fund of the state treasury, for all state agencies, or other agencies combined, in excess of general fund appropriations for the current biennium, shall not exceed one and one-half percent (1 1/2%) of the revenues collected and paid into the general fund of the state treasury as defined in § 4-2.02 b. of this act during the last year of the previous biennium and the first year of the current biennium.

d. The Governor shall report any such authorized and unauthorized deficits to the Chairmen of the House Appropriations and Senate Finance Committees within five calendar days of deficit approval. By August 15 of each year, the Governor shall provide a comprehensive report to the Chairmen of the House Appropriations and Senate Finance Committees detailing all such deficits.



Governing Board Certification Form
Academic Year 2025-26

As Chair of the Governing Board at _____,
(institution name)

I attest that:

- 1) Responsibility for the administration of the athletics program has been delegated to the CEO of the Member.
- 2) The chief executive officer has the mandate and support of the board to operate a program of integrity in full compliance with NCAA, Conference and all other relevant rules and regulations.
- 3) The chief executive officer, in consultation with the faculty athletics representative and the athletics director, determines how the institutional vote shall be cast on issues of athletics policy presented to the NCAA and the Conference.

Date Presented to the Governing Board: _____

Signed: _____
(Chair of the Governing Board)

Signed: _____
(CEO/President/Chancellor of Member Institution)

Please email a copy of your completed form by **October 17, 2025** to:

Tracey Haith
thaith@theacc.org



Cristen Jandreau, PhD
Director, Research Conflict of Interest Program
Chair, Management Plan Advisory Committee
Scholarly Integrity and Research Compliance
North End Center, Suite 4120
300 Turner Street NW
Blacksburg, Virginia 24061-6100
P: (540) 231-4824
email: drj@vt.edu

Date: 4/25/2025

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 five contracts entered into at the time of this report (from 1/1/2025 to 3/31/2025) 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.

Contract	1 (of 5)
Open contract number	PB3IRROS
Names of parties	Virginia Tech and Rohde & Schwarz
Date contract executed	3/27/2025
Contract term	1/1/2025 – 5/31/2025
Subject of contract	“Development of Course Content on 5G Communications”
Nature of COI	Nishith Tripathi, Research Associate Professor in the Bradley Department of Electrical and Computer Engineering, has disclosed the receipt of payments exceeding \$5,000 in the past 12 months from Rohde & Schwarz for consulting services. Virginia Tech has received an award from Rohde & Schwarz. Nishith Tripathi will serve as the Principal Investigator for Virginia Tech. In the context of sponsored research, the disclosed financial interest represents a financial conflict of interest with state law implications. The Research Conflict of Interest Program has implemented a management plan to promote objectivity.
Institution employee responsible for administering contract	Linda Duffy, 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 disbursed	N/A (no revenues will be generated)

Contract	2 (of 5)
Open contract number	PAKFN26Y
Names of parties	Virginia Tech and Praxis Environmental Technologies, Inc.
Date contract executed	3/27/2025
Contract term	10/29/2024 – 10/28/2028
Subject of contract	“Incorporating Field-Scale NAPL Dissolution in Numerical Transport Models”
Nature of COI	Lloyd "Bo" Stewart, Senior Research Scientist in the Department of Civil and Environmental Engineering, has disclosed the receipt of payments exceeding \$5,000 in the past 12 months from Praxis Environmental Tech., Inc. and that he holds a greater than 3% interest in the company as its founder. Bo Stewart’s spouse is a founder and employee of Praxis Environmental Tech., Inc. and as spouses they hold the same financial interests described above. Virginia Tech has received an award from the Department of Defense/US Army Corps of Engineers that includes a subaward to Praxis Environmental Tech., Inc. Bo Stewart will serve as Principal Investigator for Praxis Environmental Tech., Inc. In the context of sponsored research, the disclosed financial interest represents a financial conflict of interest with state law implications. The Research Conflict of Interest Program has implemented a management plan to promote objectivity.
Institution employee responsible for administering contract	Linda Duffy, 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 disbursed	N/A (no revenues will be generated)
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Contract	3 (of 5)
Open contract number	PFVLI6KF
Names of parties	Virginia Tech and Fermi Energy, Inc.
Date contract executed	1/31/2025
Contract term	10/1/2025 – 9/30/2025
Subject of contract	“Low-Carbon Footprint, Chemistry-Agnostic Cathode Materials Manufacturing Driven by Chemical Process Innovations and Machine Learning”
Nature of COI	Feng Lin, Associate Professor in the Department of Chemistry, has disclosed that he holds a greater than 3% equity interest in Fermi Energy, Inc. as the company's co-founder and CEO. Virginia Tech has received an award from the Department of Energy that includes a subaward to Fermi Energy, Inc. Feng Lin will serve as the Principal Investigator for Virginia Tech. In the context of sponsored research, the disclosed financial interest represents a financial conflict of interest with state law implications. The Research Conflict of Interest Program has implemented a management plan to promote objectivity.
Institution employee responsible for administering contract	Linda Duffy, 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 disbursed	N/A (no revenues will be generated)

Contract	4 (of 5)
Open contract number	PDMD443Y
Names of parties	Virginia Tech and Element Exo, Inc.
Date contract executed	1/27/2025
Contract term	9/30/2024 – 9/29/2026
Subject of contract	“Evaluating and Modifying a Back Exoskeleton for Use in Underground Mines”
Nature of COI	<p>Alan Asbeck, Associate Professor in the Department of Mechanical Engineering, has disclosed that he serves as the Chief Science Officer for Element Exo, Inc. and holds equity options in the company (>3%). He has also disclosed the receipt of royalty payments in the past 12 months (less than \$5,000) related to Virginia Tech intellectual property that has been licensed by Element Exo, Inc. Virginia Tech has received an award from the Centers for Disease Control and Prevention that includes a subcontract to Element Exo, Inc. Alan Asbeck will serve as the Principal Investigator for Virginia Tech. In the context of sponsored research, the disclosed financial interests represent a financial conflict of interest with state law implications. The Research Conflict of Interest Program has implemented a management plan to promote objectivity.</p>
Institution employee responsible for administering contract	Linda Duffy, 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 disbursed	N/A (no revenues will be generated)

Contract	5 (of 5)
Open contract number	PDMD443Y
Names of parties	Virginia Tech and Advanced Conservation Strategies

Date contract executed	1/27/2025
Contract term	1/1/2025 – 10/30/2025
Subject of contract	“Feasibility of Carnivore Rewilding”
Nature of COI	Michael G. Sorice, Associate Professor in the Department of Forest Resources and Environmental Conservation, has disclosed the receipt of payments exceeding \$5,000 in the past 12 months from Advanced Conservation Strategies for consulting services. Virginia Tech has received an award from Advanced Conservation Strategies. Michael G. Sorice will serve as the Principal Investigator for Virginia Tech. In the context of sponsored research, the disclosed financial interest represents a financial conflict of interest with state law implications. The Research Conflict of Interest Program has implemented a management plan to promote objectivity.
Institution employee responsible for administering contract	Linda Duffy, 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 disbursed	N/A (no revenues will be generated)

Joint Closed Session Agenda
ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE
and
FINANCE AND RESOURCE MANAGEMENT COMMITTEE
10:30 a.m., Room 260, New Classroom Building
June 2, 2025

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Motion to Begin Joint Closed Session	N. Dye
* 2. Ratification of Personnel Changes Report <i>(voted on by Finance and Resource Management Committee only)</i>	S. Allen
* 3. Resolution to Approve 2024-25 Promotions, Tenure, and Continued Appointments	R. Fricker
4. Update on Compliance with March 25, 2025 BOV Resolution	C. Clarke
5. Motion to Begin Open Session	N. Dye

*Requires Full Board Approval

Briefing Report

ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE AND FINANCE AND RESOURCE MANAGEMENT COMMITTEE

June 2, 2025

Closed Session

1. **Motion to Begin Joint Closed Session**
- * 2. **Ratification of Personnel Changes Report:** The Finance and Resource Management Committee will review for ratification the quarterly Personnel Changes Report.
- * 3. **Resolution to Approve 2024-25 Promotions, Tenure, and Continued Appointments:** The Academic, Research, and Student Affairs and Finance and Resource Management Committees will review for approval the 2024-25 Promotions, Tenure, and Continued Appointments.
4. **Update on Compliance with March 25, 2025 BOV Resolution:** The Committees will receive an update on compliance with the March 25, 2025 Board of Visitors resolution.
5. **Motion to Begin Open Session**

Closed Session Agenda
ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE
June 2, 2025

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Motion to Begin Closed Session	N. Dye
* 2. Resolution to Approve Appointments to Emeritus/a Status (8)	R. Fricker
* 3. Resolution to Approve Appointments to Endowed Chairs, Professorships, or Fellowships (4)	R. Fricker
* 4. Resolution to Approve Reappointments to Endowed Chairs, Professorships, or Fellowships (11)	R. Fricker
* 5. Resolution to Approve Appointments with Tenure (3)	R. Fricker
* 6. Resolution to Approve Faculty Research Leaves (7)	R. Fricker
7. Motion to End Closed Session	N. Dye
8. Report of Closed Session Action Items	N. Dye

*Requires Full Board Approval

Closed Session Briefing Report
ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE
June 2, 2025

**Reporting
Responsibility**

- | <u>Agenda Item</u> | <u>Reporting
Responsibility</u> |
|---|--|
| 1. Motion to Begin Closed Session

<i>Nancy Dye, 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.</i> | N. Dye |
| * 2. Resolutions to Approve Appointments to Emeritus/a Status (8)

<i>The committee will consider eight resolutions for appointments to emeritus or emerita status.</i> | R. Fricker |
| * 3. Resolution to Approve Appointments to Endowed Chairs, Professorships, or Fellowships (4)

<i>The committee will consider four resolutions for appointment to endowed chairs, professorships, or fellowships.</i> | R. Fricker |
| * 4. Resolution to Approve Reappointments to Endowed Chairs, Professorships, and Fellowships (11)

<i>The committee will consider 11 resolutions for reappointments to endowed chairs, professorships, or fellowships.</i> | R. Fricker |
| * 5. Resolution to Approve Appointments with Tenure (3)

<i>The committee will consider a resolution to approve the tenured appointments of three faculty members.</i> | R. Fricker |
| * 6. Resolution to Approve Faculty Research Leaves (7)

<i>The committee will consider a resolution to approve seven requests for faculty research leave.</i> | R. Fricker |
| 7. Motion to End Closed Session

<i>The committee chair will request that a member of the committee make a motion to end the committee's closed session.</i> | N. Dye |

* Requires Full Board Approval

8. Report of Closed Session Action Items

N. Dye

The committee chair will report on those actions that were voted on during closed session.

Open Session Agenda

ACADEMIC, RESEARCH AND STUDENT AFFAIRS COMMITTEE

June 2, 2025

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Welcome	N. Dye
2. Review and Approve Open Session Agenda	N. Dye
3. Consent Agenda	N. Dye
a. Approval of March 24, 2025 Committee Meeting Minutes	
* b. Resolution to Revise Chapter 7 of the Faculty Handbook	
* c. Resolution to Rename the Department of Biomedical Engineering and Mechanics	
* d. Resolution to Clarify Eligibility for Postdoctoral Associate Status	
* e. Resolution to Amend the Faculty Handbook to Codify Interest- or Discipline-Based Faculty Organizations	
* f. Resolution to Integrate Chapter 12 into Chapters 2 and 5 of the Faculty Handbook	
* g. Resolution to Codify the Faculty Reconciliation Process within the Office of Faculty Affairs	
* h. Resolution to Approve 2025-26 Student Code of Conduct	
* i. Resolution to Revise Graduate Honor System Constitution	
* j. Ratification of 2025-26 Faculty Handbook	
k. Report of the 2025-26 Faculty Compensation Plan <i>(shared for information purposes by Finance and Resource Management Committee)</i>	
4. Provost's Update and Discussion	C. Clarke
5. Overview of Institute for Advanced Computing	C. Clarke
# 6. Undergraduate Enrollment Plan	C. Clarke, J. Espinoza
7. Update on the Expand Appalachia CORE-CM project	R. Bishop
8. Closing Remarks and Adjourn	N. Dye

* Requires Full Board Approval

Discusses Enterprise Risk Management topic(s)

Open Session Briefing Report

ACADEMIC, RESEARCH AND STUDENT AFFAIRS COMMITTEE

June 2, 2025

Agenda Item

Reporting Responsibility

- 1. Welcome**
Nancy Dye, chair of the Academic, Research and Student Affairs Committee, will welcome members and others to the committee's open session.
N. Dye
- 2. Review and Approve Open Session Agenda**
The chair will review and ask for approval of the Open Session Agenda including items on the Consent Agenda.
N. Dye
- *3. Consent Agenda**
The committee will consider approval of items on the consent agenda including the March 22, 2025 committee meeting minutes, a resolution to revise Chapter 7 of the faculty handbook, a resolution to rename the Department of Biomedical Engineering and Mechanics, a resolution to clarify eligibility for postdoctoral associate status, a resolution to amend the faculty handbook to codify interest- or discipline-based faculty organizations, a resolution to integrate Chapter 12 into Chapters 2 and 5 of the faculty handbook, a resolution to codify the faculty reconciliation process within the Office of Faculty Affairs, a resolution to approve the 2025-26 Student Code of Conduct, a resolution to revise the Graduate Honor System Constitution, a resolution to ratify the 2025-26 Faculty Handbook, and a report of the 2025-26 Faculty Compensation Plan that is shared for information purposes by the by Finance and Resource Management Committee.
N. Dye
- 4. Provost's Update and Discussion**
Cyril Clarke, executive vice president and provost, will update the committee on the university's academic initiatives.
C. Clarke
- 5. Overview of Institute for Advanced Computing**
Cyril Clarke, will provide an update on the establishment of the Institute for Advanced Computing, a thematic institute scaffolded by computer engineering and computer science, with emphasis on artificial intelligence & machine learning, Next G wireless, quantum architecture, and software development Intelligent interfaces.
C. Clarke

* Requires Full Board Approval

Discusses Enterprise Risk Management topic(s)

#6. Undergraduate Enrollment Plan

C. Clarke,
J. Espinoza

Cyril Clarke and Juan Espinoza, vice provost for enrollment management, will provide an introduction to the enrollment management landscape, including considerations for Virginia Tech's land grant mission, the role of the university in advancing economic development through graduation of a skilled workforce, and the relevance of enrollment to the university's budget.

7. Update on the Expand Appalachia CORE-CM Project

R. Bishop

Richard Bishop, professor of practice in the Department of Mining and Minerals Engineering and researcher in the Virginia Center for Coal and Energy Research, will present an update on the Expand Appalachia CORE-CM project, funded through the U.S. Department of Energy, project partners, and industry stakeholders, and part of a broader federal effort to reduce dependence on imported critical minerals and support the development of domestic supply chains.

8. Closing Remarks and Adjourn

N. Dye

The committee chair will provide closing remarks and adjourn the meeting.

* Requires Full Board Approval

Discusses Enterprise Risk Management topic(s)

Open Joint Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE AND BUILDINGS AND GROUNDS COMMITTEE

8:15 a.m., Room 260, New Classroom Building

June 3, 2025

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Discussion of On-Campus Housing Framework and Planning Assumptions	Amy Sebring

* Requires full Board approval

Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)

Briefing Report

JOINT FINANCE AND RESOURCE MANAGEMENT COMMITTEE AND BUILDINGS AND GROUNDS COMMITTEE

June 3, 2025

Joint Open Session

- 1. Discussion of On-Campus Housing Framework and Planning Assumptions:** The Committees will discuss and affirm on-campus housing framework and planning assumptions.

Joint Closed Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE AND BUILDINGS AND GROUNDS COMMITTEE

**To begin immediately following the Joint Open Session
Room 260, New Classroom Building**

June 3, 2025

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Motion for Joint Closed Session	Starlette Johnson
2. Update on Real Estate Development Opportunity	Amy Sebring
3. Motion to Reconvene in Joint Open Session	Anna James

*** Requires Full Board Approval**

Discusses Enterprise Risk Management Topic(s)

+ Discusses Strategic Investment Priorities Topic(s)

Briefing Report

FINANCE AND RESOURCE MANAGEMENT COMMITTEE AND BUILDINGS AND GROUNDS COMMITTEE

June 3, 2025

Joint Closed Session

1. **Motion for Joint Closed Session**
2. **Update on Real Estate Development Opportunity:** The Committee will receive an update on a real estate development opportunity.
3. **Motion to Reconvene in Joint Open Session**

Open Session Agenda
BUILDINGS AND GROUNDS COMMITTEE

Monday, June 2, 2025

Open session tour departs at 1:30 p.m. from the Classroom Building.

	<u>Agenda Item</u>	<u>Reporting Responsibility</u>
#+	1. Tour of On-Campus Residence Halls	Dwyn Taylor Frances Keene

Tuesday, June 3, 2025

Open session meeting begins at 11:00 a.m. in the Classroom Building, Room 260.

	<u>Agenda Item</u>	<u>Reporting Responsibility</u>
	2. Welcome and Introductions	Tish Long
	3. Approval of the Minutes from the March 2025 Committee Meeting	Tish Long
#+	4. Acceptance of the Quarterly Capital Project Status Report	Travis Jessee
#	5. Acceptance of the University Building Official Annual Report	Chris Kiel
	6. Future Agenda Items and Closing Remarks	Tish Long

* Requires Full Board Approval

Discusses Enterprise Risk Management Topic(s)

+ Discusses Strategic Investment Priorities Topic(s)

Open Session Briefing Report
BUILDINGS AND GROUNDS COMMITTEE

Monday, June 2, 2025

Open Session Tour

Tour departs at 1:30 p.m. from the Classroom Building.

- 1. Tour of On-Campus Residence Halls:** The Committee will tour Upper Quad Residence Hall North, O'Shaughnessy Hall, Hoge Hall, Pritchard Hall, and Main Campbell Hall. The tour is intended to provide firsthand insight into the current condition, functionality, and lived experience within Virginia Tech's on-campus residence halls. By including both legacy and modern facilities, the tour offers a comparative lens to assess the evolution of residential environments and to support strategic evaluation of future capital investments. This experience will supplement the presentation and discussion on residential planning assumptions and guiding principles by grounding strategic dialogue in a shared understanding of existing assets, infrastructure challenges, and future opportunities. Core concepts and planning considerations regarding capacity, modernization, accessibility, sense of place, and strategic integration will be highlighted.

Tuesday, June 3, 2025

Open Session Meeting

Open session meeting begins at 11:00 a.m. in the Classroom Building, Room 260.

- 2. Welcome and Introductions:** The Committee Chair will convene the meeting and provide welcoming remarks.
- 3. Minutes from the March 2025 Committee Meeting: Consent Agenda:** The Committee will review for approval the minutes from its March 2025 meeting.
- #+ 4. Acceptance of the Quarterly Capital Project Status Report:** The Committee will review for acceptance the quarterly capital project status report. The current active portfolio of projects includes 17 authorized projects -- active and complete (within a 1-year warranty phase), has a total value of approximately \$1.2 billion, adds approximately 1.2 million gross square feet of new construction, and renovates nearly 298,000 gross square feet of existing space.
- # 5. Acceptance of the University Building Official Annual Report:** The Committee will receive the annual report from the University Building Official, Chris Kiel. The University Building Official has primary responsibility for the proper management for, and enforcement of, the Virginia Uniform Statewide Building Code (VUSBC) to ensure that construction projects conducted on property owned by the university

* Requires Full Board Approval

Discusses Enterprise Risk Management Topic(s)

+ Discusses Strategic Investment Priorities Topic(s)

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 is delegated authority directly from the Board of Visitors Buildings and Grounds Committee. The function is embedded within and administratively supported by the Division of Facilities. In this year's report, the University Building Official will highlight the importance of maintaining a local presence in enforcing building codes and explore why some universities have dedicated building departments while others do not. A detailed overview of processes related to larger projects, including efforts to keep them on schedule, will be highlighted. The report will also summarize key activities from the past year, present enforcement metrics, and outline improvements made to enhance efficiency, transparency, and communication. Finally, updates on additional improvements currently in development will be shared.

- 6. Future Agenda Items and Closing Remarks:** The Committee will discuss potential topics for inclusion on future meeting agendas.

Open Session Briefing Report
COMPLIANCE, AUDIT, AND RISK COMMITTEE

June 2, 2025

Compliance, Audit, and Risk Open Session

1. **Welcome and Acceptance of Agenda:** The chair of the Compliance, Audit, and Risk Committee will provide opening remarks and ask for acceptance of the Open Session agenda.
2. **Consent Agenda:** The Committee will consider for approval and acceptance the items listed on the Consent Agenda.
 - a. **Minutes from the March 25, 2025 Meeting:** The Committee will review and approve the minutes of the March 25, 2025 meeting.
 - b. **Update of Responses to Open Internal Audit Comments:** The Committee will review the university's update of responses to all previously issued internal audit reports. As of December 31, 2024, the university had 13 open recommendations. Seven audit comments were issued during the third quarter of the fiscal year. As of March 31, 2025, the university had addressed ten comments, leaving ten 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 57 percent of its audit plan, and 100 percent is underway, in accordance with the fiscal year 2024-25 annual audit plan.
 - d. **Internal Audit Reports:** The following internal audit report was issued by OARC since the March 25, 2025 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. **Graduate School Policy Compliance Review:** The audit received a rating of improvements are recommended. Low priority observations of a less significant nature were noted regarding P-14 appointments, I-9 verification, and state vehicle management.

- e. **Report on Audits of University-Related Corporations:** The university-related corporations include Virginia Tech Applied Research Corporation; Virginia Tech Foundation, Inc.; Virginia Tech Intellectual Properties, Inc.; Virginia Tech Services, Inc.; Virginia Tech Innovations Corporation (VTIC); and Virginia Tech India Research and Education Forum (VTIREF). Consistent with the Board of Visitors' resolution establishing university-related corporations, each corporation is annually required to provide audited annual financial statements, management letters from external auditors, and management's responses to the university's president. Each corporation is also required to submit an annual certification stating that all procedures outlined in the resolution have been met. All corporations are in full compliance with the Board of Visitors' requirements regarding audits. Additionally of note, in June 2024, the Board for VT Services, Inc. approved dissolving the entity and transferring all assets and operations to the University by December 31, 2025.
 - f. **2025 General Assembly Legislative Report:** This report provides an update on recent state legislative changes that impact the Committee's responsibility for oversight of compliance and risk. Relevant higher education areas impacted include admission and transfer; agriculture, environment, and energy; benefits and personnel; mental health; procurement; reporting and oversight; student health; and technology. Of particular relevance to the Board of Visitors' operations, HB2452 requires public institutions of higher education in the Commonwealth to develop minimal uniform standards for (i) providing the public with real-time access to the meetings of their governing boards and board committees, (ii) archiving the meeting recordings, and (iii) taking meeting minutes, with implementation no later than July 1, 2026. The provisions above will not become effective unless reenacted by the 2026 Session of the General Assembly.
 - g. **Review and Approval of Charters:** The Office of Audit, Risk, and Compliance (OARC) presents the Charter for the Office of Audit, Risk, and Compliance for review and approval in accordance with professional standards. OARC recommends modifications to the office charter that reflect current titles and organizational structure.
3. **Annual External Audit Scope Discussion with the Auditor of Public Accounts:** The Committee will meet with the APA for a discussion of the scope of the audit of the 2024-25 financial statements and the APA's plans for conducting and completing the audit.

4. **The Federal Landscape:** The Committee will receive a presentation from the Vice President for Government Relations on risks emerging from the current federal landscape and its potential to impact the university's operations, including discussion on proposed changes to the facilities and administrative rate, federal budget, and other related topics.
5. **Enterprise Risk Management Update:** The Committee will receive an update of the Enterprise Risk Management (ERM) program activity during fiscal year 2024-25, including the updated enterprise risk landscape delineated by the university's tripartite mission and support environments, the heat map with a focus on the top ten risks, and a chart of how the risks have shifted over the last year. The mapping of the enterprise risk landscape shows the alignment of risks with the two main university goals, the Virginia Tech Advantage and Virginia Tech Global Distinction. Other activities of the ERM program included conducting a tabletop exercise on research security and compliance scenarios; facilitating an ERM exercise with President's Council on risk tolerance, appetite, mitigations, and opportunity risks in the evolving regulatory landscape; and developing a comprehensive risk register for the university.
6. **Audit Plan for Fiscal Year 2025-26:** The Chief Audit Executive will present the Audit Plan for Fiscal Year 2025-26 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 2025-26 and a core audit plan was developed in coordination with the university's Enterprise Risk Management initiative. For fiscal year 2025-26, 30 audit projects and four management advisory services are proposed, with approximately 77 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. **Discussion of Future Topics:** The Committee will discuss topics to be covered in future committee meetings.

Open Session Agenda

COMPLIANCE, AUDIT, AND RISK COMMITTEE

New Classroom Building, Room 260

June 2, 2025

3:30pm

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Welcome and Acceptance of Agenda	Anna James
2. Consent Agenda	Anna James
a. Minutes from the March 25, 2025 Meeting	
b. Update of Responses to Open Internal Audit Comments	
c. Audit Plan Status Report	
d. Internal Audit Reports	
i. Graduate School Policy Compliance Review	
e. Report on Audits of University-Related Corporations	
f. 2025 General Assembly Legislative Report	
g. Review and Approval of Charters	
i. Charter for the Office of Audit, Risk, and Compliance	
3. Annual External Audit Scope Discussion with the Auditor of Public Accounts	Megan Richard
# 4. The Federal Landscape	Chris Yianilos
# 5. Enterprise Risk Management Update	Sharon Kurek
6. Audit Plan for Fiscal Year 2025-26	Justin Noble
7. Discussion of Future Topics	Anna James
# Discusses Enterprise Risk Management topic(s).	

Closed Session Agenda

COMPLIANCE, AUDIT, AND RISK COMMITTEE

New Classroom Building, Room 260

June 2, 2025

4:30pm

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Motion to Begin Closed Session	Committee Member
2. Consent Agenda	Anna James
a. Internal Audit Reports	
i. National Security Institute	
ii. College of Natural Resources and Environment Policy Compliance Review	
3. Update on Fraud, Waste, and Abuse Cases	Ryan Hamilton Sharon Kurek
# 4. Discussion on the Research Security Landscape	John Talerico
5. Discussion with the Vice President for Audit, Risk, and Compliance & Chief Risk Officer	Sharon Kurek
6. Motion to End Closed Session	Committee Member
# Discusses Enterprise Risk Management topic(s).	

Closed Session Briefing Report

COMPLIANCE, AUDIT, AND RISK COMMITTEE

June 2, 2025

Compliance, Audit, and Risk Closed Session

1. **Motion to Begin Closed Session:** Motion to begin closed session.
2. **Consent Agenda:** The Committee will consider for approval and acceptance the items listed on the Consent Agenda.
 - a. **Internal Audit Reports:** The following confidential internal audit reports were issued by the Office of Audit, Risk, and Compliance (OARC) since the March board meeting. Where applicable, management developed action plans to effectively address the issues in the report with a reasonable implementation timeframe. OARC conducts follow-up on management's implementation of agreed upon improvements for previously issued audit recommendations.
 - i. **National Security Institute:** The audit received a rating of improvements are recommended. An observation was noted regarding lab safety training. A low priority recommendation of a less significant nature was noted regarding information technology.
 - ii. **College of Natural Resources and Environment Policy Compliance Review:** The audit received a rating of improvements are recommended. Low priority observations of a less significant nature were noted regarding I-9 verification, expenditures, key control, information technology, and state vehicle management.
3. **Update on Fraud, Waste, and Abuse Cases:** The Committee will receive an update on outstanding fraud, waste, and abuse cases.
4. **Discussion on the Research Security Landscape:** The Chief Research Security Officer (CRSO) will discuss Virginia Tech's research security program and the institution's risk and compliance strategies with evolving federal regulations. As part of this discussion, the CRSO will provide a threat briefing, address Virginia Tech's current research security risks, share risk mitigation strategies, and provide

case study examples that have emerged as a result of the research security program.

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

Joint Closed Session Agenda
ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE
and
FINANCE AND RESOURCE MANAGEMENT COMMITTEE
10:30 a.m., Room 260, New Classroom Building
June 2, 2025

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Motion to Begin Joint Closed Session	N. Dye
* 2. Ratification of Personnel Changes Report <i>(voted on by Finance and Resource Management Committee only)</i>	S. Allen
* 3. Resolution to Approve 2024-25 Promotions, Tenure, and Continued Appointments	R. Fricker
4. Update on Compliance with March 25, 2025 BOV Resolution	C. Clarke
5. Motion to Begin Open Session	N. Dye

*Requires Full Board Approval

Briefing Report

ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE AND FINANCE AND RESOURCE MANAGEMENT COMMITTEE

June 2, 2025

Closed Session

1. **Motion to Begin Joint Closed Session**
- * 2. **Ratification of Personnel Changes Report:** The Finance and Resource Management Committee will review for ratification the quarterly Personnel Changes Report.
- * 3. **Resolution to Approve 2024-25 Promotions, Tenure, and Continued Appointments:** The Academic, Research, and Student Affairs and Finance and Resource Management Committees will review for approval the 2024-25 Promotions, Tenure, and Continued Appointments.
4. **Update on Compliance with March 25, 2025 BOV Resolution:** The Committees will receive an update on compliance with the March 25, 2025 Board of Visitors resolution.
5. **Motion to Begin Open Session**

Open Joint Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE AND BUILDINGS AND GROUNDS COMMITTEE

8:15 a.m., Room 260, New Classroom Building

June 3, 2025

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Discussion of On-Campus Housing Framework and Planning Assumptions	Amy Sebring

* Requires full Board approval

Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)

Briefing Report

JOINT FINANCE AND RESOURCE MANAGEMENT COMMITTEE AND BUILDINGS AND GROUNDS COMMITTEE

June 3, 2025

Joint Open Session

- 1. Discussion of On-Campus Housing Framework and Planning Assumptions:** The Committees will discuss and affirm on-campus housing framework and planning assumptions.

Joint Closed Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE AND BUILDINGS AND GROUNDS COMMITTEE

**To begin immediately following the Joint Open Session
Room 260, New Classroom Building**

June 3, 2025

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Motion for Joint Closed Session	Starlette Johnson
2. Update on Real Estate Development Opportunity	Amy Sebring
3. Motion to Reconvene in Joint Open Session	Anna James

*** Requires Full Board Approval**

Discusses Enterprise Risk Management Topic(s)

+ Discusses Strategic Investment Priorities Topic(s)

Briefing Report

FINANCE AND RESOURCE MANAGEMENT COMMITTEE AND BUILDINGS AND GROUNDS COMMITTEE

June 3, 2025

Joint Closed Session

1. **Motion for Joint Closed Session**
2. **Update on Real Estate Development Opportunity:** The Committee will receive an update on a real estate development opportunity.
3. **Motion to Reconvene in Joint Open Session**

Open Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE 9:00 a.m., Room 260 New Classroom Building June 3, 2025

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Motion to Reconvene in Session	Jim Miller
2. Welcome and Opening Remarks	Dave Calhoun
3. Consent Agenda	Dave Calhoun
a. Approval of Items Discussed in Joint Closed Session	
b. Approval of Minutes of the March 24-25, 2025 Meeting	
* c. Approval of 2025-26 Hotel Roanoke Conference Center Commission Budget	
* d. Approval of a 9(d) Debt Financing Resolution for the New Business Building	
* e. Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies	
# 4. Update on Advancement	Charlie Phlegar
*+ 5. Approval of Year-to-Date Financial Performance Report (July 1, 2024 – March 31, 2025)	Tim Hodge Rob Mann Simon Allen
*#+ 6. Approval of 2025-26 University Operating and Capital Budgets	Simon Allen Tim Hodge Rob Mann
#+ 7. Update on the Development of the 2026-2032 Six-Year Plan	Simon Allen Tim Hodge
#+ 8. Discussion of Enrollment Demand	Juan Espinoza
* 9. Approval of 2025-26 Faculty Compensation Plan	Simon Allen Tim Hodge
* 10. Approval of 2025-26 Compensation for Graduate Assistants	Tim Hodge
11. Discussion of Future Agenda Topics and Closing Remarks	Dave Calhoun

* Requires full Board approval

Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)

Briefing Report

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

June 3, 2025

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 Joint Closed Session:** The Committee will review and approve the items discussed in joint closed session.
 - b. **Approval of Minutes of the March 24-25, 2025 Meeting:** The Committee will review and approve the minutes of the March 24-25 meeting.
 - * c. **Approval 2025-26 Hotel Roanoke Conference Center Commission Budget:** The Hotel Roanoke Conference Center Commission was established by resolutions adopted by Virginia Tech and the City of Roanoke, under Commonwealth of Virginia enabling legislation. The enabling legislation provided that the Commission shall annually prepare and submit to both the City of Roanoke and Virginia Tech a proposed operating budget showing its estimated revenues and expenses for the forthcoming fiscal year. If the estimated expenses exceed the estimated revenues, the portion of the unfunded balance is to be borne equally by each participating party for the operation of the conference center.
 - * d. **Approval of 9(d) Debt Financing Resolution for the New Business Building:** The Committee will review for approval a debt financing resolution. This resolution identifies the Executive Vice President and Chief Operating Officer, the Vice President for Finance and Chief Financial Officer, and the Assistant Vice President for Finance and Associate Treasurer as Authorized Officers to execute and deliver all certificates and instruments and to take such further action as may be considered necessary or desirable in connection with the sale and issuance of the New Business Building. The financing for this project is not to exceed \$37.5 million.
 - * e. **Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies:** This is the university's annual notification to the Board of Visitors detailing the provisions of the Appropriation Act relating to indebtedness of state agencies, or unauthorized deficits.

- # 4. **Update on Advancement:** Charlie Phlegar, Senior Vice President for Advancement, will provide an update on new gifts and commitments and cash for the fiscal year. This will be Charlie Phlegar's last Board update as he is retiring this summer.
- * 5. **Approval of Year-to-Date Financial Performance Report (July 1, 2024 – March 31, 2025):** The Committee will review for approval the Year-to-Date Financial Performance Report for July 1, 2024 to March 31, 2025. 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. As of March 31, 2025, operating revenues and expenditures are on track.
- *# 6. **Approval of 2025-26 University Operating and Capital Budgets:** The Committee will review for approval the proposed university operating and capital budgets for 2025-26.

The Operating Budget for the 2025-26 fiscal year has a recommended internal budget for all operations of \$2.5 billion. This is an increase of \$174.2 million, approximately 7.6 percent, over the adjusted budget for last year (on a like-for-like basis the budget is 2.9% larger, with the remaining growth driven by certain activity processing being relocated from the Foundation to the University) . The university's total General Fund allocation is estimated to be approximately \$464.8 million, an increase of \$8.0 million over last year's adjusted budget. General Fund revenues will provide \$420.6 million in support for the instructional, research, and extension programs, \$40.6 million for student financial assistance, and \$3.7 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 \$36.0 million attributable to the Educational and General programs and \$30.5 million of projected growth in Auxiliary Enterprises. The Auxiliary Enterprise budget includes the budgets of four Auxiliary Systems; the Dormitory and Dining Hall System, the Electric Service Utility System, the University Services System, and, the Athletic Facilities System, in accordance with the resolutions authorizing and securing revenue bonds. The university's Educational and General budget will be \$1.2 billion and the Auxiliary Enterprise revenue budget is \$522.2 million for fiscal year 2025-26. The projected annual budget for Sponsored Programs is \$479.1 million, a decrease of \$4.7 million, or 1.0 percent lower than the adjusted budget for last year. The projected 2025-26 budget includes \$108.7 million of private funds which were previously paid directly by the Virginia Tech Foundation.

Understanding that strategic investments will not be realized solely through incremental new revenue, the university is planning for \$25 million of reinvestments over the next five years to support a portion of the multi-year initiative vision. For 2025-26, the university has identified \$10.7 million of university reinvestments and DEI Resolution savings. The reinvestments and savings will be aligned with initiatives to advance Global Distinction and the Virginia Tech Advantage.

The Capital Budget capital outlay program for 2025-26 is comprised of 16 Educational and General projects and three Auxiliary Enterprise projects for a total of 19 projects. The total multi-year capital program for 2025-26 includes approximately \$1.16 billion of authorizations with an annual expenditure budget of approximately \$147 million for 2025-26.

- #+ 7. **Update on the Development of the 2026-2032 Six-Year Plan:** The Committee will receive an update on the development of the 2026-2032 Six-Year Plan.
- #+ 8. **Discussion of Enrollment Demand:** The Vice President for Enrollment will lead a discussion of enrollment demand. Juan Espinoza, Vice President for Enrollment Management, will share key findings from the university's recent enrollment survey. Overall, the survey results indicate that Virginia Tech's brand is very strong, with major attributes including a vibrant campus life and school spirit, athletics, a strong alumni network, and opportunities to participate in undergraduate research projects. Additionally, prices and aid are well-optimized to market preferences, but with less flexibility in pricing for out-of-state students than in-state students.
- * 9. **Approval of 2025-26 Faculty Compensation Plan:** The Committee will review for approval the 2025-26 Faculty Compensation Plan. Based on the university's understanding of the state budget, a three percent faculty salary increase, effective on the July 1, 2025 paycheck, has been planned.

The university traditionally implements such state increases differentially on the basis of merit. In anticipation of this program, merit recommendations were developed during the spring of 2025, consistent with the proposed 2024-25 Faculty Compensation Plan. Implementation of this increase is subject to Board approval.

To maintain and improve upon the university's standing relative to the 50th percentile of the Top 20 Land Grant peers, the higher levels of competing offers received by key faculty, and to minimize the high cost of turnover, the university will continue to explore opportunities to improve the competitiveness of Virginia Tech faculty compensation.

- * 10. **Approval of 2025-26 Compensation for Graduate Assistants:** The Committee will review for approval the proposed 2025-26 schedule of stipends and support for the health insurance program for graduate students. The university proposes a 3.0 percent increase in the stipend scale, \$107 stipend supplement increase for graduate students, and the establishment of a minimum stipend of \$2,800 per month. The university also proposes streamlining the graduate assistant compensation to 11 pay range "steps" for 2025-26.
- 11. **Discussion of Future Agenda Topics and Closing Remarks:** The Committee will discuss possible topics for future meetings and other topics as needed.

Financial Performance Report – Operating and Capital

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

July 1, 2024 to March 31, 2025

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 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 year-to-date budget is prepared from historical data which reflects trends in expenditures from previous years as well as known changes in timing. Differences between the actual income and expenditures and the year-to-date budget may occur for a variety of reasons, such as an accelerated or delayed flow of documents through the accounting system, a change in spending patterns at the college level, or increases in revenues for a particular area.

Quarterly budget estimates are prepared to provide an intermediate measure of income and expenditures. Actual revenues and expenditures may vary from the budget estimates. The projected year-end budgets are, however, the final measure of operating budget performance.

Capital program performance is measured against the Total Project Budget. The Total Project Budget amounts reflect appropriations and authorizations established by the state or Board of Visitors for each capital project. These amounts are recorded in the accounting system with revenue and expenditure budgets upon the effective date of each project, which normally occurs on July 1 or after Board of Visitors approval. Under restructuring authorities, university administration may make minor changes to a Total Project Budget, within ten percent, and the revised Total Project Budget is shown on the subsequent quarterly report. The Cumulative Expenditures reflect lifetime-to-date activity until a project is complete, and a project's life spans multiple fiscal years. The Annual Budgets are estimates of expected activity for a 12-month portion of the life of a project. Spending pace for a project may periodically slow or accelerate during a year for a variety of reasons including shifts in construction start dates, contractor performance or billing cycles, and supply chain disruptions. The Annual Budgets are revised accordingly and shown on the subsequent quarterly report.

RECOMMENDATION:

That the report of income and expenditures for the University Division and the Cooperative Extension/Agricultural Experiment Station Division for the period of July 1, 2024 through March 31, 2025 and the Capital Outlay report be accepted.

June 3, 2025

OPERATING BUDGET

2024-25

Dollars in Thousands

	July 1, 2024 to March 31, 2025			Annual Budget for 2024-25		
	Actual	Budget	Change	Original	Adjusted	Change
Educational and General Programs						
<u>University Division</u>						
<u>Revenues</u>						
General Fund	\$209,011	\$209,011	\$0	\$288,480	\$294,023	\$5,543 (6)
Tuition and Fees	717,039	714,596	2,443	736,209	733,609	-2,600 (7)
All Other Income	45,428	46,962	-1,534 (1)	59,850	62,519	2,669 (8)
Total Revenues	\$971,478	\$970,569	\$909	\$1,084,539	\$1,090,151	\$5,612
<u>Expenses</u>						
Academic Programs	\$-498,074	\$-500,160	\$2,086	\$-653,902	\$-657,286	\$-3,384
Support Programs	-339,234	-339,723	489	-430,637	-432,865	-2,228
Total Expenses	\$-837,308	\$-839,883	\$2,575	\$-1,084,539	\$-1,090,151	\$-5,612 (6,7,8)
NET	\$134,170	\$130,686	\$3,484	\$0	\$0	\$0
<u>CE/AES Division</u>						
<u>Revenues</u>						
General Fund	\$69,332	\$69,332	\$0	\$92,942	\$92,847	\$-95 (9)
Federal Appropriation	12,030	12,789	-759 (2)	15,647	17,761	2,114 (10)
All Other Income	1,439	1,257	182	1,426	1,601	175 (11)
Total Revenues	\$82,801	\$83,378	\$-577	\$110,015	\$112,209	\$2,194
<u>Expenses</u>						
Academic Programs	\$-81,878	\$-81,430	\$-448 (2)	\$-101,199	\$-103,217	\$-2,018
Support Programs	-6,604	-6,901	297	-8,816	-8,992	-176
Total Expenses	\$-88,482	\$-88,331	\$-151	\$-110,015	\$-112,209	\$-2,194 (9,10,11)
NET	\$-5,681	\$-4,953	\$-728	\$0	\$0	\$0
Auxiliary Enterprises						
Revenues	\$442,096	\$433,417	\$8,679 (3)	\$480,384	\$491,746	\$11,362 (3)
Expenses	-341,167	-354,282	13,115 (3)	-459,984	-495,305	-35,321 (3)
Reserve Drawdown/(Deposit)	-100,929	-79,135	-21,794 (3)	-20,400	3,559	23,959 (3)
NET	\$0	\$0	\$0	\$0	\$0	\$0
Sponsored Programs						
Revenues	\$398,606	\$386,707	\$11,899 (4)	\$510,079	\$525,079	\$15,000 (12)
Expenses	-388,053	-394,449	6,396 (4)	-510,079	-525,079	-15,000 (12)
Reserve Drawdown/(Deposit)	-10,553	7,742	-18,295	0	0	0
NET	\$0	\$0	\$0	\$0	\$0	\$0
Student Financial Assistance						
Revenues	\$63,575	\$63,996	\$-421	\$63,337	\$65,209	\$1,872 (13)
Expenses	-62,779	-62,423	-356	-63,337	-65,209	-1,872 (13)
Reserve Drawdown/(Deposit)	-796	-1,573	777	0	0	0
NET	\$0	\$0	\$0	\$0	\$0	\$0
All Other Programs *						
Revenue	\$11,433	\$11,893	\$-460	\$18,211	\$18,018	\$-193 (14)
Expenses	-7,338	-10,110	2,772 (5)	-18,211	-19,765	-1,554 (14)
Reserve Drawdown/(Deposit)	-4,095	-1,783	-2,312 (5)	0	1,747	1,747 (14)
NET	\$0	\$0	\$0	\$0	\$0	\$0
Total University						
Revenues	\$1,969,989	\$1,949,960	\$20,029	\$2,266,565	\$2,302,412	\$35,847
Expenses	-1,725,127	-1,749,478	24,351	-2,246,165	-2,307,718	-61,553
Reserve Drawdown/(Deposit)	-116,373	-74,749	-41,624	-20,400	5,306	25,706
NET	\$128,489	\$125,733	\$2,756	\$0	\$0	\$0

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

OPERATING BUDGET

1. University Division All Other Income revenues are lower than projected due to lower ancillary self-supporting activity and continuing education programs.
2. The budget for federal revenue is established to match projected allotments from the federal government that are expected to be drawn down during the state fiscal year. All expenses in federal programs are covered by drawdowns of federal revenue up to allotted amounts. Federal revenue in the Cooperative Extension and Agriculture Experiment Station Division is lower than projected due to timing of federal drawdowns.
3. Quarterly and projected annual variances are explained in the Auxiliary Enterprises section of this report.
4. Historical patterns have been used to develop a measure of the revenue and expenditure activity for Sponsored Programs. Actual revenues and expenses may vary from the budget estimates because projects are initiated and concluded on an individual basis without regard to fiscal year. Total sponsored research revenues are higher than projected. The sponsored research expenditures are 7.9% higher than March 31, 2024.
5. Expenses for All Other Programs were lower than projected due to lower than projected Surplus Property activity.
6. The annual University Division general fund budget was increased \$5.4 million for the VT share of Statewide one-time Virginia Military Survivors and Dependents Education Program (VMSDEP) waiver pool. The budget was increased \$0.2 million for central appropriation adjustments. The budget was decreased \$0.1 million for the Tech Talent master's MOU adjustment. The corresponding expenditure budgets have been adjusted accordingly.
7. The annual budget for Tuition & Fees was decreased \$2.1 million for higher than projected VMSDEP waiver activity and \$1.0 million for one-time student financial aid support. To reflect updated enrollment level and mix, the budget for undergraduate was increased \$1.7 million, for graduate increased \$0.8 million, for professional programs decreased \$0.7 million, and for summer 2024 decreased \$1.3 million. The corresponding expenditure budgets have been adjusted accordingly.
8. The University Division All Other Programs Income budget was increased \$2.0 million to reflect increased activity in the CVM Veterinary Teaching Hospital and \$0.7 million for the finalization of the VTC SOM budget. The corresponding expenditure budgets have been adjusted accordingly.
9. The annual budget for Cooperative Extension/Agriculture Experiment Station Division General Fund decreased \$0.1 million for the general fund share of state compensation programs and fringe benefit rate changes. The corresponding expenditure budgets have been adjusted accordingly.
10. The federal revenue budget in the Cooperative Extension/Agricultural Experiment Station Division has been increased \$2.1 million for the carryover of federal funds to FY25. The corresponding expenditure budgets have been adjusted accordingly.
11. The All Other Income budget in the Cooperative Extension/Agriculture Experiment Station Division has been increased \$0.2 million for higher than projected VCE self-generated revenue. The corresponding expenditure budgets have been adjusted accordingly.
12. The Sponsored Programs grants and contracts revenue and expenditure budgets were increased \$15 million to reflect higher than projected activity levels.
13. The student financial assistance revenue and expenditure budgets were increased \$0.3 million for the FY25 Pell Grant Initiative Programs, \$0.4 million for increased Virginia Military Survivors and Dependents Education Program and \$1.2 million to support the nongeneral fund scholarship program.
14. The projected annual budgets for All Other Programs were decreased \$0.2 million to finalize budgets. The projected annual expense budgets were increased \$1.7 million for outstanding 2023-24 commitments that were initiated but not completed before June 30, 2024.

AUXILIARY ENTERPRISES

Dollars in Thousands

	July 1, 2024 to March 31, 2025			Annual Budget for 2024-25		
	Actual	Budget	Change	Original	Adjusted	Change
Residence and Dining Halls *						
Revenues	\$176,605	\$174,102	\$2,503 (1)	\$184,819	\$182,289	\$-2,530 (5,6)
Expenses	-114,478	-119,216	4,738 (1)	-179,256	-183,297	-4,041 (5,6,7)
Reserve Drawdown/(Deposit)	-62,127	-54,886	-7,241 (1)	-5,563	1,008	6,571 (6,7)
Net	\$0	\$0	\$0	\$0	\$0	\$0
Parking and Transportation						
Revenues	\$25,357	\$25,440	\$-83	\$26,078	\$27,828	\$1,750 (8)
Expenses	-15,810	-16,651	841	-23,789	-24,917	-1,128 (6,7,8)
Reserve Drawdown/(Deposit)	-9,547	-8,789	-758	-2,289	-2,911	-622 (6,7,8)
Net	\$0	\$0	\$0	\$0	\$0	\$0
Telecommunications Services						
Revenues	\$24,006	\$22,556	\$1,450 (2)	\$23,347	\$23,587	\$240 (6)
Expenses	-16,449	-17,725	1,276 (2)	-22,557	-26,206	-3,649 (6,7)
Reserve Drawdown/(Deposit)	-7,557	-4,831	-2,726 (2)	-790	2,619	3,409 (6,7)
Net	\$0	\$0	\$0	\$0	\$0	\$0
University Services * **						
Revenues	\$68,273	\$67,211	\$1,062 (3)	\$69,450	\$69,450	\$0
Expenses	-54,400	-58,150	3,750 (3)	-68,664	-74,041	-5,377 (6,7,9)
Reserve Drawdown/(Deposit)	-13,873	-9,061	-4,812 (3)	-786	4,591	5,377 (6,7,9)
Net	\$0	\$0	\$0	\$0	\$0	\$0
Intercollegiate Athletics *						
Revenues	\$86,914	\$86,300	\$614	\$101,540	\$110,820	\$9,280 (6,10)
Expenses	-88,570	-88,784	214	-96,923	-111,338	-14,415 (6,7,10)
Reserve Drawdown/(Deposit)	1,656	2,484	-828	-4,617	518	5,135 (6,7,10)
Net	\$0	\$0	\$0	\$0	\$0	\$0
Electric Service *						
Revenues	\$37,018	\$35,800	\$1,218	\$48,576	\$49,415	\$839 (6)
Expenses	-34,463	-35,236	773	-46,410	-49,096	-2,686 (6,7)
Reserve Drawdown/(Deposit)	-2,555	-564	-1,991	-2,166	-319	1,847 (6,7)
Net	\$0	\$0	\$0	\$0	\$0	\$0
Inn at VT/Skelton Conf. Center						
Revenues	\$10,573	\$9,915	\$658	\$14,171	\$14,171	\$0
Expenses	-10,379	-10,401	22	-12,788	-14,276	-1,488 (7)
Reserve Drawdown/(Deposit)	-194	486	-680	-1,383	105	1,488 (7)
Net	\$0	\$0	\$0	\$0	\$0	\$0
Other Enterprise Functions ***						
Revenues	\$13,350	\$12,093	\$1,257 (4)	\$12,403	\$14,186	\$1,783 (6,11)
Expenses	-6,618	-8,119	1,501 (4)	-9,597	-12,134	-2,537 (6,7,11)
Reserve Drawdown/(Deposit)	-6,732	-3,974	-2,758 (4)	-2,806	-2,052	754 (6,7,11)
Net	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL AUXILIARIES						
Revenues	\$442,096	\$433,417	\$8,679	\$480,384	\$491,746	\$11,362
Expenses	-341,167	-354,282	13,115	-459,984	-495,305	-35,321
Reserve Drawdown/(Deposit)	-100,929	-79,135	-21,794	-20,400	3,559	23,959
Net	\$0	\$0	\$0	\$0	\$0	\$0

* University Systems include Dormitory and Dining Hall System, University Services System, Intercollegiate Athletics System, and Electric Service System. The Systems were created to provide assurance to bond holders that system revenues are pledged for the payment of debt service and to allow for dedicated repair and replacement that are not subject to liens of any creditor of the university.

** University Services System includes Career & Professional Development, Center for the Arts, Health Services, Recreational Sports, Student Engagement & Campus Life, Cultural and Community Centers, Student Organizations, and the VT Rescue Squad.

*** Other Enterprise Functions include Hokie Passport, Library Photocopy, Licensing & Trademark, Little Hokie Hangout, New Student and Family Programs, Pouring Rights, Software Sales, Tailor Shop and Clearing Accounts.

AUXILIARY ENTERPRISE BUDGET

1. Revenues in Residence and Dining Halls are higher than projected due to higher than budgeted self-generated revenues primarily from interest earnings and summer conferences. Expenses are lower than projected due to the timing of expenses and one-time facility improvement projects.
2. Revenues in Telecommunications Services are higher than projected due to higher than budgeted self-generated revenues. Expenses are lower than projected due to the timing of network telecommunication projects.
3. Revenues for the University Services System are higher than projected due to higher than budgeted self-generated revenues. Expenses lower than projected due to timing of operating expenses and facility projects scheduled for summer months.
4. Revenues for Other Enterprise Functions are higher than projected due to increased business volume in New Student Programs and Licensing. Expenses are lower than projected due to the timing of operating expenses and facility projects.
5. The annual revenue and expense budgets for Residence and Dining Halls were decreased \$6.3 million for lower dining business volume and increased \$2.5 million for higher residential occupancy and one-time furniture and equipment replacement.
6. In June 2024, the annual revenue, expense, and reserve budgets for Auxiliary Enterprises were adjusted for technical alignments and finalization of fixed cost estimates.
7. The annual expense budget for Auxiliary Enterprises was increased \$22.1 million for outstanding 2023-24 commitments and projects that were initiated but not completed before June 30, 2024.

Auxiliary Enterprise	Outstanding Commitments
Residence and Dining Halls	\$ 6,575,218
Parking and Transportation	1,564,851
Telecommunication Services	3,407,884
University Services System	4,241,856
Intercollegiate Athletics	2,513,098
Electric Service	1,097,019
Inn at Virginia Tech	1,489,009
Other Enterprise Functions	1,252,065
Totals	\$ 22,141,000

8. The annual revenue, expense, and reserve budgets for Parking and Transportation Services were increased \$1.8 million for higher business volume and decreased \$0.3 million for lower operating expenses.
9. The annual expense and reserve budgets for the University Services System were increased \$1.7 million for Student Engagement and Campus Life maintenance project expenses.
10. The annual revenue and expense budgets for Intercollegiate Athletics were increased \$1.3 million to accommodate the football team's participation in the Duke's Mayo Bowl. The annual revenue budget was increased \$1.2 million for concert revenue, \$0.6 million for self-generated revenues, \$0.2 million for licensing revenues, and \$8.5 million for private support, partially offset by ACC conference revenue shortfall of \$2.7 million. The annual expense budget was increased \$0.9 million for concert expenses, \$0.9 million for salary adjustments, \$4.1 million for team travel and sports operating expenses, \$4.1 million for facility projects and maintenance, and \$0.4 million for student athlete medical costs.
11. The annual expense and reserve budgets for Other Enterprise Functions were increased for scholarship expenses in Licensing and Trademark. In addition, the annual revenue, expense, and reserve budgets were increased for the transition of Virginia Tech Services to an auxiliary unit.

CAPITAL OUTLAY PROJECTS
AUTHORIZED AS OF MARCH 31, 2025
Dollars in Thousands

	PROJECT INITIATED	FISCAL YEAR ACTIVITY		TOTAL PROJECT BUDGET					CUMULATIVE EXPENDITURES
		ANNUAL BUDGET	YTD EXPENDITURES	STATE SUPPORT	NONGENERAL FUND	REVENUE BOND	TOTAL BUDGET		
EDUCATIONAL AND GENERAL PROJECTS									
<u>Design Phase</u>									
New Business Building	Apr 2022	\$ 6,300	\$ 2,704	\$ -	\$ 8,000	\$ -	\$ 8,000	3,877	(1)
Expand VT-C SOM & Fralin Biomedical Research Institute	Sept 2023	3,500	1,940	-	9,000	-	9,000	1,959	(2)
Improve Center Woods Complex	Nov 2023	829	328	14,404	296	-	14,700	345	(3)
Improve Campus Accessibility	Jul 2024	881	14	8,000	-	-	8,000	14	(4)
Planning: CVM Teaching Hospital Renovation & Expansion	Aug 2024	500	7	-	4,300	-	4,300	7	(5)
Planning: Improvements to Eastern Shore AREC	Sept 2024	500	21	1,515	-	-	1,515	21	(6)
Planning: Repair Derring Hall Envelope	Oct 2024	250	67	1,624	-	-	1,624	67	(7)
Planning: Rescue Squad Facility	Nov 2024	400	5	-	2,000	-	2,000	5	(8)
<u>Construction Phase</u>									
Maintenance Reserve	On-going	18,580	13,426	20,645	-	-	20,645	13,426	(9)
Livestock & Poultry Research Facilities, Phase I	Oct 2016	4,000	2,253	31,764	-	-	31,764	27,244	(10)
Building Envelope Improvements	Aug 2022	8,000	1,023	-	13,580	33,620	47,200	6,858	(11)
Life, Health, Safety, Accessibility, & Code Compliance	Jul 2020	2,800	2,297	10,400	-	-	10,400	8,455	(12)
Mitchell Hall (Replace Randolph Hall)	Jul 2020	30,000	13,166	264,453	27,828	-	292,281	29,029	(13)
<u>Equipment and Special Initiatives</u>									
Fralin Biomedical Research Institute Equipment	Jul 2020	245	145	18,133	-	-	18,133	18,034	(14)
Equipment for Workforce Development	May 2021	5,000	3,686	42,437	-	-	42,437	15,830	(15)
<u>Close-Out</u>									
Corps Leadership and Military Science Building	Jun 2019	2,036	844	-	21,600	30,400	52,000	50,424	(16)
Hitt Hall	Apr 2017	9,112	6,372	-	33,600	51,400	85,000	80,257	(17)
Undergraduate Science Laboratory Building	Jul 2017	16,000	12,545	90,412	-	-	90,412	83,515	(18)
Innovation Campus - Academic Building	Jul 2019	40,895	34,279	177,164	80,336	44,636	302,136	269,991	(19)
TOTAL EDUCATIONAL AND GENERAL PROJECTS		\$ 149,829	\$ 95,123	\$ 680,950	\$ 200,540	\$ 160,056	\$ 1,041,547	\$ 609,357	

CAPITAL OUTLAY BUDGET

Education and General Projects

1. New Business Building: This project will design a 92,300 gross square foot building for the Pamplin College of Business. Working drawings are underway and construction pricing expected in May 2025.
2. Planning: Expand Virginia Tech-Carilion School of Medicine and Fralin Biomedical Research Institute: This planning project will design a new 100,000 gross square foot building for the VT-C School of Medicine, 25,000 gross square foot ground floor parking, and renovate 51,000 gross square feet of the existing School of Medicine and Research Institute building to be backfilled by the Fralin Biomedical Research Institute. Schematic design is nearing completion and cost estimates are underway.
3. Improve Center Woods Complex: This project will demolish the existing 12 facilities that have surpassed their useful life and construct 25,900 GSF of research laboratories, research support spaces, equipment storage and offices. Construction was authorized during the 2023 General Assembly Session. The total project budget reflects the capital budget request submission and may be revised by the Commonwealth's Six-Year Capital Advisory Committee (Six-PAC) at the completion of preliminary design. Preliminary design is underway.
4. Improve Campus Accessibility: This project improves pedestrian connectors to ensure accessible service in the southeastern zone of campus project and targets the section of the infinite loop from East Eggleston Hall to Dietrick Hall. Schematic design is underway.
5. Planning: College of Veterinary Medicine Teaching Hospital Renovation & Expansion: This planning project will design a new 32,000 gross square foot addition and 25,000 gross square foot renovation for the College of Veterinary Medicine Teaching Hospital's academic program. Procurement for AE services is in process.
6. Planning: Improvements to Eastern Shore AREC: This planning project will design a 13,500 square foot services complex to support research at the Eastern Shore AREC and renovate the 14,000 square foot main building. Procurement for AE services are complete and schematic design is underway.
7. Planning: Repair Derring Hall Envelope: This planning project will design a repair solution for the exterior envelope of Derring Hall. Planning amount was received from the Commonwealth. Recommendations for repairs are complete and design is underway.
8. Planning: Rescue Squad Facility: This planning project will design a new 12,500 gross square foot facility for the Virginia Tech Rescue Squad (VTRS). Procurement of AE services is in process.
9. Maintenance Reserve: The total project budget reflects \$1.759 million of carryforward from fiscal year 2024 and \$18.885 million of new appropriations from the State for fiscal year 2025. The annual budget amount reflects the pace necessary to meet the state's 85 percent spending performance requirement.
10. Livestock & Poultry Research Facilities, Phase I: The new swine, poultry, beef, and equine facilities are substantially complete. A supplement from the State to support the fifth and final bid package has been received. Construction of three hay barns and the demolition swine facilities past their useful life are underway with substantial completion expected December 2025.
11. Building Envelope Improvements: This project will complete envelope improvements to four buildings.
12. 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 complete. Accessible pathway improvements from Perry Street to the Drillfield are under construction with substantial completion expected May 2025. The accessible pathways between Patton Hall, Holden Hall, and McBryde Hall is expected September 2025.
13. Mitchell Hall (Replace Randolph Hall): This project will replace Randolph Hall with an approximately 285,500 gross square foot building to accommodate engineering instruction and research. Demolition and sitework is underway. Initial pricing for the remainder of the project, GMP-2, was received with subcontractor pricing for mechanical and electrical trades resulting in budget that would exceed the project's authorization. Supplement funding for those trades is included in the Budget Bill for the 2025 General Assembly session.
14. Fralin Biomedical Research Institute Equipment: This funding supports the procurement and installation of specialized research equipment for the Fralin Biomedical Research Institute.
15. Equipment for Workforce Development: This project supports space and equipment purchases for the instructional programs associated with the Tech Talent Investment Program.
16. Corps Leadership and Military Science Building: The project is closed.
17. Hitt Hall: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.
18. Undergraduate Science Laboratory Building: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.
19. Innovation Campus – Academic Building: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.

Capital Outlay Projects Authorized as of March 31, 2024 (Continued)

Dollars in Thousands

	PROJECT INITIATED	FISCAL YEAR ACTIVITY		TOTAL PROJECT BUDGET				
		ANNUAL BUDGET	YTD EXPENDITURES	STATE SUPPORT	NONGENERAL FUND	REVENUE BOND	TOTAL BUDGET	CUMULATIVE EXPENDITURES
AUXILIARY ENTERPRISE PROJECTS								
<u>Design Phase</u>								
<u>Construction Phase</u>								
Maintenance Reserve	On-going	\$ 14,500	\$ 9,896	\$ -	\$ 14,500	\$ -	\$ 14,500	\$ 9,896 (1)
<u>Close-Out</u>								
New Upper Quad Residence Hall	Jun 2019	600	301	-	16,071	25,929	42,000	39,793 (2)
Student Wellness Improvements	Jun 2016	12,000	9,682	-	25,574	44,426	70,000	66,139 (3)
Football Locker Room Renovations	Jun 2023	2,500	1,632	-	5,900	-	5,900	4,593 (4)
Planning: Student Life Village, Phase I	Jun 2023	7,500	4,087	-	19,500	-	19,500	4,401 (5)
TOTAL AUXILIARY ENTERPRISE PROJECTS		\$ 37,100	\$ 25,597	\$ -	\$ 81,545	\$ 70,355	\$ 151,900	\$ 124,821
GRAND TOTAL		\$ 186,929	\$ 120,720	\$ 680,950	\$ 282,085	\$ 230,411	\$ 1,193,447	\$ 734,178

CAPITAL OUTLAY BUDGET (Continued)

Auxiliary Enterprise Projects

1. 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 2025. 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.
2. New Upper Quad Residence Hall: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.
3. Student Wellness Improvements: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.
4. Football Locker Room Renovation: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.
5. Planning for Student Life Village, Phase I: Following the March 2025 Board of Visitors decision, the Student Life Village project will no longer proceed. The project will be closed and financial accounts terminated when final invoices are received and paid.

Proposed FY26 Operating and Capital Budgets

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

May 15, 2025

The university provides the Board of Visitors with an overview of the operating budget and capital cash flows for the upcoming fiscal year to enable board action in advance of July 1. Attached schedules include Schedule 1, which displays the university's overall operating budget; Schedule 2, which displays the Auxiliary budgets; and Schedule 3, which displays the projected fiscal year cash flows of previously approved capital projects.

State Appropriations

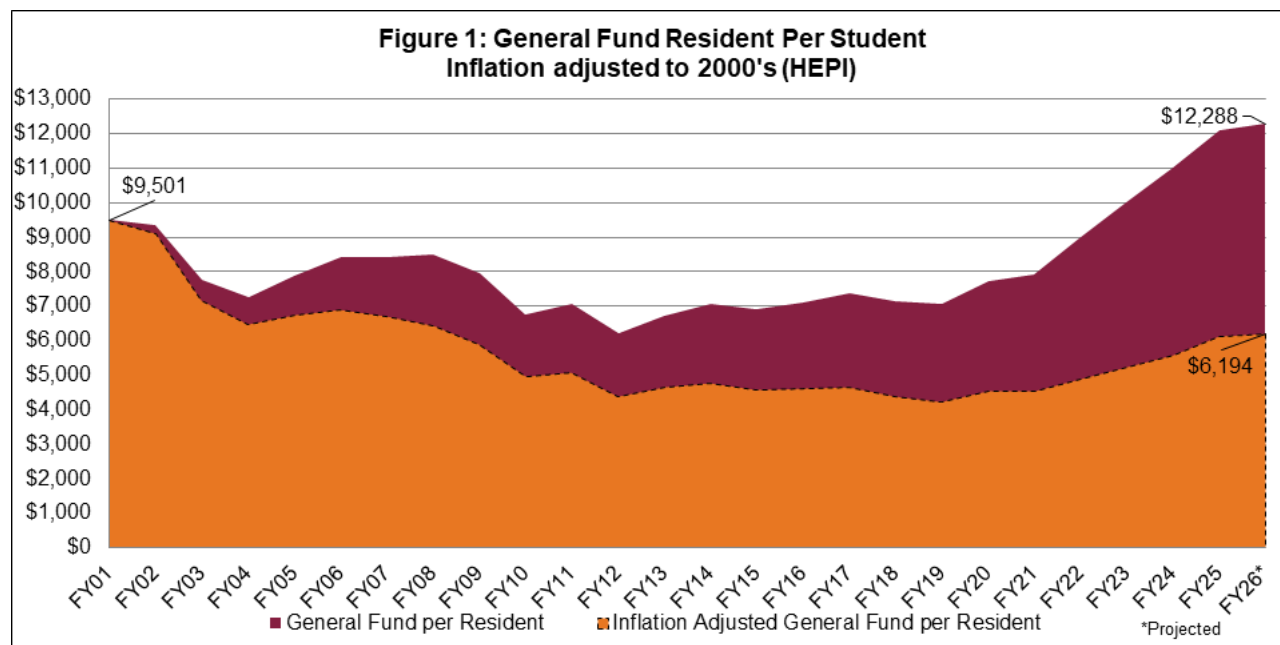
With the approval of the 2024-26 amended biennial state budget, the university is able to develop its internal budgets for 2025-26 fiscal year (FY26). The biennial budget provides the university with an understanding of the level of state support, costs, and policy for university program budgets. Virginia Tech anticipates an initial state authorization of \$2.1 billion for fiscal year FY26 to carry out all its programs, based on the forecast of direct appropriations to the university. However, the annual internal budget varies from the external expenditure authorization for several reasons, some of which increase the annual expenditure authority while others reduce the expenditure plans. For example, the university's expenditure authorization will be adjusted when the state allocates funding for the state share of compensation and fringe benefit rate changes. Additionally, under the sum sufficient authority granted as part of restructuring, nongeneral fund appropriations may be established as needed by the institution. For these reasons, the total internal budget presented to the Board of Visitors in Schedule 1 totals \$2.5 billion.

Forecast of State Budget Revenue Changes

For FY26, the university forecasts an incremental increase in General Fund appropriation of \$8.0 million from the adjusted FY25 budget. This is comprised of an estimated General Fund increase of \$10.4 million for Educational and General (E&G) programs in the University Division (Agency 208), an estimated increase of \$2.9 million for the programs in the Cooperative Extension and Agricultural Experiment Station (Agency 229), an increase of \$0.7 million for undergraduate and graduate Student Financial Aid, and a decrease of \$6.0 million for the removal of the Virginia Tech Patient Research Center funding from the FY26 state budget (funded was provided in the FY25 state budget). As shown in Table 1 on page 4, the General Fund increase for the University Division includes changes in direct appropriations, the estimated general fund share of state compensation program, and fringe benefit rate increases.

With these state resources, the state support per Virginia student will grow in FY26. Total state support per Virginia student for FY26 is projected to be 29.3 percent above the funding provided in 2001. The growth in per-student funding is a positive signal of the state's continued support of higher education and for Virginia Tech. The university enrolls over 5,000 additional Virginia undergraduates as compared to fall 2004. However,

adjusted for inflation, the university will receive 34.8 percent less General Fund support per student than in fiscal year 2001, as seen in Figure 1. It is important to note that this analysis presents the state support in the most favorable light since it includes all General Fund resources allocated to E&G, including support for activities beyond instruction such as research and public service. Figure 1 below is presented in this manner because it is a commonly utilized perspective by external groups.

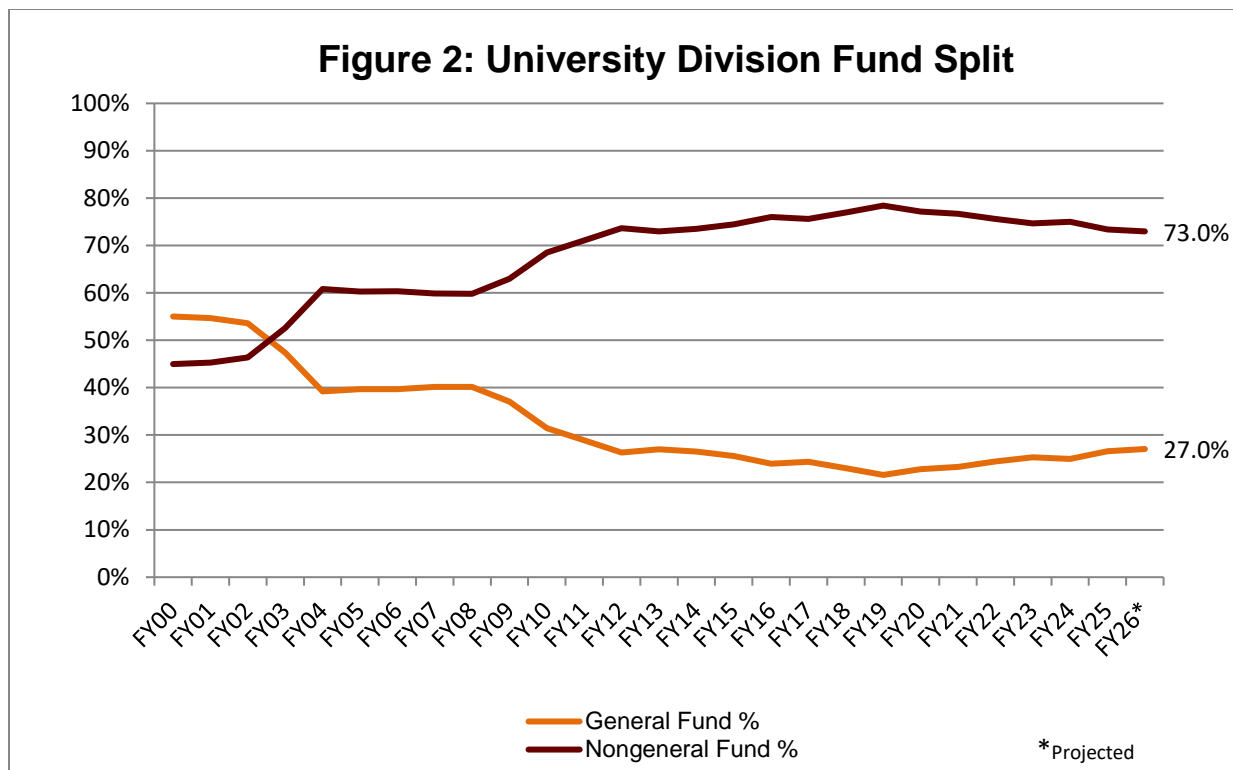


Proposed Budgets for FY26

For FY26, the recommended internal budget for all operations is \$2.5 billion. This is an increase of \$174.2 million, approximately 7.6 percent, over the adjusted FY25 budget. This increase reflects changes in nongeneral fund revenues for FY26, outcomes of the 2025 General Assembly Session which impacts the FY26 General Fund appropriation, and the recognition of private revenues in the university budget as they are drawn from the VTF to reimburse those expenditures.

The total General Fund allocation is estimated to be approximately \$464.8 million, an increase of \$8.0 million from the FY25 adjusted budget. General Fund revenues will provide \$420.6 million in support for the instructional, research, and extension programs, \$40.6 million for student financial assistance and \$3.6 million for the Unique Military Activities program.

As shown in Figure 2 below, the General Fund appropriation represents 27.0 percent of the University Division's E&G budget (as compared to 53.6 percent in the FY02 budget) and 18.8 percent of the total budget.



Schedule 1 displays the proposed operating budgets for FY26 by major program and revenue and expense category. Schedule 2 is an expansion of the projected auxiliary operations budgets, categorized by major activity. These schedules also display the FY25 budget, as approved in June 2024, and the current adjusted FY25 budget for comparison purposes. This report provides a brief discussion of the changes in the operating budget for each of the major programs.

E&G Programs

The university's E&G budget will be \$1.2 billion in FY26. The E&G budgets for the University Division (Agency 208) and the Cooperative Extension/Agricultural Experiment Station Division (Agency 229) are displayed on Schedule 1.

The year-to-year comparison of the budget in Schedule 1 reflects an overall revenue increase in the E&G program of \$36.8 million, or 3.1 percent, over the adjusted FY25 budget.

The FY26 E&G operating budgets have been developed utilizing the following forecasted state funding support for the university in FY26:

Table 1 - Projected General Fund Change from FY25 E&G Adjusted Budget to
FY26 E&G Proposed Budget

in millions

	University Division	VCE/AES Division	
State Share of Salary and Fringe Benefit Rate Changes	\$9.8	\$2.9	*
State Share of Property Insurance Changes and other minor adjustments	0.6	-	
E&G Program General Fund Change	\$10.4	\$2.9	

* Estimate - these items funded by the state at a later date

The percentage of the E&G budget for the University Division provided by the General Fund remained consistent with the FY25 adjusted budget at 27.0 percent.

The FY26 tuition and fee budget increased \$30.0 million, or 4.1 percent, over the adjusted FY25 budget. The increase in tuition and fee budgets is attributable to both the increase of tuition rates as approved by the Board of Visitors at the March 2025 meeting and enrollment growth. The increase includes unfunded and tuition-funded scholarships to student aid programs and adjustments to the other E&G fee budgets. Unfunded scholarships support both undergraduate need-based aid and a portion of the graduate tuition remission program. Tuition and fee funded scholarships are targeted to support the institution's strategic priorities, including enrollment growth and the Virginia Tech Advantage program. Additionally, the revenue from the Facility and Equipment fee will be transferred to the commonwealth for debt service on new facilities and equipment; thus, it is not reflected in the net revenue total.

Virginia Tech/Wake Forest SBES Budgets

In August 2002, the Board of Visitors of Virginia Tech adopted a resolution that authorized the establishment of the Virginia Tech-Wake Forest University School of Biomedical Engineering and Sciences. The collaboration agreement outlines the relationship and responsibilities of each party and requires budget approval by the governing board. In accordance with this requirement, the FY26 recommended budget includes \$7.3 million for Virginia Tech's School of Biomedical Engineering and Science within the overall university budget as displayed within the 208 Educational and General budgets on Schedule 1.

Auxiliary Enterprises

The university provides certain essential support services (e.g., Residence Halls and Dining Programs) through the operation of Auxiliary Enterprises. These enterprises are intended to be financially self-supporting and do not receive tuition revenue or general fund support. The Auxiliary Enterprises are supported by charging for all the services

provided to cover direct costs and reimburse the E&G program for all indirect costs in accordance with state requirements.

Auxiliary Enterprise Systems

As self-supporting activities, Auxiliary Enterprises also fund the debt service on auxiliary facilities including four systems operated under master debt covenants (Dormitory and Dining System, Electric Service Utility System, University Services System and the Athletic Facilities System). In compliance with the resolution authorizing and securing the system revenue bonds, the rates and charges for the next fiscal year are sufficient for the operating, maintenance and repair, debt service, and reserve requirements. The university works to ensure that all Auxiliary Enterprises remain in good working order, are in compliance with the terms and conditions of the bond covenants, and effectively deliver essential support services.

The total FY26 auxiliary revenue budget is \$522.2 million, a growth of \$30.5 million or 6.2 percent over the adjusted FY25 budget. This increase includes resources to cover proposed changes in state authorized compensation programs and fringe benefit rate changes, intercollegiate athletics operations, service needs for student health and counseling services, student programming, transit contract operating costs, maintenance of existing facilities, and the cost of new facilities.

Financial Assistance for E&G Programs (primarily Sponsored Programs)

The projected annual budget for Sponsored Programs is \$479.1 million, a decrease of \$46.0 million, or 8.7 percent, from the FY25 adjusted budget. The decrease in the FY26 budget is due to the realignment of \$41.3 million to Private funds, a decrease of \$6.0 million for the removal of the FY26 Patient Research Center General Fund support, and other minor technical updates.

While there are multi-faceted challenges facing federally funded research and exact outcomes are unknown, the university's FY26 budgets for Sponsored Programs are held constant with the FY25 budget levels in recognition of the current uncertainty in federally funded grants and contracts. Once more is known, budgets will be adjusted accordingly and the board updated.

The Sponsored Programs budget is comprised primarily of grant and contract activities but also includes returned overhead, the Enterprise Fund for distance learning, and General Fund support for research. The most significant activity in this category is externally sponsored research.

Appropriated Student Financial Assistance

The projected FY26 budget for the Appropriated Student Financial Assistance program is \$67.6 million, an increase of \$2.4 million. The change in the Student Financial Aid budget is comprised of a \$0.7 million increase in general fund support, continued university investment into the Virginia Tech Advantage Initiative to support access and

affordability, support to increase the Funds for the Future Program income protection threshold to families with incomes below \$115k, and the VT Scholarship Program.

The appropriated Student Financial Assistance budget is comprised of \$40.6 million of state General Fund support for undergraduate scholarships, graduate fellowships, and estimates for the Virginia Military Survivors and Dependents Stipend activity, Two–Year College Transfer Grants, and the Pell Initiative Grant program administered by the State Council of Higher Education for Virginia. This budget includes \$27.0 million in nongeneral fund Student Financial Assistance.

Given that appropriated resources are only a portion of the total student financial assistance program, the university provides the Board with an annual report on the total student financial assistance program each November. The November report includes Appropriated Student Financial Assistance, unfunded scholarships, codified waivers, private support (from the Virginia Tech Foundation), federal support, and third-party aid.

Private Funds

Beginning in FY26, to improve and streamline service to the campus community, the university will process expenditures previously paid by the Virginia Tech Foundation to support university programs. This enables the simplification of university procurement and accounts payable functions and will lead to efficiencies for purchasing departments as well as university and foundation business services teams. As a part of this new service, the university will recognize private revenues in the university budget as they are drawn from the VTF to reimburse those expenditures. The estimated budget for these activities in FY26 is \$150.0 million based on the historic trend of expenditure levels.

All Other Programs

The All Other Programs component is comprised of the Unique Military Activities appropriation, surplus property, federal work study program, and local funds. The annual budget for these funds is based on historical trends and projections of activity levels by program managers. These programs are funded by resources designated for specific purposes. For All Other Programs, the recommended budget is \$18.5 million, and reflects a \$0.5 million increase from the adjusted budget for FY25.

Planned Change in Reserves

Existing state requirements, along with the university's budgeting and financial management strategies, generally result in the establishment of breakeven budgets for the major budget components, with the exception of Auxiliary Enterprises. This practice will continue in FY26, where only the auxiliary budgets project an addition to the reserves as of June 30, 2026. The projected addition of \$16.9 million is the result of the intentional rebuilding of reserves in specific auxiliaries where expenditures in prior years created the need for restoring the reserves so that it may operate as a revolving fund. In other cases, the projected addition to reserves reflects the temporary positive impact of planning activities for new capital projects. The FY26 budget for Auxiliary Enterprises is also

designed to ensure that the reserve levels remain in compliance with bond covenants as well as SCHEV reserve targets.

Compensation Plan

The university plans to implement faculty and staff compensation programs for FY26 consistent with the outcome of the of the general assembly. The attached operating budget includes funding, consistent with traditional funding principles, for the following proposed employee compensation actions:

- 3.00 percent faculty compensation program.
 - In addition, the university will fund the Promotion and Tenure cost for those faculty approved for Promotion and Tenure increases.
- 3.00 percent stipend increase and \$107 stipend supplement increase for graduate assistants and increase the stipend floor minimum to \$2,800 per month, if approved by the Board of Visitors.
- 3.00 percent Classified Staff salary increase. Classified Staff are defined as staff members hired before July 1, 2006 who have not subsequently converted to the University Staff system.
- 3.00 percent University Staff compensation program.

Initiatives and Reinvestments

As previously reviewed, the university has a bold five-year plan for strategic investments focused on VT Advantage, Global Distinction, and Enabling Infrastructure. Strategic investments will be needed to realize the Beyond Boundaries vision. Incremental year-over-year investments based on major strategic priority area are outlined in Table 2, below.

Table 2 – University Plan for Strategic Investments				
\$ in millions	FY26	FY27	FY28	FY29
Virginia Tech Global Distinction	\$13.1	\$14.4	\$13.3	\$13.1
Virginia Tech Advantage (less) Governmental & Private Funding	7.6 (4.0)	8.0 (4.4)	8.1 (4.5)	8.2 (4.7)
Enabling Infrastructure	10.5	10.5	10.5	10.5
Total	\$27.2	\$28.5	\$27.4	\$27.1

The plan for funding these strategic investments will not be realized solely through incremental new revenue (state, private, institutional resources), but will require the university to make strategic internal reinvestments. Strategic reinvestments seek to avoid

reactionary responses and enable multi-year planning. By embracing a forward-looking approach, the university is fostering progressive solutions and facilitating long-term planning.

Reinvestment of existing institutional resources is needed to support a portion of the initiative vision over the 5-year planning period. The university continues to envision a \$25 million reallocation reinvestment program. For FY26, the university has identified reinvestments and DEI Resolution savings totaling \$10.7 million, comprised of \$5.2 million of university and unit-based reinvestments and \$5.5 million of DEI resolution savings. These reinvestments and savings will be aligned with strategic objectives that advance the university's strategic priorities of VT Global Distinction, Virginia Tech Advantage, and enabling infrastructure.

The university identified reinvestments and DEI resolution savings which reduce or eliminate activities, such as the capture of salary savings through targeted reorganizations, turnover, and vacancies, identified subscription cancellations, sunset programs, and implemented business process changes to facilitate the redeployment of those resources to advance Virginia Tech Global Distinction and the Virginia Tech Advantage program. Over the next year, the President's Council will continue working on opportunities to continue to consider how the university operates and to look for additional opportunities to free up existing resources that can be redirected in accordance with the university's strategic priorities.

Budget Allocations

The process of finalizing the FY26 operating budget allocations for the colleges and major operating units is currently underway. This process will be completed in June 2025 and issued to the university community by the Executive Vice President and Chief Operating Officer. The Office of Budget and Financial Planning will allocate these budgets to the colleges and vice-presidential areas in time for the departments to open the new fiscal year with the allocations in place in the university accounting system. The university develops the annual budget as a one-year quantification of the university's strategic plan. The strategic plan is the framework for enacting the university's mission.

Capital Outlay Projects

Virginia Tech's capital outlay program includes projects for the University Division and the Cooperative Extension/Agricultural Experiment Station Division. Initiation of a capital project requires authorization of a budget and funding sources from the state or the Board of Visitors.

The state appropriates projects supported entirely or partially with General Fund revenues. The university requests General Fund appropriations for new projects as part of the state capital budget cycle. If appropriated, these projects normally become effective and are added to the program at the beginning of a fiscal year.

Under the restructuring legislation and the 2006 Management Agreement between the commonwealth and the university, the Board of Visitors has the authority to authorize capital projects funded entirely with nongeneral fund resources. New projects approved by the Board of Visitors become effective upon approval of a university resolution and are reflected in the subsequent Financial Performance Report.

The university develops a financing plan to support the entire budget of each capital project prior to its initiation. Upon initiation, the whole project budget is entered into the accounting system. The revenues to support capital expenditure budgets are a mix of state support, university supported debt, and self-generated cash resources including private gifts. When projects have multiple sources of funding, the university generally utilizes the resources in the following order: state support, bond proceeds, and then cash. This order allows the most effective use of the university's nongeneral fund resources.

The typical project lifespan is three to five years. Cash flow models are used to predict the pace of spending by month for each project for its anticipated life. This analysis is then used to plan the timing to move resources to a project budget on an as needed basis. Under this approach, project resources are held in their most productive location for as long as possible to maximize earnings. This analysis is further used to optimize the timing for external debt issuances to manage exposure to the cost of capital and arbitrage spend down requirements.

Each active capital project is included on the Financial Performance Report for its entire fiscal life and until all its funds in the accounting system are terminated. A Project is removed from the Financial Performance Report at the end of the fiscal year it closes.

The portfolio of the capital outlay program for FY26 is comprised of 16 Educational and General projects and 3 Auxiliary Enterprise projects for a total of 19 projects with a total program budget of \$1.16 billion and an estimated annual budget of approximately \$147 million. This includes the following new funding items in the General Assembly budget: \$66.8 million supplement for Mitchell Hall (Replace Randolph Hall) project, \$24.2 million for Maintenance Reserve, and \$6.3 million for the Equipment for Workforce Development project.

Schedule 3 lists the projects by program and phase of progress. Each project is listed with the total project authorization by revenue source for FY26, annual budget for FY26, and estimated balance at the close of FY26. Capital project performance is measured against the total project budget authorization. The accuracy of annual budgets, and the cash flows models on which they are based, are generally most sensitive to projected construction start dates. For example, a large project that enters construction three months later than expected may underspend its annual budget by several million dollars for the fiscal year. Adjustments in spend pace do not impact the expected total budget, but rather the timing of planned expenditures.

RECOMMENDATION:

That the proposed FY26 operating budget and capital expenditure projections, as displayed on Schedules 1, 2, and 3, be approved.

June 3, 2025

**TOTAL OPERATING BUDGET FOR VIRGINIA TECH
FY26**

(Dollars in Thousands)

	FY25 Original Budget	FY25 Adjusted Budget	FY26 Recommended Budget
<u>Revenues</u>			
Educational and General			
University Division			
General Fund	\$288,479	\$294,023	\$304,458
Tuition and Fees	736,209	733,609	763,598
All Other Income	59,850	62,519	58,125
Subtotal	<u>\$1,084,539</u>	<u>\$1,090,152</u>	<u>\$1,126,181</u>
CE/AES Division			
General Fund	\$92,942	\$92,847	\$95,750
Federal Funds	15,647	17,761	15,647
All Other Income	1,427	1,602	1,639
Subtotal	<u>\$110,015</u>	<u>\$112,209</u>	<u>\$113,036</u>
Total Educational and General	<u>\$1,194,554</u>	<u>\$1,202,361</u>	<u>\$1,239,217</u>
Auxiliary Enterprises			
Auxiliary Fees	\$93,175	\$93,649	\$101,397
Auxiliary User Charges (Room & Board)	151,747	154,011	160,982
Auxiliary Sales and Services	235,462	244,086	259,827
Subtotal	<u>\$480,384</u>	<u>\$491,746</u>	<u>\$522,206</u>
Financial Assistance for E&G Programs (a)			
General Fund	\$26,389	\$26,389	\$20,389
Nongeneral Fund	\$483,690	498,690	458,750
Subtotal	<u>\$510,079</u>	<u>\$525,079</u>	<u>\$479,138</u>
Appropriated Student Financial Assistance			
General Fund	\$39,261	\$39,940	\$40,629
Nongeneral Fund	24,076	25,269	26,954
Subtotal	<u>\$63,337</u>	<u>\$65,209</u>	<u>\$67,583</u>
Private Funds	\$0	\$0	\$149,952
All Other Programs (b)			
General Fund (UMA)	\$3,649	\$3,649	\$3,649
Nongeneral Fund	14,562	14,369	14,847
Subtotal	<u>\$18,211</u>	<u>\$18,018</u>	<u>\$18,496</u>
Total	<u>\$2,266,565</u>	<u>\$2,302,413</u>	<u>\$2,476,592</u>
<u>Expenses</u>			
Educational and General			
University Division	\$1,084,539	\$1,090,152	\$1,126,181
CE/AES Division	110,015	112,209	113,036
Subtotal	<u>\$1,194,554</u>	<u>\$1,202,361</u>	<u>\$1,239,217</u>
Auxiliary Enterprises	459,984	495,305	505,312
Financial Assistance for E&G Programs (a)	510,079	525,079	479,138
Appropriated Student Financial Assistance	63,337	65,209	67,583
Private Funds (b)	0	0	149,952
All Other Programs (c)	18,211	19,765	18,496
Total	<u>\$2,246,165</u>	<u>\$2,307,719</u>	<u>\$2,459,698</u>
<u>Planned Change in Reserve</u>			
Reserve Drawdown/(Deposit) (d)	-\$20,400	\$5,306	-\$16,894
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>

(a) Financial Assistance for E&G Programs includes Sponsored Programs and General Fund Research Initiative.

(b) University Private Funds expenditures are accumulated in local funds and reimbursed by the Virginia Tech Foundation. This is not a complete summary of all private activities.

(c) All Other Programs include Unique Military Activities, Surplus Property, Local Funds, and Federal Work Study.

(d) Reserve contributions are based on the budget plans of Auxiliary Enterprise and All Other Program units.

Presentation Date: June 3, 2025

TOTAL OPERATING BUDGETS FOR AUXILIARY ENTERPRISES
FY26
(Dollars in Thousands)

	FY25 Original Budget	FY25 Adjusted Budget	FY26 Recommended Budget
Residence and Dining Hall System*			
Revenues	\$184,819	\$182,289	\$188,533
Expenses	-179,256	-183,297	-183,864
Reserve Drawdown/(Addition)	-5,563	1,008	-4,669
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Parking and Transportation			
Revenues	\$26,078	\$27,828	\$28,139
Expenses	-23,789	-24,917	-25,851
Reserve Drawdown/(Addition)	-2,289	-2,911	-2,288
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Telecommunications Services			
Revenues	\$23,347	\$23,587	\$25,057
Expenses	-22,557	-26,206	-24,906
Reserve Drawdown/(Addition)	-790	2,619	-151
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
University Services System*			
Revenues	\$69,450	\$69,450	\$66,740
Expenses	-68,664	-74,041	-65,353
Reserve Drawdown/(Addition)	-786	4,591	-1,387
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Intercollegiate Athletics System*			
Revenues	\$101,540	\$110,820	\$127,160
Expenses	-96,923	-111,338	-125,160
Reserve Drawdown/(Addition)	-4,617	518	-2,000
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Electric Service System*			
Revenues	\$48,576	\$49,415	\$54,899
Expenses	-46,410	-49,096	-52,724
Reserve Drawdown/(Addition)	-2,166	-319	-2,175
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Inn at Virginia Tech and Skelton Conference Center			
Revenues	\$14,171	\$14,171	\$14,752
Expenses	-12,788	-14,276	-13,020
Reserve Drawdown/(Addition)	-1,383	105	-1,732
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Other Enterprise Functions			
Revenues	\$12,403	\$14,186	\$16,926
Expenses	-9,597	-12,134	-14,434
Reserve Drawdown/(Addition)	-2,806	-2,052	-2,492
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
TOTAL			
Revenues	\$480,384	\$491,746	\$522,206
Expenses	-459,984	-495,305	-505,312
Reserve Drawdown/(Addition)	-20,400	3,559	-16,894
Net	<u><u>\$0</u></u>	<u><u>\$0</u></u>	<u><u>\$0</u></u>

* University Systems include the Dormitory and Dining Hall System, Electric Service Utility System, University Services System, and Athletic Facilities System. The University Services System includes Health Services, Student Engagement & Campus Life, Cultural & Community Centers, Recreational Sports, Center for the Arts, Student Organizations and VT Rescue Squad.

Presentation Date: June 3, 2025

EDUCATIONAL AND GENERAL CAPITAL PROJECT AUTHORIZATIONS FOR FISCAL YEAR 2026

(Dollars in Thousands)
as of March 31, 2025

		TOTAL PROJECT AUTHORIZATION				ESTIMATED TOTAL EXPENSES June 30, 2025	ESTIMATED BALANCE AVAILABLE FOR FY2026	ESTIMATED ANNUAL BUDGET FY2026	ESTIMATED BALANCE AT CLOSE OF FY2026
	PROJECT INITIATED	STATE SUPPORT	NONGENERAL FUND	AGENCY DEBT	TOTAL				
<u>Design Phase</u>									
Expand VT-C SOM & Fralin Biomedical Research Institute	Sept 2023	\$ -	\$ 9,000	\$ -	\$ 9,000	\$ 3,864	\$ 5,136	\$ 4,000	\$ 1,136
Improve Center Woods Complex	Nov 2023	14,404	296	-	14,700	1,659	13,041	3,000	10,041
Improve Campus Accessibility	Jul 2024	8,000	-	-	8,000	257	7,743	1,500	6,243
Planning: CVM Teaching Hospital Renovation & Expansion	Aug 2024	-	4,300	-	4,300	705	3,595	1,600	1,995
Planning: Improvements to Eastern Shore AREC	Sept 2024	1,515	-	-	1,515	320	1,195	700	495
Planning: Repair Derring Hall Envelope	Oct 2024	1,624	-	-	1,624	126	1,498	700	798
Planning: Rescue Squad Facility	Nov 2024	-	2,000	-	2,000	297	1,703	800	903
<u>Construction Phase</u>									
Maintenance Reserve	On-going	44,801	-	-	44,801	17,200	27,601	24,841	2,760
New Business Building	Apr 2022	-	56,500	37,500	94,000	7,796	86,204	19,000	67,204
Livestock & Poultry Research Facilities, Phase I	Oct 2016	31,764	-	-	31,764	30,886	878	878	-
Building Envelope Improvements	Aug 2022	-	13,580	33,620	47,200	7,835	39,365	9,100	30,265
Life, Health, Safety, Accessibility, & Code Compliance	Jul 2020	10,400	-	-	10,400	8,901	1,499	1,499	-
Mitchell Hall (Replace Randolph Hall)	Jul 2020	319,853	39,228	-	359,081	38,246	320,835	35,000	285,835
<u>Equipment and Special Initiatives</u>									
Equipment for Workforce Development	May 2021	48,725	-	-	48,725	17,944	30,781	5,000	25,781
<u>Close-Out</u>									
Undergraduate Science Laboratory Building	Jul 2017	90,412	-	-	90,412	86,200	4,212	4,212	-
Innovation Campus - Academic Building	Jul 2019	177,164	80,336	44,636	302,136	277,925	24,211	19,211	5,000
TOTAL EDUCATIONAL AND GENERAL PROJECTS		\$ 748,661	\$ 205,240	\$ 115,756	\$ 1,069,658	\$ 500,161	\$ 569,497	\$ 131,041	\$ 438,456

AUXILIARY ENTERPRISE CAPITAL PROJECT AUTHORIZATIONS FOR FISCAL YEAR 2026

(Dollars in Thousands)
as of March 31, 2025

	PROJECT INITIATED	TOTAL PROJECT AUTHORIZATION				ESTIMATED TOTAL EXPENSES June 30, 2025	ESTIMATED BALANCE AVAILABLE FOR FY2026	ESTIMATED ANNUAL BUDGET FY2026	ESTIMATED BALANCE AT CLOSE OF FY2026
		STATE SUPPORT	NONGENERAL FUND	AGENCY DEBT	TOTAL				
<u>Design Phase</u>									
<u>Construction Phase</u>									
Maintenance Reserve	On-going	-	\$ 14,500	-	\$ 14,500	-	14,500	14,500	-
<u>Close-Out</u>									
Student Wellness Improvements	Jun 2016	-	25,574	44,426	70,000	69,915	85	85	-
Football Locker Room Renovations	Jun 2023	-	5,900	-	5,900	4,622	1,278	1,278	-
Total Auxiliary Enterprise Projects		\$ -	\$ 45,974	\$ 44,426	\$ 90,400	\$ 74,537	\$ 15,863	\$ 15,863	\$ -
GRAND TOTAL ALL CAPITAL PROJECTS		<u>\$ 748,661</u>	<u>\$ 251,214</u>	<u>\$ 160,182</u>	<u>\$ 1,160,058</u>	<u>\$ 574,698</u>	<u>\$ 585,360</u>	<u>\$ 146,904</u>	<u>\$ 438,456</u>

2025-26 Faculty Compensation Plan

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

April 15, 2025

As the university develops the annual Faculty Compensation Plan, it continues to use historical guidance provided by the commonwealth¹ and the university's Faculty Handbook. This faculty compensation plan defines the qualification criteria for faculty, provides guidance on the compensation process for faculty, and requires Board of Visitors' approval.

The university's 2025-26 Faculty Compensation Plan covers:

1. the 2025-26 pay structure;
2. the promotion and tenure process;
3. the annual evaluation and salary adjustment process for teaching and research faculty (T&R) and administrative/professional (A/P) faculty; and
4. salary adjustments within the evaluation period.

This faculty compensation plan is only for faculty positions. The compensation plan for staff is administered separately by the university administration in accordance with the Board of Visitors' approval of the university's Management Agreement, effective July 1, 2006, as well as guidance from the commonwealth and the state's Department of Human Resource Management.

Virginia Tech Salary Average and Benchmark Ranking for T&R Faculty

For strategic planning purposes, the university has established a metric goal of reaching the 50th percentile of the Top 20 Land Grant universities in the nation as ranked by the Wall Street Journal/Times Higher Education World University Rankings. The university's actual salary average as compared to the Top 20 Land Grant group can be seen in the table below. The university's competitive positioning among this group for Fall 2024 will be computed once the Integrated Postsecondary Education Data System (IPEDS) data becomes available.

	Fall 2023	Fall 2024*	Change
<u>Top 20 Land Grant Group</u>			
50 th percentile (excl. VT)	\$125,271	N/A	-
VT Average Salary	\$123,858	\$127,397	2.86%
VT Rank	11 of 20	N/A	-
VT Percentile	48 th	N/A	-

**IPEDS peer salary data for Fall 2024 is not yet available.*

¹ Secretary of Education, *Consolidated Salary Authorization for Faculty Positions in Institutions of Higher Education*, September 7, 2001.

Attachment A provides a list of the university's peer group and the comparative salary averages for Fall 2023.

Although peer salary data is not yet available for Fall 2024, Virginia Tech's salary average was \$127,397. This overall average was 2.86% more than the Fall 2023 salary average. Within this overall average:

- **Continuing faculty:** 1,848 T&R faculty were a part of both the Fall 2023 and Fall 2024 averages and had an average salary of \$129,437, an increase of 4.0% over the prior year.
- **Departing faculty:** 183 T&R faculty who were a part of the Fall 2023 average did not subsequently appear in the Fall 2024 average and had an average salary of \$117,836.
- **New faculty:** 222 T&R faculty were a part of the Fall 2024 average who were not included in the Fall 2023 average and had an average salary of \$110,421.

2025-26 Faculty Pay Structure

Consistent with traditional commonwealth guidance, a pay structure for T&R faculty for 2025-26 is presented in Attachment B. This plan is derived from the 2024-25 approved plan and incorporates the estimated impact of the planned merit program on entrance rates for 2025-26. The attachment also displays the normal entrance rate for each faculty category along with the change from the approved compensation rate for each rank, along with the distribution of faculty across the ranks. T&R faculty entering salaries will vary based on faculty discipline.

Promotion, Tenure, and Continued Appointment

Promotion to a higher rank and appointment with tenure may be granted to faculty members on a regular faculty appointment who have demonstrated outstanding accomplishments in an appropriate combination of learning, discovery, and engagement. A current curriculum vitae together with student and peer evaluations of teaching, reprints of publications, evaluations by external reviewers from the same or a related field, and other similar documents comprise a dossier which furnishes the principal basis for promotion and tenure decisions. Faculty members being considered for either promotion or the awarding of tenure will have their dossiers reviewed **at three levels:**

- by a departmental/school committee and the head, chair, or school director;
- by a college committee and the dean; and
- by a university committee and the Provost.

Each candidate for promotion or tenure will be evaluated in the following areas: teaching, scholarship, and service. Although not all candidates are 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.

Because of the university's mission and commitment as a major research institution, successful candidates for the rank of professor must demonstrate excellence in research, scholarship, or creative achievement, as appropriate for the candidate's discipline and assignment. Promotion to the rank of professor is contingent upon national or international recognition as an outstanding scholar and educator.

In addition to the rank promotions within the faculty categories described below, faculty may be promoted to ranks within other faculty categories, as appropriate (for example, an Instructor may be promoted to a rank within the Professor of Practice or Collegiate Faculty categories).

The Faculty Handbook provides detailed policies and procedures for the departmental evaluation, the college evaluation, and the university evaluation.

Members of the Library faculty not holding appointments in a collegiate department may be considered for continued appointment or for promotion in faculty rank in recognition of appropriate professional accomplishments. Candidates for promotion or continued appointment will be reviewed at two levels: first by the University Libraries continued appointment committee and Dean of University Libraries, and second by the University Promotion and Continued Appointment Committee and the Provost.

The following raises are recommended for promotions to:

Professor	\$10,000
Associate Professor	7,000
Assistant Professor	5,000

For academic-year faculty members who have Research Extended Appointments (10-, 11-, or 12-month appointments funded by sponsored projects) with salaries adjusted in accordance with formulas in Policy 6200 – Policy on Research Extended Appointments, or for those who have a limited-term appointment as department head or other administrator, the stipend is adjusted by the same conversion rate to preserve its value when the faculty member returns to the academic-year base appointment.

Clinical Faculty

The clinical faculty track provides for long-term, full-time or part-time faculty appointments to individuals whose primary responsibilities are instruction and/or service in a clinical setting, such as veterinary medicine. Tenure cannot be earned in these ranks, and time spent in one of these ranks is not applicable toward probationary tenure-track faculty service. There are four non-tenure-track clinical ranks beginning with Clinical Instructor. Those clinical faculty members with outstanding performance may be considered for

promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

The following raises are recommended for promotions to:

Clinical Professor	\$10,000
Clinical Associate Professor	7,000
Clinical Assistant Professor	5,000

Collegiate Faculty

The collegiate professor series provides for short- or long-term, full- or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. There are three non-tenure-track collegiate professor ranks, beginning with Collegiate Assistant Professor. Tenure will not be awarded at any of these ranks and service at these ranks is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position. Collegiate faculty members with a record of significant scholarly and/or professional achievement may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

Collegiate Professor	\$10,000
Collegiate Associate Professor	7,000
Collegiate Assistant Professor	5,000

Professor of Practice

The professor of practice series provides for short- or long-term, full- or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. There are three non-tenure-track professor of practice ranks, beginning with Assistant Professor of Practice. Tenure will not be awarded at any of these ranks and all service at one of these ranks will be excluded from the probationary period should the faculty member later be appointed to a tenure-track position. Professor of practice faculty members with a record of outstanding performance may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

Professor of Practice	\$10,000
Associate Professor of Practice	7,000
Assistant Professor of Practice	5,000

Instructors

The instructor track provides for full- and part-time appointments to individuals whose primary responsibilities are to the undergraduate instructional program. Tenure will not be awarded at any of these ranks and all service at any instructor rank will be excluded from the probationary period should the faculty member later be appointed to a tenure track position. There are three ranks in the series: Instructor, Advanced Instructor, and Senior Instructor. Those faculty members with outstanding performance may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

The following raises are recommended for promotions to:

Senior Instructor	\$7,000
Advanced Instructor	5,000

Extension Agents

There are three ranks for extension agents: Associate Extension Agent, Extension Agent, and Senior Extension Agent. Criteria for promotion in rank include educational preparation, performance, and professionalism. The Director of Cooperative Extension makes a recommendation to the Provost based on an evaluation of the candidate's dossier and recommendations of the Peer Review Committees, District Director, and Associate Directors of Cooperative Extension.

The following raises are recommended for promotions within Cooperative Extension:

Senior Extension Agent	\$7,000
Extension Agent	5,000

Extension Specialists

There are three ranks for extension specialists: Associate Extension Specialist, Extension Specialist, and Senior Extension Specialist. Extension faculty may or may not hold an appointment in an academic college. They are, nonetheless, subject to high professional standards in the dissemination of knowledge through the Virginia Cooperative Extension programs and in the planning and delivery of educational programs and programs of assistance to industries and local governmental agencies. Recommendations for promotion in rank are made to the Provost based on an evaluation of the candidate's dossier and recommendations of the Promotion Review Committee and Department Head and/or District Director.

The following raises are recommended for promotions to:

Senior Extension Specialist	\$7,000
Extension Specialist	5,000

Virginia Tech Carilion School of Medicine Faculty

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

Virginia Tech Carilion School of Medicine faculty employed by Virginia Tech will be classified into one of the previous categories (tenure track, clinical, collegiate, professor of practice, or instructor) or as administrative and professional (A/P) faculty.

Virginia Tech Carilion School of Medicine faculty employed by Carilion Clinic may be granted tenure-to-title at the discretion of the school without any right to, interest in, or expectation of any compensation or guarantee for compensation or future employment. Tenure-to-title is recognition of a faculty member's significant accomplishments in teaching, clinical care (if relevant), scholarship, and service to the school.

The tenure-to-title and/or promotion in rank dossier is reviewed at three levels: (1) by an appropriately charged departmental committee and the department head or chair, (2) by an appropriately charged college-level committee and the dean, (3) and by the Provost. The department head or chair and dean make separate recommendations to the subsequent review levels. The Provost reviews college and dean recommendations and makes recommendations to the President. The Board of Visitors grants final approval.

Annual Evaluation and Salary Adjustments

Teaching and Research Faculty

An evaluation of every faculty member's professional performance is held each year. All persons holding non-temporary faculty appointments are asked to prepare a report at the end of each calendar year citing their instructional activities, research and creative scholarship, and other professional activities and recognitions during the year. Salary recommendations are based upon performance documented in these annual reports, which are reviewed by departmental personnel committees in some cases, by the department head or chair, and the dean.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the department head or chair and are reviewed by the dean. The dean then provides the salary adjustment recommendations for review by university leadership prior to submission to the President or designee.

Administrative/Professional Faculty

The Administrative/Professional Faculty are comprised of executive and senior administrators and as Professional faculty. Executive or senior Administrators perform work directly related to management of the educational and general (E&G) activities of the institution at least 50 percent or more of their contractual time, and typically serve in executive leadership roles such as vice provost, vice president, dean, director, and assistant or associate vice president or dean. Professional A/P faculty typically have responsibility for supervision and evaluation of a significant number of university staff and/or other 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. Professional faculty regularly exercise discretion and judgment on matters of significance and take initiative in conducting their primary roles and assignments. Professional faculty include, but are not limited to, Extension faculty, librarians (not on continued appointment-track appointment), coaches, physicians, lawyers, engineers, architects, student or academic affairs professionals, development officers, public relations, human resources, or information technology, and financial specialists.

Evaluations are based upon standards set by the supervisor with the participation of the faculty member and relate closely to the duties inherent in the functional title and job description of the position. Annually set expectations become one of the important criteria for judging professional job performance in the subsequent year. In addition to maintaining a high level of performance in carrying out their job-related duties and responsibilities, executive and senior administrators, and professional faculty, are expected to participate in and provide leadership of departmental, divisional, or university-wide committees, special university-wide assignments, or similar activity on behalf of important university priorities.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the supervisor and are reviewed as appropriate by the department head, dean, and vice president. The dean or vice president provides salary adjustment recommendations for approval by university leadership prior to being considered by the President or designee.

Research Faculty

Research faculty are those with the titles of research associate, senior research associate, postdoctoral associate, research scientist, senior research scientist, research assistant professor, research associate professor, research professor, project associate, senior project associate, or project director. Research faculty appointments are intended to promote and expedite the research activities of the university. Tenure cannot be earned in these ranks and service is not applicable toward probationary faculty service.

Each research faculty member is evaluated and given a merit adjustment on the same schedule for evaluations and raise recommendations as the other faculty groups. Salary adjustments are based on merit; they are not automatic. An annual performance review by the principal investigator and/or department head becomes part of the basis for salary adjustments. Recommendations for salary adjustments originate with the supervisor (usually the principal investigator or the department head or chair) and are reviewed, as appropriate, by the department head or chair, dean, and vice president for research and innovation. At the university level, the dean or vice president reviews the salary adjustment with university leadership prior to being considered by the President or designee.

Other Salary Adjustments

Faculty salary adjustments are normally reviewed and approved in two phases: adjustments for promotion are recommended at the June meeting and compensation programs are planned in the university budget process and in compensation plans developed in congruence with any applicable state compensation program.

In addition to this process, it is sometimes necessary to adjust the salaries of specific faculty members at other times during the fiscal year. These adjustments are primarily for changes in duties and responsibilities, special temporary assignments, retention or other exceptional needs, and faculty selected for a different position as part of a search. Adjustments on the anniversary date of appointment for a restricted faculty member may also be approved in lieu of the normal merit process.

To recognize continued educational attainment, faculty members may receive a base salary adjustment of up to \$3,000 for completion of a graduate degree effective upon official certification by the degree-granting institution that all requirements have been met for award of the degree.

By a separate resolution, the Board has delegated authority to the President, or designee for various employment and salary adjustments. The President, Provost, and Chief Operating Officer are authorized to administer the faculty compensation plan during the year and act upon requests for salary adjustments. The President has issued a set of guidelines establishing the parameters for approval of special salary adjustments. The quarterly Personnel Changes Report will reflect those actions of strategic importance to the institution not otherwise delegated through separate resolution.

Faculty Research Incentive Plan

During 2011-12, a university workgroup developed a university savings program by incentivizing faculty research activities. This effort resulted in the Board's creation of a Faculty Research Incentive Program (FRIP) that has similarities to programs at peer institutions. This plan was implemented in 2012-13 and will be continued in 2025-26.

The goal of the FRIP is to provide an incentive for principal or co-principal investigators to secure additional competitively awarded, externally sponsored activities. Through the leveraging of appropriately charged time to competitive grants and contracts, research time that is funded by departments or colleges can be reduced, resulting in salary savings that can be used to both support the incentive program as well as to support academic initiatives.

One-time research incentive payments are made from department or college salary savings and are based on a minimum savings threshold that is applied equitably within departments or colleges. Faculty must apply in advance to be considered for the program. Research incentive payments must be approved by the department head or chair, the dean, and the vice president for research and innovation (or the appropriate administrators based on reporting structure); all disapprovals must also be reviewed by each management level. When salary savings result in a reduction in faculty assignments, those salary savings are excluded from the program.

Update on 2024-25 Faculty Compensation Plan

Consistent with the biennial budget approved by the Governor and General Assembly, the Board of Visitors approves an average three-percent faculty merit increase for teaching, research, administrative and professional faculty, effective on the July 1, 2025 paycheck, with salary increases being implemented differentially based on individual performance. The President, or designee, shall implement the results of the merit program within the parameters specified in the final state Appropriation Act and the university's Faculty Compensation Plan. A summary of the results of this process will be shared with the Board at its next regularly scheduled meeting following full implementation of the plan.

Other 2025-26 Compensation Actions

To maintain and improve upon the university's standing relative to the 50th percentile of the Top 20 Land Grant peers, the higher levels of competing offers offered to key faculty, and to minimize the high cost of turnover, the university will continue to explore opportunities to improve the competitiveness of Virginia Tech faculty compensation.

In addition to the merit program outlined previously, the university may also elect to create a supplemental pool to achieve certain targeted salary compensation or retention needs. For example, in some years the university has worked to address issues such as salary compression and equity needs. For 2025-26, such changes may result from one or more of the following processes:

- The university establishes a special pool of funds to address salary for faculty who have achieved national distinction in their field. The funding will only be used to make adjustments based on evaluations of specific circumstances surrounding individual faculty members. As such, these adjustments would not be available to all faculty

members and may occur at any time during the year, subject to approval by the President or designee.

- The President may use a special pool of funds to adjust individual salary recommendations made by the vice presidents and deans when he determines that a different adjustment is warranted.

RECOMMENDATION:

That the proposed 2025-26 Faculty Compensation Plan be approved.

June 3, 2025

VIRGINIA TECH

T&R Faculty Peer Salary Benchmarking

Fall 2023

Top 20 Land Grants Ranked in THE 2024 World Ranking*

<u>Institution</u>	<u>Average T&R Salary ⁽¹⁾</u>	<u>Rank</u>
University of California-Davis	\$159,262	1
University of Maryland-College Park	146,257	2
University of Wisconsin-Madison	137,012	3
Texas A & M University-College Station	128,705	4
University of Connecticut	128,387	5
Rutgers University-New Brunswick	127,887	6
University of Illinois at Urbana-Champaign	127,603	7
Purdue University-Main Campus	127,372	8
Ohio State University-Main Campus	126,543	9
University of Hawaii-Manoa	125,271	10
Virginia Tech	123,858	11
University of Massachusetts-Amherst	122,464	12
University of Minnesota-Twin Cities	120,066	13
Michigan State University	119,896	14
University of Florida	116,472	15
University of Tennessee-Knoxville	114,059	16
Pennsylvania State University-Main Campus	113,027	17
North Carolina State University	112,917	18
University of Arizona	109,879	19
Washington State University	97,965	20

Virginia Tech Actual Salary Average Percentile

48th

(1) Average salary of peer institutions is based on the latest available data (Fall 2023) from IPEDS

*Excludes University of California-Berkeley and Cornell University

2025-26 T&R Faculty Proposed Pay Structure

Virginia Tech

	Minimum Entering Salary for 9-Month T&R Faculty		Minimum Entering Salary for 12-Month T&R Faculty		Distribution of Faculty by Rank
	Entrance	Change	Entrance	Change	
Professor	\$112,893	3.0%	\$137,689	3.0%	29%
Associate Professor	86,344	3.0%	104,625	3.0%	29%
Assistant Professor	71,428	3.0%	86,883	3.0%	29%
Senior Instructor	61,261	3.0%	79,711	3.0%	2%
Advanced Instructor	54,618	3.0%	70,856	3.0%	2%
Instructor	50,060	3.0%	65,133	3.0%	9%

2025-26 Compensation for Graduate Assistants

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

May 15, 2025

Background

Graduate students who serve as graduate assistants while pursuing their master's or doctoral degrees provide valuable contributions to the university. Many teach undergraduate classes while others support faculty in scholarly and sponsored research activities. To be competitive in the recruitment and retention of high-quality graduate students, it is important that the university provide compensation packages that are comparable to those offered by peer institutions. The key components of the total compensation package are a stipend, stipend supplement, tuition assistance, and health insurance benefit.

Graduate Stipends

Across the campus, graduate assistants have a variety of responsibilities. To recognize the differences in services performed by these students, the university created a stipend scale that defines ranges of stipend amounts, providing academic and support units flexibility in compensating graduate assistants. The levels within the stipend table have been adjusted over the years to remain competitive.

To respond to increasing competition for quality graduate students among peer institutions, the university took several actions beginning in the Fall 2023 to put Virginia Tech in a competitive position relative to peers. The result of those actions was the adoption of a graduate stipend scale with 50 pay ranges (Attachment). These ranges provide flexibility in situations where a defined level of resources does not exactly match one of the existing steps and allow for an actual stipend to be established within the range of a step.

In an effort to increase minimum stipend levels, starting in 2023-24, the university restricted steps 1-11 to be used only in instances where a student was receiving a fellowship that in combination with a graduate stipend in that range would result in a total of at least the minimum stipend level of \$2,420 for Step 12. For 2024-25, the university further raised the minimum to \$2,682 for Step 14, with steps 1-13 reserved for stipend and fellowship combinations that result in total monthly support of at least the new minimum.

Graduate Stipend Supplement

In 2011-12, an academic year supplement was added to the graduate stipend scale to help offset university assigned costs such as the Health Services fee. As a result, the graduate assistantship stipend is currently comprised of two components: 1) a base stipend and 2) a fixed supplement. For administrative efficiency and processing, the two components are combined into the traditional stipend scale. As of Spring 2025, the current average monthly stipend for full-time graduate assistants is \$2,860 per month, which falls within step 17 of the 2024-25 stipend scale. This represents a 5.4 percent increase over the prior year.

Tuition Assistance

The tuition remission program for graduate students on assistantship includes the remission of tuition, mandatory Educational and General (E&G) fees (excluding the state assigned Commonwealth Capital and Equipment Fee), and non-executive graduate program fees. Tuition remission benefits are provided on a per-semester basis for the duration of the contracted period. The tuition program is financed by four sources including: the General Fund appropriation for graduate student financial assistance, a tuition remission program in the university's E&G budget, tuition payments planned in the budgets of externally sponsored grants and contracts, and private funds.

In the case of an early termination of an assistantship, tuition remission benefits are prorated to align with the portion of the semester completed, as displayed on Table 1.

Table 1

Number of Weeks into Semester When Assistantship is Terminated	Student Tuition & E&G Fee Obligation	Department Tuition & E&G Fee Obligation
Less than Four	100%	0%
Four through less than Eight	75%	25%
Eight through less than Twelve	50%	50%
Twelve through less than Sixteen	25%	75%
Sixteen or more (full semester)	0%	100%

Health Insurance

In 2001-02, the university implemented a health insurance program for graduate students on assistantship as a part of the Board-approved graduate student compensation package to enhance the university's competitiveness in recruiting highly qualified graduate students. The program was designed to help full-time graduate students receiving a full or partial assistantship, including graduate research assistants, graduate teaching assistants, and other graduate assistants, offset a portion of the cost of health insurance premiums. The university has worked with graduate student representatives over time to improve the overall mix and value of benefits provided through the health insurance program, including action by the Board of Visitors in 2018-19 to approve a health insurance subsidy rate of 88 percent for graduate assistants, matching the university's share of employee health insurance programs.

To qualify for the health insurance subsidy, full-time graduate students must have a 50 percent or greater appointment. Graduate students also have the option to decline coverage if they choose. In 2024-25 the university provided 88 percent of the \$3,773 annual premium cost of the plan to 3,870 graduate students. The plan provided for a \$450 in-network annual deductible, \$6,250 per-person out-of-pocket maximum, \$25 co-pay for in-network doctors' visits, and an unlimited maximum benefit. Students can obtain optional dental benefits for an additional cost.

Recent Events

Because the university desires to ensure a competitive compensation package, the Provost and Dean of the Graduate School, at the behest of the President, convened a task force to develop proposals for improving graduate student compensation. In February 2023, this group released its *Report of the Graduate Assistantship Support Task Force* with eight recommendations designed to help graduate assistants meet the cost of living where they reside and complete their academic programs.

Based on this work, the board approved raising the minimum stipend from Step 1 to Step 12 for 2023-24, and raised the minimum stipend to Step 14 for 2024-25. Lower steps were reserved for stipend and fellowship combinations that resulted in total monthly support of at least the new minimum.

For 2025-26, the university recommends streamlining the graduate assistant compensation program by reducing the graduate assistantship stipend scale from 50 pay ranges to 11 pay ranges. (Attachment). Step 0 will be used for instances where a student receives a fellowship that, in combination with a graduate stipend, results in a total of at least the minimum Step 1 stipend level.

Proposed Graduate Assistant Compensation Plan for 2025-26

The university proposes the following actions:

- Streamline the graduate assistant compensation program from 50 pay ranges to 11 pay ranges.
 - Step 0 will be used for instances where a student receives a fellowship that, in combination with a graduate stipend, results in a total of at least the minimum Step 1 stipend level.
- Advance the stipend scale for 2025-26 by implementing a 3.0 percent increase effective August 10, 2025, consistent with the statewide employee compensation program.
- Increase the academic year Stipend Supplement from \$458 to \$565, an increase of \$107, to help mitigate university assigned costs.
- Increase the stipend table minimum to \$2,800.
- Continue the university share of the graduate assistant health insurance coverage at 88 percent, based upon the university's current estimate the cost of graduate student insurance coverage.
- Continue the graduate tuition remission program.

RECOMMENDATION

That the graduate assistant compensation program for 2025-26 be approved.

June 3, 2025

2025-26 Full-Time Graduate Monthly Stipend Compensation
Effective August 10, 2025

Step	Monthly		9 Month Equivalent		12 Month Equivalent	
Step 0 ^(a)	\$1,248	\$2,799	\$11,232	\$25,191	\$14,976	\$33,588
Step 1	2,800	2,937	25,200	26,433	33,600	35,244
Step 2	2,912	3,055	26,208	27,495	34,944	36,660
Step 3	3,057	3,207	27,513	28,863	36,684	38,484
Step 4	3,209	3,368	28,881	30,312	38,508	40,416
Step 5	3,370	3,535	30,330	31,815	40,440	42,420
Step 6	3,537	3,712	31,833	33,408	42,444	44,544
Step 7	3,714	3,898	33,426	35,082	44,568	46,776
Step 8	3,899	4,091	35,091	36,819	46,788	49,092
Step 9	4,093	4,295	36,837	38,655	49,116	51,540
Step 10	4,297	4,509	38,673	40,581	51,564	54,108
Step 11 ^(a)	4,511	5,393	40,599	48,537	54,132	64,716

Notes

(a) Step 0 requires supplemental fellowship. Total stipend and fellowship must exceed minimum of Step 1.

(b) Step 11 is considered extraordinary and subject to approval by the Dean of Graduate Education.

Open Session
GOVERNANCE AND ADMINISTRATION COMMITTEE
NCB, RM 260
June 2, 2025
11:30 am

Agenda Item

Reporting Responsibility

- | | |
|--|-----------------------------|
| 1. Welcome and Opening Remarks | Sandy Davis |
| 2. Consent Agenda | Sandy Davis |
| a. Minutes of November 18, 2024, Meeting | |
| b. Resolution to Affirm Board Policies on Electronic Meetings* | |
| 3. EVPCOO Remarks | Amy Sebring |
| 4. IT Strategic Plan [#] | Sharon Pitt
Kyle Johnson |
| 5. Results of the Board Self-Assessment | Kim O'Rourke |
| 6. Future Agenda Items | Sandy Davis |

*Requires Full Board Approval

[#] Enterprise Risk Topic

⁺ Strategic Investment Priority

Briefing Report

GOVERNANCE AND ADMINISTRATION COMMITTEE

June 2, 2025

OPEN SESSION

1. **Welcome and Opening Remarks.** Sandy Davis, Chair of the Governance and Administration Committee, will welcome committee members, guests, and invited participants.
2. **Consent Agenda.** The committee will review for approval the items listed on the consent agenda.
 - a. **Minutes of November 18, 2024, Meeting.** The committee will review and approve the minutes of the November 18, 2024, meeting.
 - b. **Resolution to Affirm Board Policies on Electronic Meetings.** The committee will review and affirm the board's policy on electronic meetings. Outlined in Article I, Sections 3a (Electronic "All -Virtual" Meetings) and 3b (Remote Participation by Individual Board Members) of the Board's Bylaws, the policy was previously adopted on August 28, 2024.
3. **EVPCOO Remarks.** Executive Vice President and Chief Information Officer, Amy Sebring, will update the committee on matters of University Operations.
4. **IT Strategic Plan.** The committee will receive an overview of the IT Strategic Plan from Vice President of Information Technology and Chief Information Officer, Sharon Pitt, and Assistant Vice President for IT Governance Planning and Strategy, Kyle Johnson. The IT Strategic Plan is a university-wide initiative developed with broad stakeholder input that forwards the strategic plan of Virginia Tech by defining needs for enabling IT infrastructure. It is designed to be a living document that is flexible and responsive to evolving needs and aspirations. The plan supports Virginia Tech's mission in teaching, research, outreach, and operations. Strategic themes and key focus areas of the plan include achieving global impact with technology support, improving the IT customer experience, improving data management and data protections, advancing technology governance and data governance, expanding core IT services, and modernizing technology tools and services. Highlights of near term and future IT projects are provided. At the conclusion of this multi-year plan, VT expects to have built infrastructure for AI- and data-intensive research, improved satisfaction with IT services, enabled more efficient and integrated administrative processes, strengthened the university's IT workforce and hardened the university's information security posture.
5. **Results of Board Self-Assessment.** The committee will receive a summary of the board self-assessment results from Secretary of the Board, Kim O'Rourke.

Board members, representatives to the board, and administrators who work closely with the board typically complete the assessment each spring, and assessment results are discussed at the Governance and Administration Committee meeting each June.

6. **Future Agenda Items.** The committee will discuss potential topics for future meeting agendas.

Board of Visitors Constituency Report
Leslie Orellana, Undergraduate Representative
June 2 and 3, 2025

Good morning, Rector Baine, members of the board, President Sands, administration, and guests. I am excited to be with you all today as I deliver my last constituent report of my term.

This year has truly been a transformative experience. This position has allowed me to expand my knowledge of governance structures, university complexities, and meet incredible people who have a true passion for Virginia Tech and the advancement of this institution.

Some of the highlights of this year were working with facilities, the police department, and the Undergraduate Student Senate to work on installing a blinking pedestrian crosswalk sign. This new signage will not only serve for the enhancement of campus safety, but also showed students in Undergraduate Student Senate that they can have an impact on campus, sparked by a single idea. I was also able to work with Career and Professional Development Services to create student and employer surveys to understand the landscape of career fairs as we strive to equip all students not only with the knowledge to complete their degree but the tools for them to succeed with experiential learning and opportunities after graduation. I was even able to serve on the search committee for the new Vice Provost for Undergraduate Academic Affairs and on the Local Visioning Initiative Steering Committee. All these things remind me of a lasting impact students can have on Virginia Tech, the surrounding community, and our fellow students.

Last month, I was also able to celebrate the completion of my degrees at graduation. While the weekend was filled with joy, celebration, and lots of goodbyes to the people and places that made Virginia Tech home. I also think back to the person that first arrived at Virginia Tech 5 years ago. She was a shy and timid freshman, scared of everything. I also think back to the memories of my high school teacher who told me I would never get into Virginia Tech because I was horrible at math, or how I was so bad at public speaking – my class would skip me when it was time to read out loud or present the class. But I thank Virginia Tech endlessly. Because here, I was able to have the opportunity and encouragement to join clubs, stay engaged in class, and slowly start to push myself out there. I joined Hokie Ambassadors and became a tour guide – where I was able to practice my public speaking skills, show prospective students around the school I love so much, and find my community here. I pushed myself to add a dual degree in building construction – where I was able to challenge myself taking physics, linear algebra, and testing

Board of Visitors Constituency Report
Leslie Orellana, Undergraduate Representative
June 2 and 3, 2025

the strength of a home-made pasta bridges as we successfully calculate the load capacities of over 80 pounds. But most importantly, Virginia Tech taught me to be a leader, to lead with compassion, and always live out Ut Prosim. This was more than a degree – this education changed my life and me.

I think back to the story I shared during my first constituent report, when a prospective student asked me after a tour “Is Virginia Tech worth it?” and I would say a million times again... yes. Coming as a first-generation student, I was the second person on both my mother and father’s side to earn a degree - first being my sister. I had to withstand hardships and navigate the difficult world with the support and love from my parents who first-generation Americans who immigrated here in early twenties working blue-collared jobs while forever teaching me perseverance and strength. And with the support of them, my siblings, and the amazing community of professors, faculty, staff, and students – I am lucky to call this place home. Whenever I ask myself “Is it worth it” I think back to how much I changed at Virginia Tech and how I am about to start a career in something I didn’t even know existed 5 years ago... and I say absolutely yes. The opportunity to receive an education from Virginia Tech has truly been a privilege. And I hope that all students can have the opportunity to choose to be Hokies, to flourish, push the boundaries, and that obtaining this life-changing education that can be accessible for all.

I hope that we continue to strive to make Virginia Tech home, as we work to ease burdens on students. This included fighting food insecurity for our undergraduates, graduates, staff, faculty, and surrounding community. As well as supporting students seeking affordable housing options off and on-campus. Multiple students are also tasked with making difficult decisions if the loans are worth the degree or if it’s worth working semester jobs, while missing out on clubs, study groups, and experiences due to financial restraints. But I believe in Virginia Tech and believe we can make this a place where students truly flourish as we support them to navigate and ease the hardships they may face.

Many students have also felt isolated and that their communities are suddenly changing this past year. They feel insecure about who to reach out for to help and how to communicate these

Board of Visitors Constituency Report
Leslie Orellana, Undergraduate Representative
June 2 and 3, 2025

feelings of fear, worry, and disappointment. I hope that we all strive to uphold principles of community, the land grant mission, and our school-motto to always foster a collaborative environment so that the Virginia Tech community can serve as a positive force for change around the commonwealth, country, and world.

Thank you once again for the opportunity of a lifetime and to be able to share my passion of Virginia Tech with you all. This has been truly such an incredible honor to see such advocates of Virginia Tech as we strive for continuous growth. Thank you to Rector Baine, members of the board, all the administrators, and my support system who have taught me so much this year. I am sure my successor, Thomas Feely, will carry on a similar passion as he brings an abundance of experience to aid him in this position. While I am ending my time as a proud Virginia Tech student, I am leaving as an even prouder alum who is already planning their next trip back. Thank you and go Hokies.

Graduate & Professional Student Constituency Report

Virginia Tech Board of Visitors

June 2 – 3, 2025

Presented by William Poland, Graduate & Professional Student Representative

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

It is bittersweet that this is the last constituency report I will give to the board. It hasn't always been easy, but I have greatly enjoyed my term serving as graduate and professional student representative, and I know I have learned much and grown as a result. With my last report I want to focus on a couple relevant issues that continue to impact our graduate and professional students.

The landscape of higher education continues to be dynamic with further changes from the federal administration. Cuts and revocation of federal research funding continue to impact our graduate students. Reductions in grants and assistantship funding will certainly have an impacted on the number of new graduate students who come to Virginia Tech in the fall.

In addition to continued struggles with research funding, the suspension of visa interviews for international students is the most recent development that will undoubtedly impact our student population. As international students make up about 40% of the graduate student population at Virginia Tech, they provide integral resources to the university's teaching and research enterprises.

While the board does not have control over federal policies, I believe it is still important to be aware of these issues and do everything we can to support our students and provide whatever help we can to alleviate the pressures they are facing. Our university has proven to be resourceful and resilient in reallocating funding to support faculty and students, and this is something we should continue to enable. Similarly, we must continue to support our international students and explore any available options so that we do not lose the international segment of our graduate student population.

Next, I would like to shift attention to the topic of student housing. With the continued discussion around student housing, I feel it is my duty to explain how this affects our graduate student population. Reducing the amount of housing on campus or maintaining the same amount of housing on campus while increasing enrollment will result in an increased number of students who are forced to live off-campus. While enrollment and on-campus housing discussions revolve around the undergraduate student population, this does not mean that graduate and professional students are unaffected. More students looking for off-campus housing creates a tighter housing market, which is often disadvantaged to graduate students. Many off-campus housing options, especially newer developments, are tailored to undergraduate students and those seeking more expensive luxury style apartments. Graduate students, for a number of reasons, often face more financial challenges than undergraduate students, and an oversaturated housing market only exacerbates the financial instability that

many graduate students face. We are already living in a time of general economic pressure and students have already expressed concerns over rent prices rising faster. In this time, we must work to alleviate economic burdens rather than increasing them. This means providing students with as many housing options as possible, both on and off campus.

Furthermore, the current discussions around on-campus housing and enrollment growth have the local community, including the Town of Blacksburg, nervous. While there have always been differing perspectives on this issue, it feels like tensions are becoming increasingly high. Participating on the steering committee with the Partnership for Progress initiative between Virginia Tech and the local region has reinforced to me the importance of regional cooperation and collaboration towards shared objectives. While growth and expansion may have benefits, it is necessary to be strategic in this growth so that it does not come at the cost of our partnership with the local region, and also so that growth does not degrade the quality of the Virginia Tech experience which has shaped so many students' lives. I truly believe that this is a time where collaboration is more important than ever, and that our university can achieve the greatest success by strengthening our relationship with the town and local region and leaning into collaborative endeavors to attract talent, create economic opportunity, and demonstrate the value of the university to people in the Commonwealth.

Finally, as my term as a student representative comes to an end, I would like to acknowledge Katie Drinkwater, who will be succeeding me in the role of graduate and professional student representative to the Board. Katie completed her undergraduate degree at Duke university and choose Virginia Tech for graduate school, where she is now a PhD candidate in the engineering education program. From my interactions with Katie, I am confident in her ability to step into the student representative role for next year. Katie is smart, determined, and not just passionate about current issues impacting graduate and professional students, but also conscientious of strategic priorities and long-term impacts to the university. I have no doubt that she will be successful in the role, and I feel reassured that the job is being passed on into capable hands.

With that, I thank the board one last time for granting me this opportunity to serve the university. Thank you and go Hokies!

Staff Senate Constituency Report
Virginia Tech Board of Visitors
June 3rd, 2025, Presented by LaTawnya Burleson, Staff Senate President

Rector Baine, members of the Board of Visitors, President Sands, Provost Clarke, Executive Vice President and Chief Operating Officer Amy Sebring, administrators, and honored guests—thank you for the opportunity to speak with you today. This marks my final report on behalf of staff and non-student wage employees at Virginia Tech, and I'm grateful for the chance to share a few reflections.

My time as board representative has been rewarding, challenging, and—above all—deeply meaningful. It has been an immense honor to serve in this role, to be a voice for staff and non-student wage employees, and to advocate for the needs and contributions of our dedicated colleagues across the university.

Please allow me to recognize a few individuals by name who have been especially impactful during my term.

Rector Baine, I am so grateful to have served under your leadership. Your steady guidance, thoughtful insight, and unwavering support have meant so much—not just to me personally, but to our entire community. You led with strength and humility, and under your leadership, staff concerns were truly heard and respected. Thank you for your partnership and for setting a tone of collaboration and respect that made my role both fulfilling and impactful.

President Sands, thank you for your leadership and your consistent attention to staff issues throughout my time as Staff Senate President. Your recognition of the essential role staff play in the success of the university has meant a great deal. I've appreciated your openness to dialogue, your willingness to engage with our concerns, and your commitment to fostering a more inclusive and supportive environment for all members of the university community. Your leadership has laid the foundation for meaningful progress, and I am grateful for the opportunities we've had to elevate staff perspectives at the highest levels. Thank you for ensuring that staff voices remain a valued part of the university's vision and future.

Amy Sebring, your leadership as Executive Vice President and Chief Operating Officer has been nothing short of inspiring. Your accessibility, transparency, and genuine respect for staff have set a powerful example. I have deeply appreciated your willingness to listen, to engage in difficult conversations, and to act with integrity and compassion.

There are many others in this room today who deserve my heartfelt thanks. Each of you has made my time in this role deeply meaningful and made me feel truly heard. While I don't have time to name everyone individually, please know how grateful I am for the kindness, engagement, and care you have shown me.

During my term, several key initiatives came to the forefront, and I would like to highlight their success.

One was the **resolution affirming employee participation in university governance and professional development**. While this resolution applies to all full-time Virginia Tech employees, it was created by the Staff Senate. It represents a significant step in recognizing that staff are not only foundational to university operations but also vital contributors to its strategic direction and culture. By formally supporting staff involvement in governance and encouraging professional growth, the university has demonstrated a long-term investment in its people. This resolution reflects the belief that staff should have a seat at the table—not just in words, but in practice—and I'm hopeful it will continue to foster a more empowered, engaged, and supported staff community.

A more practical, yet no less impactful, achievement was the **implementation of year-round payroll deduction for parking**. While it may seem like a small administrative change, it reflects a deeper commitment to easing financial and logistical burdens for staff. This change offers greater flexibility and predictability in managing expenses and supports a more employee-friendly approach to university operations. It's a clear example of how listening to staff concerns—no matter how routine they may seem—can lead to meaningful, everyday improvements in our work lives.

One of the most significant efforts during my time as Staff Senate President has been the work of the **Staff Compensation Task Force**. This task force was created in response to long-standing concerns about pay equity, transparency, and the need for a more strategic approach to staff compensation. While we are only halfway through our term, I'm proud to be part of this initiative, which brings together voices from across the university to assess where we are and where we need to go. The conversations are honest, sometimes difficult, but always rooted in the shared goal of building a fairer and more sustainable compensation framework for staff. While there is still work ahead, this task force represents a foundational step toward making staff compensation a central priority—and ensuring that the vital contributions of staff are reflected not just in words, but in meaningful action.

As my term comes to a close, I want to express my deepest gratitude to the **Staff Senate Executive Committee**—thank you for your trust, your collaboration, and your candor. To my fellow Senate members, thank you for your dedication and for always reminding me why this work matters.

To the university leadership and the **Board of Visitors**, thank you for listening, engaging, and valuing the perspectives of staff. I urge you to continue this support and engagement for the staff and non-student wage employees at Virginia Tech—more than 4,000 individuals who work every day to make this the very best place to be.

While I step away from this formal position, I do not step away from my commitment to this community. I look forward to supporting the next chapter of Staff Senate leadership and continuing to champion the causes that matter to us all.

Go Hokies!

LaTawnya Burleson
Staff Senate President

**Constituent Report by
President of Administrative and
Professional Faculty Senate,
Janice Austin,
will be presented at Tuesday's
Full Board Meeting**

**Constituent Report by
President of Faculty Senate,
Rachel Miles,
will be presented at Tuesday's
Full Board Meeting**

MOTION TO BEGIN CLOSED MEETING

June 3, 2025

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

1. Appointment of faculty to emeritus status, the consideration of individual salaries of faculty, consideration of endowed professors, review of departments where specific individuals' performance will be discussed, and consideration of personnel changes including appointments, resignations, tenure, and salary adjustments of specific employees and faculty leave approvals.
2. Discussion of information contained in student academic records.
3. The status of current litigation and briefing on actual or probable litigation.

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

Election of Rector and Vice Rector for 2025-26

Open Session Agenda

ACADEMIC, RESEARCH AND STUDENT AFFAIRS COMMITTEE

June 2, 2025

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Welcome	N. Dye
2. Review and Approve Open Session Agenda	N. Dye
3. Consent Agenda	N. Dye
a. Approval of March 24, 2025 Committee Meeting Minutes	
* b. Resolution to Revise Chapter 7 of the Faculty Handbook	
* c. Resolution to Rename the Department of Biomedical Engineering and Mechanics	
* d. Resolution to Clarify Eligibility for Postdoctoral Associate Status	
* e. Resolution to Amend the Faculty Handbook to Codify Interest- or Discipline-Based Faculty Organizations	
* f. Resolution to Integrate Chapter 12 into Chapters 2 and 5 of the Faculty Handbook	
* g. Resolution to Codify the Faculty Reconciliation Process within the Office of Faculty Affairs	
* h. Resolution to Approve 2025-26 Student Code of Conduct	
* i. Resolution to Revise Graduate Honor System Constitution	
* j. Ratification of 2025-26 Faculty Handbook	
k. Report of the 2025-26 Faculty Compensation Plan <i>(shared for information purposes by Finance and Resource Management Committee)</i>	
4. Provost's Update and Discussion	C. Clarke
5. Overview of Institute for Advanced Computing	C. Clarke
# 6. Undergraduate Enrollment Plan	C. Clarke, J. Espinoza
7. Update on the Expand Appalachia CORE-CM project	R. Bishop
8. Closing Remarks and Adjourn	N. Dye

* Requires Full Board Approval

Discusses Enterprise Risk Management topic(s)

Open Session Briefing Report

ACADEMIC, RESEARCH AND STUDENT AFFAIRS COMMITTEE

June 2, 2025

Agenda Item

Reporting Responsibility

- 1. Welcome**
Nancy Dye, chair of the Academic, Research and Student Affairs Committee, will welcome members and others to the committee's open session.
N. Dye
- 2. Review and Approve Open Session Agenda**
The chair will review and ask for approval of the Open Session Agenda including items on the Consent Agenda.
N. Dye
- *3. Consent Agenda**
The committee will consider approval of items on the consent agenda including the March 22, 2025 committee meeting minutes, a resolution to revise Chapter 7 of the faculty handbook, a resolution to rename the Department of Biomedical Engineering and Mechanics, a resolution to clarify eligibility for postdoctoral associate status, a resolution to amend the faculty handbook to codify interest- or discipline-based faculty organizations, a resolution to integrate Chapter 12 into Chapters 2 and 5 of the faculty handbook, a resolution to codify the faculty reconciliation process within the Office of Faculty Affairs, a resolution to approve the 2025-26 Student Code of Conduct, a resolution to revise the Graduate Honor System Constitution, a resolution to ratify the 2025-26 Faculty Handbook, and a report of the 2025-26 Faculty Compensation Plan that is shared for information purposes by the by Finance and Resource Management Committee.
N. Dye
- 4. Provost's Update and Discussion**
Cyril Clarke, executive vice president and provost, will update the committee on the university's academic initiatives.
C. Clarke
- 5. Overview of Institute for Advanced Computing**
Cyril Clarke, will provide an update on the establishment of the Institute for Advanced Computing, a thematic institute scaffolded by computer engineering and computer science, with emphasis on artificial intelligence & machine learning, Next G wireless, quantum architecture, and software development Intelligent interfaces.
C. Clarke

* Requires Full Board Approval

Discusses Enterprise Risk Management topic(s)

#6. Undergraduate Enrollment Plan

C. Clarke,
J. Espinoza

Cyril Clarke and Juan Espinoza, vice provost for enrollment management, will provide an introduction to the enrollment management landscape, including considerations for Virginia Tech's land grant mission, the role of the university in advancing economic development through graduation of a skilled workforce, and the relevance of enrollment to the university's budget.

7. Update on the Expand Appalachia CORE-CM Project

R. Bishop

Richard Bishop, professor of practice in the Department of Mining and Minerals Engineering and researcher in the Virginia Center for Coal and Energy Research, will present an update on the Expand Appalachia CORE-CM project, funded through the U.S. Department of Energy, project partners, and industry stakeholders, and part of a broader federal effort to reduce dependence on imported critical minerals and support the development of domestic supply chains.

8. Closing Remarks and Adjourn

N. Dye

The committee chair will provide closing remarks and adjourn the meeting.

* Requires Full Board Approval

Discusses Enterprise Risk Management topic(s)

Welcome
ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE
June 2, 2025

The chair of the committee will welcome committee members and others to the committee open session.

Open Session Consent Agenda
ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE
June 2, 2025

- a. Approval of March 24, 2025 Committee Meeting Minutes
- * b. Resolution Updating Language in Chapter 7 of the Faculty Handbook on the A/P Faculty Grievance Process.
- * c. Resolution to Rename the Department of Biomedical Engineering and Mechanics
- * d. Resolution to Clarify Eligibility for Postdoctoral Associate Status
- * e. Resolution to Amend the Faculty Handbook to Codify Interest- or Discipline-Based Faculty Organizations
- * f. Resolution to Integrate Chapter 12 into Chapters 2 and 5 of the Faculty Handbook
- * g. Resolution to Codify the Faculty Reconciliation Process within the Office of Faculty Affairs
- * h. Resolution to Approve 2025-26 Student Code of Conduct
- * i. Resolution to Revise Graduate Honor System Constitution
- * j. Ratification of 2025-26 Faculty Handbook
- k. Report of the 2025-26 Faculty Compensation Plan
(shared for information purposes by Finance and Resource Management Committee)

Committee Minutes

ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE

March 24, 2025

Committee Members Present: Nancy Dye (chair), Sandy Davis, William Holtzman*, Donald Horsley, Letitia Long, J. Pearson, Jeanne Stosser

**One Board member participated remotely from Florida while on vacation in accordance with Code of Virginia §2.2-3708.3(B). A quorum was physically present.*

Board Members Present: Ed Baine (rector), David Calhoun, Anna James, Starlette Johnson, Ryan McCarthy, Jim Miller, John Rocovich

Constituent Representatives Present: Janice Austin (A/P faculty representative), Leslie Orellana (undergraduate student representative), Rachel Miles (faculty representative), William Poland (graduate and professional student representative).

Guests: Lisa Abbott, Zackaria Al-Husainawi, Simon Allen, Lauren Augustine, Ella Aussey, William Babb, Bradley Babcock, Lauren Bach, James Bailey, Callan Bartel, Kenneth Belcher, Lisa Belden, Laura Belmonte, Haley Bennett, Ashleigh Bingham, Harrison Blythe, Michael Borowski, Stephanie Brady, James Bridgeforth, David Brunisma, Rebecca Caldwell, Julie Carlson, Gregory Carter, Kaitlin Carter, Caleb Charpentier, Shayan Choudhry, Megan Christle, Kimberly Clark, Cyril Clarke, Emma Clevinger, Lance Collins, Al Cooper, Reeve Cordice, Catherine Cotrupi, Paige Crane, Thomas Crawford, Chandler Crean, Rachel Dalton, Kairavi Dandekar, Jessica Davis, Meaghan Dee, Benjamin D'Elia, Michelle Deramo, Andrew Dolbin-MacNab, Holli Drewry, Jared Duffy, Cedric Dunham Iii, Kevin Dye, Corey Earles, Jeffrey Earley, Eric Earnhart, Matthew Ebert, Alexander Efird, Abbey Erwin, Juan Espinoza, Ronald Fricker, Michael Friedlander, Ian Friend, Rachel Gabriele, Cliff Gaines, Jennifer Gallagher, Bryan Garey, , Edward Gitre, Martha Glass, April Goode, Ellington Graves, Rebekah Gunn, Andrew Gunsch, Gia Ha, Nina Ha, Allison Hagee, Chelsea Haines, Brandon Hall, Silke Hauf, Janet Hilder, Timothy Hodge, Rachel Holloway, Elizabeth Hooper, Kristen Houston, Bailey Howell, Cyndi Hutchison, Alexis Isaac, Elizabeth Jamison, Robin Jones, Thomas Jones, Maryam Kamran, Eric Kaufman, Frances Keene, Nicholas Kocz, Meghan Kuhn, Sharon Kurek, Katherine Lafon, Ashley Leduc, Walter Lee, Kimberly Loeffert, Madeleine Macdougall, Meghan Madel, Robert Mann, Sarah Margolis, Sandra Martin, Elizabeth McClanahan, Megan McHenry, Steven McKnight, Nancy Meacham, Jessica Meltsner, Joseph Merola, Mallory Miller, Joseph Mills, Laurel Miner, Jeffrey Mitchell, Ronnie Mondal, Mike Mulhare, John Nuckols, Shane Justin Nuuhiwa, Kelly Oaks, Kim O'Rourke, Marilyn Ortega, Stephanie Overton, Sarah Ovink, Mark Owczarski, Anna Gabrielle Patarinski, Jamie Penven, Charles Phlegar, Alexandra Pirkle, Lauren Pollard, Jonathan Porter, Courtney Powell, Menah Pratt, Kathryn Rappold, Patricia Raun, Ashley Reed, Susanna Rinehart, Daniel Robertson, Tanya Rogers, Julia Ross, Karen Sanders, Tim Sands, Saonee Sarker, Ryan Saunders, Glenda Scales, Kiera Schneiderman, Orlando Schwery, Amy Sebring, Rohsaan Settle, Brennan Shepard, Damira Shields, Oliver Shuey, Mark Sikes, Christine Smith, Jaida Smith, Maya Snyder, Tristan Southerland, Richard Sparks, Michael Staples, Michael Stowe, Emma Stubbe, Dan Sui, Aimee Surprenant, Don Taylor, Dwyn

Taylor, Johnathan Taylor, John Clark Teglas, Alexander Thomas, Cathryn Thomas, Crasha Townsend, Timberly Tran, Mary Trigiani, Josef Uyeda, Jose Vargas-Muniz, Peggy Vilardo, Heather Wagoner, Haleigh Wallace, Bevelee Watford, Jennifer Wayne, Shauna Webb, Melinda West, Sarah Wickwire, Stacey Wilkerson, Lisa Wilkes, Iyaira Williams, Wendi Williams, Tiffany Willis, Paul Winistorfer, Christopher Wise, Christopher Yianilos

**Note: All guests who attended this committee meeting are reflected in the above list; however, this meeting immediately followed the open session of the Finance and Resource Management Committee, so the list above may include some guests who attended that meeting but did not stay for the entirety of the ARSA committee meeting.*

OPEN SESSION

1. Welcome. N. Dye, chair of the committee, welcomed attendees to the meeting and called the meeting to order at 3:53 pm.

2. Review and Approval of Open Session Agenda.

3. Consent Agenda Items. Approval of November 19, 2024 Committee Meeting Minutes; Resolution to Amend the Faculty Handbook Description of Administrative Support for University Distinguished Professors; Resolution to Amend the Faculty Handbook Regarding Description of Clinical Faculty Ranks; Resolution to Amend the Faculty Handbook Regarding Ethics of Intimate Relationships Involving Faculty; Resolution to Amend the Faculty Handbook Regarding Promotion and Tenure and Related Appeals; Resolution for Closure of Department of Apparel, Housing, and Resource Management.

The committee voted unanimously to approve the Open Session Agenda as presented including approval of all Consent Agenda items.

4. Resolution to Approve Bachelor of Science Degree Designation in Geography. Tom Crawford, chair of the Department of Geography, provided an overview of a proposed new B.S. degree designation in Geography to complement the existing B.A. degree in Geography. The B.S. designation offers a more scientific specialization for students with courses in mathematics, geographic information systems (GIS), programming, and remote sensing that will prepare them to be competitive for positions in fields such as cartography and GIS analysis.

The committee voted unanimously to approve the Bachelor of Science Degree Designation in Geography.

5. Provost's Update.

Recruitment of Senior Leaders

C. Clarke, executive vice president and provost, provided updates to the committee on several senior searches. The search for the new dean of the Honors College is complete and Dr. Becky Bott-Knutson will be joining Virginia Tech on July 1. Dr. Bott-Knutson is an animal scientist and academic leader, currently serving as Dean of the Honors College at South Dakota State University. With Paul Winistorfer's retirement

approaching, the search for the next dean of the College of Natural Resources and Environment is also well underway, with on-campus finalist interviews beginning next week.

Academic Resource Alignment

Dr. Clarke provided the committee with an update on the Academic Resource Alignment project, an overview and discussion of which occurred at the BOV retreat in August 2024. The goal of the project is to review all academic programs and to develop preliminary recommendations for sunseting, redirecting, or strengthening programs in alignment with Virginia Tech's scope of responsibility aligned with its land grant mission as well as its prioritized areas of distinction, with attention given to student interest, career success, strategic relevance.

The committee was appointed, chaired by the provost and includes college leaders (deans, associate deans, department heads) and faculty senate representatives, with support from an administrative team and an organizational excellence advisor. The specific charge given to the committee was to identify meaningful criteria to enable quantitative and qualitative assessment of courses and academic programs; conduct a preliminary university-wide review of all courses and programs to identify those requiring in-depth analysis in consultation with academic departments and deans; make recommendations, based on the evaluative criteria, regarding courses and programs that should be discontinued, realigned, or strengthened; work with Academic Resource Management to estimate financial impact of recommendations, to include personnel expenses and impact on PIBB allocations; make recommendations for a routinized process of review and recommendation for ongoing assessment of academic resource alignment.

To date, good progress is being made. Meaningful quantitative data have been identified and compiled across all academic departments, including degrees conferred; student credit hours per instructional FTE; student credit hours; enrollment; cost and revenue. The outcome of the quantitative analysis is that a number of programs have been identified for further in-depth review involving academic stakeholder input. This review will be mostly qualitative in nature and place the initial data sets in the context of each departments strategy and growth potential. External comment will also be solicited to ensure that programs are aligned with stakeholder interests. Committee recommendations are due in May 2025.

6. Overview of Promotion and Tenure Process. R. Fricker, Vice Provost for Faculty Affairs, provided an overview of the promotion and tenure process, situating it within the broader context of why tenure exists and what it enables. Tenure serves as a cornerstone of academic excellence, fulfilling several vital functions and developing world-class scholars who will drive Virginia Tech towards Global Distinction. Every R1 university offers tenure, so it is key to maintaining institutional competitiveness by attracting and retaining top scholars. Tenure also safeguards academic freedom, allowing faculty to pursue research without external interference, and fosters a stable intellectual workforce capable of making long-term contributions to their fields. These principles directly align with Virginia Tech's commitment to excellence and its global distinction aspirations.

Dr. Fricker underscored that faculty are subject to continuous and rigorous evaluation. Internally, faculty have annual merit-based performance reviews. Pre-tenure faculty undergo additional formal assessments in their second and fourth years to ensure they are making adequate progress toward tenure. Even after tenure is granted, faculty are reviewed three to five years after promotion. Externally, given the competitive nature of academia, faculty must consistently demonstrate excellence through peer-reviewed publications, external research funding, and recognition via prestigious awards and honors.

Tenure-track faculty are evaluated for promotion and tenure within the framework of the university's tripartite mission: scholarship, teaching, and service. Candidates compile a detailed dossier, often exceeding 100 pages, that documents their academic career in its entirety—including publications, grants, courses taught, and student mentorship. At least four external reviewers who are distinguished experts in the candidate's field provide independent assessments of the faculty member's scholarship.

Dr. Fricker underscored that faculty are subject to continuous and rigorous evaluation. It begins at the department level, where faculty committees and department heads conduct initial reviews. The case then advances to the college level, where deans and committees undertake further assessments before forwarding dossiers to the university level. Chaired by the provost, the university-wide committee evaluates all cases for tenure and/or promotion. Ultimately, the provost and president make final determinations, presenting recommended candidates to the Board of Visitors for approval in June.

To illustrate the value of tenure, Dr. Fricker highlighted two compelling examples. Dr. Marc Edwards, a professor of environmental and water resources engineering, joined Virginia Tech in 1997 and is widely recognized for his pioneering work exposing lead contamination in drinking water. His early research in Washington, D.C., uncovered dangerously high lead levels in municipal water supplies—a discovery that led to significant resistance from regulatory agencies, including attempts to cut his funding and suppress his findings. Yet, tenure protected his ability to persist in his research, ultimately prompting a congressional inquiry and driving national policy changes. Dr. Edwards' career exemplifies how tenure safeguards academic freedom, ensuring that faculty can pursue research even when the findings are initially unpopular.

A second example is Dr. Linsey Marr, a professor of civil and environmental engineering who joined Virginia Tech in 2003. Initially focusing on the interaction between engineered nanomaterials and the atmosphere, she later expanded her research to investigate airborne pathogens. For years, she studied the aerosol transmission of viruses such as influenza—an area of research that remained niche and underappreciated until the COVID-19 pandemic. At that critical moment, her work fundamentally reshaped public health guidelines, shifting the scientific consensus on how the virus spread. Dr. Marr's career demonstrates how tenure enables faculty to pursue research that may not have immediate economic returns but can ultimately lead to groundbreaking societal impact.

These examples demonstrate that tenure is not merely a professional milestone—it is a long-term investment in world-class faculty, fostering the kind of transformative research

that defines Virginia Tech's academic reputation. Recognizing the importance of this investment, the university approaches the promotion and tenure process with the utmost diligence.

7. Update on Residential Well-Being Model and Living Learning Communities.

Frances Keene, Vice President for Student Affairs, provided the committee with an update on the residential well-being model and Living Learning Programs (LLPs) at Virginia Tech. Like many universities, Virginia Tech has a commitment to housing students on campus and also has a longstanding commitment to housing first-year students. The university's educational goals are best accomplished when students' academic endeavors are integrated with a thoughtfully constructed, supportive, social environment, equipping them with skills to be prepared for life and the workforce after graduation. Living on-campus and providing thoughtful academic, social and well-being programs in residence halls is recognized as a significant factor for positively influencing student academic and social outcomes. Recent research demonstrates positive outcomes for first-generation low-income students who live on campus, including a significantly higher sense of belonging, a more welcoming perception of campus, and higher resilience. Research also shows positive academic outcomes like higher GPAs and retention rates for residential students compared to their peers who do not live on-campus.

In today's environment, investing in students' mental health is critical to their academic and personal success. For many years, Virginia Tech has participated in the national Healthy Minds study. In 2023-2024, 75% of students nationally reported academic impairment due to mental health concerns. In response to the very real concerns about student mental health, Virginia Tech created Residential Well-Being (RWB), a new staffing and programmatic approach for residential living based on public health principles. RWB is connected with multiple Student Affairs departments including Hokie Wellness, Cook Counseling Center, and the Dean of Students Office, bringing resources and programming to students when they need it, where they live.

Over the last three years, the residential well-being model has been studied through various methods, including a six-week residential experience survey, which can be compared with several national assessments. Virginia Tech students living on campus have reported a higher sense of well-being than the national average (Health Minds Study, 2023-4), and there has been a 16% reduction in loneliness since the model's launch in 2021. Virginia Tech students living on campus have also reported a higher sense of belonging than the national average (National College Health Assessment, Fall 2023).

While every student living on campus benefits from the work of RWB, Living-learning programs (LLP) are selected *by students*, and feature purposeful integration of their academic and co-curricular experiences. Each living-learning program offers unique academic and social programming, structured peer mentorship, and faculty leadership. There are well-documented academic benefits for students in living-learning programs, including higher grade point averages for LLP participants compared to their non-LLP peers, increased retention, and increased degree attainment. Looking at Virginia Tech academic data, students in LLPs have a higher first-semester GPA (3.23) than their non-

LLP peers (3.17). For example, Galileo and Hypatia LLPs house engineering students. One of their goals is to support first-year student academic success. In 2023-2024, Hypatia had an overall GPA of 3.31 and Galileo had an overall GPA of 3.29, compared to a lower non-LLP GPA of 3.25. Additionally, first-year LLP students have a 93% retention rate compared to first-year students who live off campus (81%). Transfer students have a 93% retention rate compared to 90% for non-LLP transfer students (2023). The Virginia Tech Corps of Cadets, a signature leadership development program at Virginia Tech, highlights the best practice of living-learning programs and has been the longest standing LLP at the university. Virginia Tech is recognized nationally for living-learning programs ranking in the top 17 of learning community programs in the United States for the past four years.

As an illustrative example of the impact of LLPs: Daisy Yates, a senior from Richmond and member of the Honors College, decided to live in the Honors Residential Commons (HRC), a living-learning program that has undergraduate and graduate students from all Virginia Tech colleges, as well as a live-in faculty principal. In the HRC, Daisy met her Residential Well-Being student leader, and several upper division students who then connected her to other students but more importantly, to opportunities that were available to her that she did not know existed. She was encouraged to participate in leadership development programs and has since become a leader and mentor to a new group of first years. Daisy has encouraged these students to develop leadership skills, to get involved on campus, and to connect with their academic interests.

8. Discussion of “Principles Guiding Virginia Tech’s Policies and Practices” (discussion draft). C. Clarke and T. Sands shared a draft document of principles the university may use in making decisions moving forward. Not to be confused with the Principles of Community, this is instead a conceptual framework to guide responses to the Dear Colleague Letter and other changes in state and federal law and adapt to the changing environment for higher education.

The principles document confirms Virginia Tech’s commitment to the necessity of a diverse learning environment and an inclusive community in which all students and employees can thrive and achieve their full potential.

Similar interest in these principles was expressed by the Virginia Governor in his 2022 Executive Order creating a Chief Diversity, Opportunity and Inclusion Officer. That Executive Order stated: “Yet, we acknowledge that too many of our citizens have not received the equal opportunity they deserve, and we recognize that diversity when genuinely embraced strengthens our Commonwealth. Every Virginian deserves dignity and respect, deserves the opportunity to pursue their dreams and deserves inclusion in the Virginia family.” This sentiment was also expressed in the first two Whereas statements included in a resolution on Diversity, Equity, and Inclusion (DEI) that will be considered by the board later in their meeting.

The university has complied with the law, as confirmed by oversight by the Office of Civil Rights Compliance (OCR). With the exception of the rescinding of Executive Order 11246 (1965) relating to affirmative action, the law has not changed, and is unlikely to change

until the federal courts complete their deliberation and/or Congress acts. Nevertheless, the Dear Colleague Letter from OCR represents an interpretation of law that must be carefully considered, because failure to follow the guidance could place the university in jeopardy. This concern falls well within the responsibility of the BOV and university leadership.

In addition to confirming that Virginia Tech does not discriminate for, or against, any person on the basis of race, color, ethnicity, religion, sex, or national origin, these guidelines include two principles that seek to confirm core commitments of the university – freedom of expression and assembly, subject to time, manner and place and academic freedom. The latter includes the freedom to pursue scholarly interests across broad topic areas relevant to a faculty member's disciplinary assignment and freedom of students to pursue lines of study in accordance with their interest.

Two other principles address requirements that are anticipated to be of particular interest to the OCR – that the university will not require as a condition of admission, employment, promotion or advancement, that a student or an employee undergo training, education, coursework, or other pedagogy involving DEI and that there will be no requirement as a condition of admission, employment, promotion or advancement the signing of or assent to a statement, code of conduct, work, program, or plan, or similar device involving DEI.

In addition to these areas of consideration, the university acknowledges that deliberation and guidance is needed to determine whether a fairly large number of programs, events and functions may need to be retained in their current form, revised or discontinued. To that end, a consultant has been engaged to guide the university.

9. Motion to Begin Closed Session. J. Stosser made a motion for the committee to enter into closed session to discuss the appointment of faculty members to emerita or emeritus status, the appointment of faculty members to endowed chairs, professorships, or fellowships, the reappointment of faculty members to endowed chairs, professorships, and fellowships, the appointment of faculty members to Alumni Distinguished Professor, the appointment of faculty members to University Distinguished Professor, the approval of faculty appointments with tenure, the approval of faculty appointments with tenure-to-title, the approval of faculty research leaves, individual faculty performance and salaries and personnel changes, legal issues related to Federal and state law; and consultation with legal counsel pertaining to actual and probable litigation, pursuant to section 2.2-3711(A)(1)(7), Code of Virginia, as amended. The motion was seconded by D. Horsley, and the committee voted unanimously to enter closed session.

10. Motion to End Closed Session. D. Horsely made a motion to end closed session, confirming that Academic, Research, and Student Affairs Committee convened in closed session pursuant to an affirmative recorded vote and in accordance with the provision of The Virginia Freedom of Information Act, certifying that the closed session was conducted in conformity with Virginia law, and certifying that to the best of each member's knowledge, (i) only public business matters lawfully exempt from open session requirements by Virginia law were discussed in the closed session to which this certification resolution applies, and (ii) only such public business matters as were identified in the motion convening the closed session were heard, discussed, or

considered by the Academic, Research, and Student Affairs Committee of the Board of Visitors. The motion was seconded by J. Pearson, and the committee voted unanimously to end the closed session.

11. Report of Closed Session Items. The committee reconvened in open session at 6:12pm. In Closed Session, the committee considered 19 appointments to emerita or emeritus status, 5 appointments to endowed chairs, professorships, or fellowships, one appointment to University Distinguished Professor, one appointment to Alumni Distinguished Professor, two appointments with tenure, two appointments with tenure-to-title, 90 faculty research leaves, and reviewed individual faculty performance, salaries, personnel changes, and consulted with legal counsel on legal issues pertaining to Federal and state law and matters pertaining to actual and probable litigation.

12. Resolution Regarding the Presidential Executive Order on Diversity, Equity, and Inclusion. The committee considered a resolution regarding actions the university will take in response to guidance from the United States Department of Education and the U.S. Attorney General to assure full compliance with the Equal Protection Clause of the U.S. Constitution, Title VI of the Civil Rights Act of 1964, and other federal civil rights laws.

S. Davis made a motion to amend the resolution, which was seconded by a committee member and was approved unanimously by the committee.

The committee then unanimously approved the resolution as amended.

13. Closing Remarks and Adjourn. N. Dye offered brief remarks. The meeting concluded at 6:28 pm.

RESOLUTION TO UPDATE LANGUAGE IN CHAPTER SEVEN OF THE FACULTY HANDBOOK ON THE A/P FACULTY GRIEVANCE PROCESS

WHEREAS, CAPFA Resolution 2020-21A Resolution to Approve the Constitution and Bylaws for the Administrative and Professional (A/P) Faculty Senate was approved by University Council on February 15, 2021 and approved by the Board of Visitors on March 22, 2021; and

WHEREAS, the A/P Faculty Senate Constitution and Bylaws outline the leadership, membership, and role of the A/P Faculty Senate; and

WHEREAS, Virginia Tech's Faculty Handbook includes policies for all university faculty; and

WHEREAS, Chapter 7 of the Faculty Handbook describes the employment policies for administrative and professional faculty; and

WHEREAS, Chapter 7, Section 8 of the Faculty Handbook describes the grievance policy and procedures for administrative and professional faculty; and

WHEREAS, the Administrative and Professional Faculty Senate is involved in the grievance process;

NOW, THEREFORE, BE IT RESOLVED, that the current Faculty Handbook chapter 7 be revised per the changes reflected by tracked changes in the attached document; and

BE IT FURTHER RESOLVED, that these revisions will become effective for the 2025-26 Faculty Handbook.

RECOMMENDATION:

That the resolution to revise Chapter 7 of the Faculty Handbook be approved and included in the 2025-26 Faculty Handbook.

June 3, 2025

CHAPTER SEVEN ADMINISTRATIVE AND PROFESSIONAL FACULTY INCLUDING VIRGINIA COOPERATIVE EXTENSION FACULTY

7.8 Grievance Policy and Procedures for Administrative and Professional Faculty

The following procedure is provided ~~as the means for resolution of~~ to resolve 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. The grievant, and those ~~involved in~~ responding to grievances, may consult ~~with the~~ Administrative and Professional Faculty Senate Vice President for additional information.

7.8.1 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-problem~~-solving rather than as a confrontation between adversaries.

University Ombuds: Any ~~member of the university community~~ university community member may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The Ombuds listens ~~and explores~~ and explore options for addressing and resolving concerns or complaints. The Ombuds Office ~~does not have the~~ has no authority to make ~~decisions or to reverse any decision made~~ reverse any decisions or actions taken by university authorities. ~~The Ombuds Office~~ it supplements, but does not replace, the university's existing ~~resources for conflict resolution and its~~ conflict resolution resources and 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 it does not constitute such notice ~~to the university. Should someone wish. However, if someone wishes~~ to make the university formally aware of a particular problem, the ~~Ombuds Office can provide information~~ office can provide instructions on how to do so. The only exception to this pledge ~~of confidentiality is where the Ombuds~~ the 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 and~~ 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. Contact Faculty Affairs in the provost's office for information on Reconciliation.

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~~before 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 and a copy is sent 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 and Other Conflict Resolution Services: Mediation is available through the Office for Equity and Accessibility offers a range of —, conflict resolution services, including conflict coaching, mediation, and group facilitations. In general~~Generally, OEA's —mediation and other conflict resolution services are available —specializing in matters related to the office's work to maintain working environments free from discrimination.~~

Mediation is a voluntary, ~~confidential~~ process through which one or more trained neutral third persons (mediators) facilitators assist employees people to express in expressing their concerns and developing solutions to at the conflict dispute in a ~~safe and~~ structured environment. Mediation differs from faculty reconciliation in that mediation facilitators do not conduct fact-finding or evaluate decisions. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate in order for mediation to occur. Mediation may be available prior to or after filing a grievance. Any party to a grievance process may request mediation prior to step three of the process. If both parties voluntarily agree to try mediation and the university, usually through the Office for Equity and Accessibility, appoints a facilitator, then the grievance is placed on administrative hold until the mediation process is complete. If a resolution is reached through mediation, then the parties are responsible to each other for ensuring that the provisions of the resolution agreement are followed. If any party withdraws from mediation or the facilitator terminates the process without agreement, then the grievant may request that the grievance be reactivated and the process continues.

A/P faculty members and supervisors are encouraged to consider using conflict resolution services like 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 any party may request mediation during the grievance process prior to step three. If, after the initiation of a formal grievance, both parties agree to participate in mediation after initiating a formal grievance, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to cannot 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 because mediators do not engage in fact finding or in evaluation of conduct fact finding or evaluate decisions. Both mediation and reconciliation, however, however, mediation and reconciliation are voluntary; no party is required to participate in either process.

7.8.2 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 to process the grievance, but the grievant alone is responsible for preparation of preparing the case. See "Valid issues for Grievance" in this chapter.

The number of steps in the process is determined by the reporting line of the grievant grievant's reporting line determines the number of steps in the process. 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 requested relief must be specified on the grievance form. A/P faculty grievance forms are available on the provost's Faculty Forms page.

The Administrative and Professional Faculty Senate Vice President will maintain an active list of trained A/P faculty members who can provide consultation to consult 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 department head, chair, school director, or appropriate supervisor/director; for A/P faculty in Virginia Cooperative Extension, the district director or appropriate step one administrator) and to the Administrative and Professional Faculty Senate Vice President within 30 calendar days of the date identified, or the grievant should have known, of the event or action that is the basis for the grievance. If appropriate, the step one administrator will provide a copy of the grievance to the supervisor of the grievant grievant's supervisor.

Grievability Panel: The Administrative and Professional Faculty Senate Vice President, within ten weekdays of receiving a copy of the grievance form, will convene a grievability panel. The panel consists of comprises the Administrative and Professional Faculty Senate Vice President and

two A/P faculty senators. The panel meets to deliberate and determine the admissibility of the matter to the grievance process. (See "Valid Issues for Grievance" in this chapter) 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, the administrator's written response, should cite reasons for action taken or not taken. If the written response of the department head, chair, school director, or appropriate supervisor/director 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~~ faculty member 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~~ whose program is under the responsibility of a different dean, the designated step two administrator consults with the programmatic dean before ~~rendering~~ making a decision.

The step two administrator gives the grievant a written decision within five weekdays after the meeting, citing reasons for the decision. If the step two administrator's written response to the grievance is satisfactory to the grievant, it ends the matter.

Step three: If the resolution of the grievance proposed in the written response by the step two administrator is not acceptable, the grievant may advance the grievance to the step three administrator. The step three administrator is the vice president for human resources or the vice provost for faculty affairs. The grievant must advance the complaint to the step three administrator within five weekdays of receiving the written response from the step two administrator. If the grievant works in a college or academic vice president's division, the step three administrator will provide the provost a copy of the grievance ~~to the provost~~.

Advancement of a grievance to step three includes consideration by an impartial Administrative and Professional Faculty Senate hearing panel unless the grievant petitions the step three administrator to bypass the hearing panel and rule on the grievance. If the step three administrator accepts the request to rule on the grievance, there is no subsequent opportunity for the grievance to be heard by an Administrative and Professional Faculty Senate hearing panel. If the step three administrator does not accept the petition, an Administrative and Professional Faculty Senate hearing panel is formed to review the grievance as outlined in these procedures. An Administrative

and Professional Faculty Senate hearing panel may also be convened to determine whether a complaint may be grieved under university policy.

Within five weekdays, the step three administrator, or appropriate designated representative, acknowledges receipt of the grievance ~~and forwards a copy of the "Hearing Procedures of the Committee on Administrative and Professional Faculty Grievances" to parties in the grievance process. The step three administrator also~~ and forwards a copy of the grievance immediately to the ~~chair of~~ Administrative and Professional Faculty Senate Vice President. Within five weekdays, the Administrative and Professional Faculty Senate Vice President acknowledges receipt of the grievance and forwards a copy of the "Hearing Procedures for Administrative and Professional Faculty Grievances" to parties in the grievance process.

Hearing Panel: A grievance hearing for A/P faculty is conducted by an ad hoc panel selected by the Administrative and Professional Faculty Senate Vice President from the current A/P Faculty Senate membership, including Senators and Alternates. A hearing panel consists of three A/P Faculty Senators or Alternates, an alternate panel member, and the non-voting chair. The chair polls all appointees to ensure ~~that they have~~ no conflict of interest in the case. Either party may challenge one of the appointments, including the alternate. Other replacements are made only for cause. The alternate serves as a replacement panel member if the need arises.

To ensure uniformity in practice, the Administrative and Professional Faculty Senate Vice President serves as the non-voting chair of each hearing— panel. If the Administrative and Professional Faculty Senate Vice President has a conflict of interest concerning a case, ~~they~~ the chair appoints a replacement from among the Administrative and Professional Faculty senators who serve on the Commission for Administrative and Professional Faculty Affairs (CAPFA) ~~at large~~ to serve as chair of the hearing panel. In the unlikely event that all A/P faculty senators and alternates have a conflict of interest concerning a case, the Administrative and Professional Faculty Senate Vice President, in consultation with the A/P Faculty Senate ~~president~~ 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~~ hearing panel members are appointed, the Administrative and Professional Faculty Senate Vice President requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Administrative and Professional Faculty Senate Vice 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 can occur. The hearing is then reconvened as appropriate (and within the 45-day period required by this policy, unless agreed upon by both parties).

Each party to the grievance may have a representative present during the ~~sessions of the hearing~~ hearing sessions ~~at, during~~ which testimony is presented. The representative may speak if requested. Representatives may also be legal counsel, if both parties are ~~so~~ represented, but if the grievant does not wish to have legal counsel ~~at a hearing~~ present, 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 ~~participates~~ 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 ~~week~~days of receipt of the grievance by the Administrative and Professional Faculty Senate Vice President. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding the 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 satisfactory to the grievant, even if it differs from the ~~recommendations of the hearing panel~~hearing panel's recommendations, then that ends the matter. If the step three administrator's decision is ~~ful~~entirely consonant with ~~(or exceeds) the recommendations of the hearing panel~~hearing panel's recommendations, or if it is whether or not it is satisfactory to the grievant ~~even if it differs from the recommendations of the hearing panel~~, that ends the matter, and there is no further appeal.

Step four: If the step three administrator's decision is not consonant with the recommendations of the hearing panel and it is not acceptable to the grievant ~~and not consonant with the recommendations of the hearing panel~~, only then may the grievant ~~may~~ appeal ~~in writing~~ to the university president. The appeal must be made within 20 calendar days of the step three administrator's decision and it must be in writing. The president's decision is final.

7.8.3 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 grievant is responsible for initiating 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 before the time of filing or advancement of~~filing or advancing a grievance that precludes action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution is accepted as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the Administrative and Professional Faculty Senate Vice President in writing, who determines if there was ~~good~~reasonable cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the Administrative and Professional Faculty Senate Vice President is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations, other than time limit issues, the Administrative and Professional Faculty Senate Vice President rules on the question, as in disputes about the validity of procedural issues qualifying for the grievance procedure. The Administrative and Professional Faculty Senate Vice President has the following options: The Administrative and Professional Faculty Senate Vice President can either find no significant procedural violation occurred, in which case the grievance process continues unaffected, or that a ~~significant~~**substantial** 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~~**substantial** 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.

7.8.4 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 **university** 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~~**everyday** 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 example, complaints of unlawful discrimination or harassment, complaints related to unprofessional or unethical conduct, complaints related to non-reappointment, promotion, or abolition of position).

See chapter two of this handbook for information regarding “Allegations of Unprofessional or Unethical Conduct” against an A/P faculty member.

The Administrative and Professional Faculty Senate does not consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

7.8.5 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 or school office within the specified time frame is acceptable. ~~This is immediately followed by submission by mail of the original form and any related materials.~~

Time limits are subject to an extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the [provost's Faculty Forms page](#).)

~~At step three, if necessary, the principals and the Administrative and Professional Faculty Senate Vice President, if necessary, negotiate extensions of time limit~~ **negotiate time limit extensions at**

~~step three.~~ In case of disagreement, the ~~Administrative and Professional Faculty Senate~~ Vice President rules on time extensions and procedural questions or recommendations designed to expedite the proceedings while providing a 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 t~~. Those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave, the grievance process stops until ~~such time as~~ the grievant can resume duties. Exceptions to this provision are made at the ~~request of the grievant~~ grievant's request, 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~~ harm the grievant's health or exacerbate the ailment that required taking sick leave.

~~All costs of legal counsel employed by a grievant are borne by the~~ The grievant bears all costs of legal counsel employed by a grievant.

If a grievant is employed ~~away from~~ outside of Blacksburg and ~~is required to~~ must travel ~~away from~~ their duty station ~~in resolution of to resolve~~ their grievance, the university pays all travel costs permitted under state regulations.

~~In the event that~~ if 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 or school 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~~ proper administrative office to initiate a 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 an A/P faculty member concerning an action of either the provost, ~~senior executive~~ vice president and chief ~~business operating~~ officer, vice provost for faculty affairs, or the vice president for human resources is handled by the Administrative and Professional Faculty Senate Vice President and an impartial hearing panel. ~~but~~ Still, 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~~ university's president 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~~ Administrative and Professional Faculty Senate Vice President.

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.

7.8.6 Overview of the Formal Grievance Process for Administrative and Professional Faculty

Below is an abbreviated overview of the grievance process and deadlines. ~~Refer to,~~Refer to “The Formal Grievance Procedure” in this chapter ~~for specific details and options available at each step~~ for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. (An agreement form to extend the grievance response time is available on the [provost's Faculty Forms page](#).)

The ~~validity of a grievance under university policy can be determined by the Administrative and Professional Faculty Senate~~Administrative and Professional Faculty Senate can determine the validity of a grievance under university policy ~~CAPFA~~ at any point in the process.

Step One	Step Number	Description
Within 30 days of event	1a.	Grievant submits written grievance to step one administrator (for Extension A/P faculty this is usually the district director) and Administrative and Professional Faculty Senate Vice President.
	1b.	Administrative and Professional Faculty Senate Vice President CAPFA chair acknowledges in writing to grievant that copy of grievance has been received
Within 10 weekdays	1c.	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.
	1d.	If the issue is not grievable, the grievance process concludes.
	1e.	If the issue is grievable, the step one administrator responds to grievance in writing on the grievance form.
	1f.	If step one administrator’s response is satisfactory to grievant, that ends the matter.

	1g.	If step one administrator's response is not satisfactory to the grievant, move to step two within 5 weekdays.
Step Two	Step Number	Description
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	Step Number	Description
Within 5 weekdays	3a.	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.
Within 5 weekdays	3b.	Step three administrator acknowledges receipt of grievance and forwards copy to Administrative and Professional Faculty Senate Vice President.
Within 5 weekdays	3c.	Administrative and Professional Faculty Senate Vice President acknowledges in writing to grievant that copy of grievance has been received from the step three administrator <u>and forwards a copy of the "Hearing Procedures for Administrative and Professional Faculty Grievances" to parties in the grievance process-</u>
Within 15 weekdays	3d.	Administrative and Professional Faculty Senate Vice President convenes a hearing panel that holds its initial meeting with both principals.

Within 45 weekdays	3e.	The hearing panel concludes its work and makes recommendation to step three administrator and grievant.
Within 10 weekdays	3f.	Step three administrator meets with grievant.
Within 10 weekdays	3g.	Step three administrator notifies grievant in writing of the decision.
	3h.	<u>If the step three administrator's decision is satisfactory to the grievant, even if it differs from the recommendations of the hearing panel, then that ends the matter. If the step three administrator's decision is fully consonant with the recommendations of the hearing panel, whether or not it is satisfactory to the grievant, that ends the matter and there is no further appeal. 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.</u>
	3i.	<u>If the step three administrator's decision is not consonant with the recommendations of the hearing panel and it is not acceptable to the grievant, only then may the grievant appeal to the university president. The appeal must be made within 20 calendar days of the step three administrator's decision. 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.</u>
Step Four	Step Number	Description
Within 20 calendar days	4a.	Grievant appeals in writing to president.
	4b.	The president's decision is final.

RESOLUTION TO RENAME THE DEPARTMENT OF BIOMEDICAL ENGINEERING AND MECHANICS

WHEREAS, during the 2023-2024 academic year, the College of Engineering relocated the Engineering Mechanics program from the Department of Biomedical Engineering and Mechanics to the Department of Mechanical Engineering; and

WHEREAS, the faculty and staff affiliated with the Engineering Mechanics program were also moved to the Department of Mechanical Engineering; and

WHEREAS, the Department of Biomedical Engineering and Mechanics is now solely focused on biomedical engineering in its course offerings, research, and degrees administered by the Department;

NOW, THEREFORE, BE IT RESOLVED that the Department of Biomedical Engineering and Mechanics be renamed the Department of Biomedical Engineering effect January 1, 2026.

RECOMMENDATION:

That the resolution to rename the Department of Biomedical Engineering and Mechanics be approved and the proposal forwarded to the State Council of Higher Education for Virginia (SCHEV) for approval.

June 3, 2025

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Institution

Virginia Polytechnic Institute and State University

Nature of Proposed Change

Virginia Polytechnic Institute and State University (Virginia Tech) requests approval to change the name of the current Department of Biomedical Engineering and Mechanics to the Department of Biomedical Engineering. The department is located in the College of Engineering. This change will be in name only and will not impact the organizational structure of the university or the college.

Appendix A presents the existing organizational structure of the college.

Appendix B presents the organizational structure of the college after the department name change.

Background

The Department of Biomedical Engineering and Mechanics was established in October 2015 by reorganizing the College of Engineering to merge the Department of Biomedical Engineering and the Department of Engineering Science and Mechanics and establish a new Department of Biomedical Engineering and Mechanics. The purpose of the department was to administer degree and other academic programs that combined the fundamental methods of the engineering science and mechanics field with the growing applications of biomedical engineering.

In fall 2023, the Dean of the College of Engineering met with the faculty of the Department of Biomedical Engineering and Mechanics to discuss relocating the Engineering Science and Mechanics faculty to another department in the college. The decision was made to relocate the Engineering Science and Mechanics faculty and academic programming to the Department of Mechanical Engineering. This realignment aimed to better reflect industry trends, foster academic synergy, and enhance student opportunities by moving engineering mechanics personnel and programs to another engineering department that is more directly aligned with the discipline's principles. On January 29, 2024, the Executive Vice President and Provost approved the relocation of the engineering science and mechanics graduate programs and associated faculty, staff, and students from the Department of Biomedical Engineering and Mechanics, effective July 1, 2024.

On June 27, 2024, the Department of Biomedical Engineering and Mechanics' biomedical engineering faculty discussed the department's degree programs and the minor and the alignment with the department name. The faculty also discussed the names of departments with similar degree programs at peer institutions. Based on the information reviewed, the faculty voted to propose changing the name of the department from the Department of Biomedical Engineering and Mechanics to the Department of Biomedical Engineering.

On June 28, 2024, the Department Head of the Department of Biomedical Engineering and Mechanics met with the College of Engineering Dean to discuss the possibility of changing the name of the department. The Department Head shared the faculty discussions and the results of the faculty vote with the Dean. During the meeting, the Dean endorsed proposing the name change of the department from the Department of Biomedical Engineering and Mechanics to the

Department of Biomedical Engineering. As a result of the process, the Dean determined the college should propose the name change. No further action was taken until fall 2024.

On December 18, 2024, the Executive Vice President and Provost contacted the Associate Vice Provost for Degree Innovation and SCHEV Compliance to assist the Department of Biomedical Engineering and Mechanics Department Head in developing a proposal to change the name of the department.

On [DATE], the Virginia Tech Board of Visitors approved the Department of Biomedical Engineering and Mechanics' proposal to change its name to the Department of Biomedical Engineering.

Purpose of Proposed Change

The purpose of the proposed organizational change is to change the name of the department to better reflect the academic programming in the department.

Mission

The proposed organizational change will not alter the university's mission. The mission of Virginia Tech states:

Inspired by our land-grant identity and guided by our motto, *Ut Prosim* (That I May Serve), 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.

The proposed new name aligns with the institution's mission. The proposed name supports Virginia Tech's commitment to "knowledge" and "discovery" given the department's focus is to use engineering principles to help solve medical and biological challenges.

Rationale for Proposed Change

The proposed name change will provide a more accurate description of the department's overall academic content. The proposed name change is needed and will help the department in two ways: 1) align the department's name with its academic and research focus, and 2) align department's name with peer institutions.

Alignment with Department Academic and Research Focus

Degree programs focused on engineering science and mechanics, as well as faculty who research engineering science and mechanics topics, such as solid mechanics, dynamics and control, and fluid mechanics, are no longer in the department. Therefore, the "mechanics" portion of the department's name no longer aligns with the department's academic or research focus.

The degree programs and minor program currently offered in the Department of Biomedical Engineering and Mechanics are focused solely on biomedical engineering. Faculty research in the department is focused on topics in the field of biomedical engineering, such as biomaterials, biomechanics, biomedical imaging, cardiovascular engineering, neuroengineering, and tissue

engineering. The proposed name change is needed to ensure the department has a name that accurately reflects its academic and research focus.

Alignment with Peer Institutions

During the spring of 2025, Virginia Tech's SCHEV Compliance staff conducted research to examine SCHEV peer institutions for academic units that offered degree programs and other academic programs similar to the Department of Biomedical Engineering and Mechanics. The SCHEV Compliance staff shared the results with the faculty, noted if a department was present, and reviewed the names of the departments.

Of the 25 SCHEV peer institutions, 25 have academic units that offer similar degree and other academic programs in the field of biomedical engineering. Of those 25 institutions, 15 have a Department of Biomedical Engineering, five (5) have a Department of Bioengineering, and two (2) have a School of Biomedical Engineering. Two (2) institutions have similar academic programming in biomedical engineering that are administratively housed at the college level, and one (1) institution has similar academic programming in biomedical engineering that is housed in a Department of Chemical and Biomedical Engineering.

The proposed name change is needed to align the department name with similar departments at Virginia Tech's peer institutions.

See Appendix C for a list of academic units at SCHEV peer institutions.

Academic Programs

The proposed name change will not impact the curricular offerings in the department. No degree programs will relocate as a result of the proposed name change. There will be no changes to the existing degree or minor program as a result of the proposed name change. The department offers the following degree and other academic programs:

Bachelor of Science (B.S.) in Biomedical Engineering
Master of Science (M.S.) in Biomedical Engineering
Doctor of Philosophy (Ph.D.) in Biomedical Engineering

Minor in Biomedical Engineering

Resources/Budget

There will be an initial expenditure of approximately \$9,500 to be used for purchasing signage and print materials associated with the proposed name change.

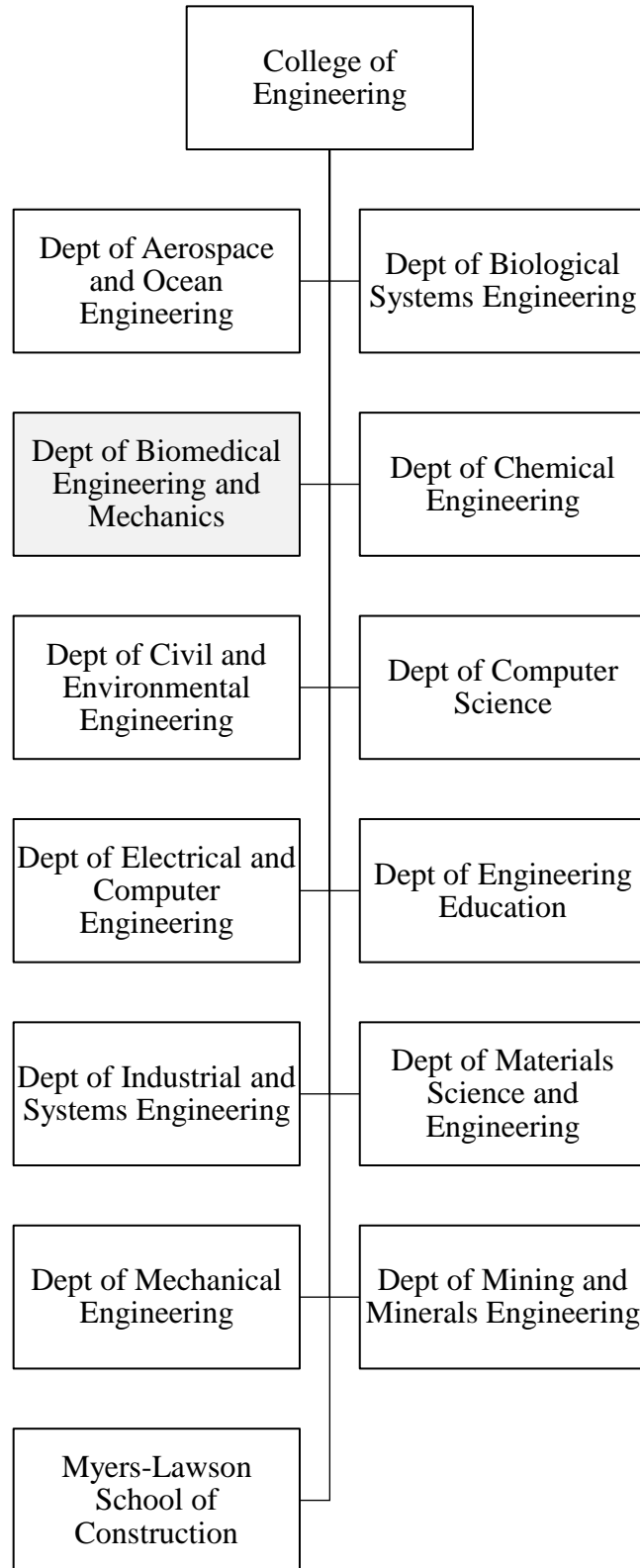
Signage (internal and external to the building)	\$7,000
Print materials (stationery and business cards)	\$2,500
Total	\$9,500

No additional expenses are required to implement the proposed name change. No new positions will be needed to implement the name change. Departmental administration, administrative

support, and space will not be changed by the proposed name change. Changes to the website will be completed during the normal course of business as internal updates are completed. Virginia Tech and the College of Engineering have adequate and sufficient resources for the proposed organizational change to change the department's name. No new resources will be requested from the state to initiate or sustain the organizational change to rename the Department of Department of Biomedical Engineering and Mechanics.

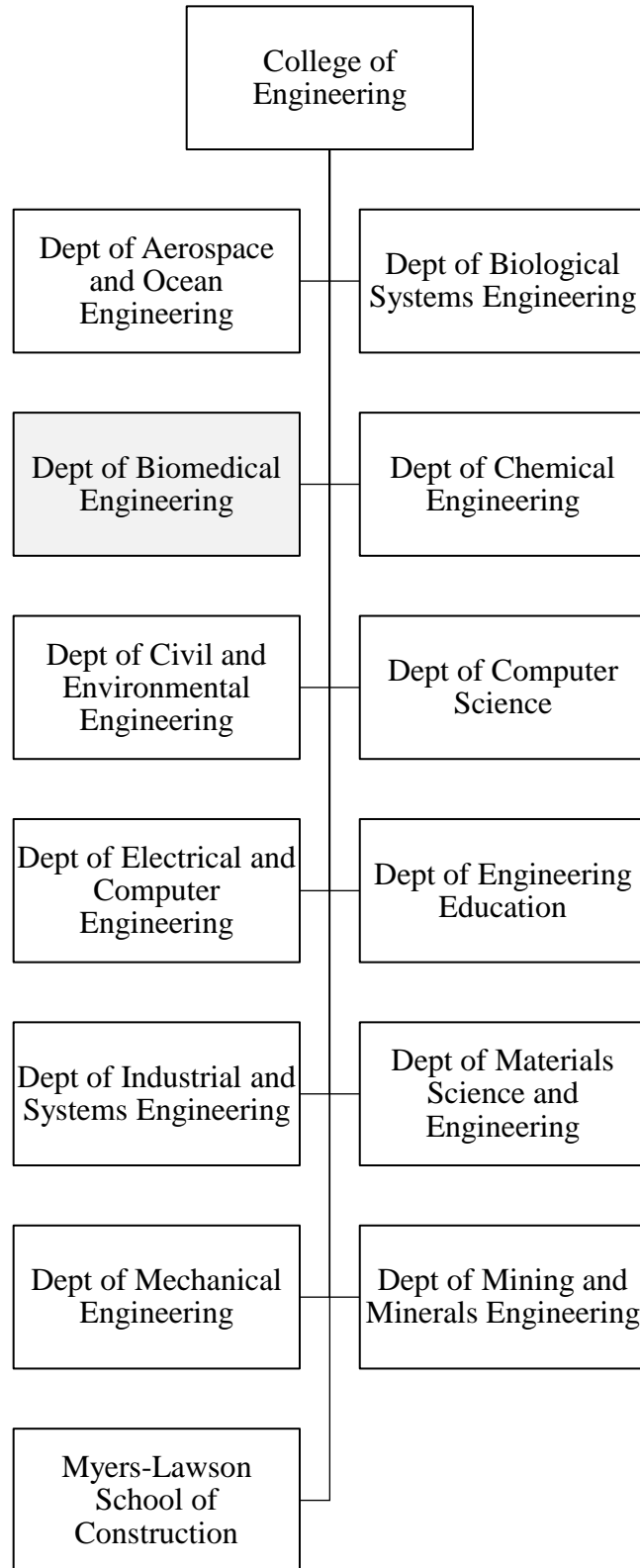
Appendices

Appendix A
Current Organizational Structure



Appendix B

Proposed Organizational Structure



Appendix C
Academic Units at Peer Institutions

	Institution	Department/Unit
1	Cornell University	Meinig School of Biomedical Engineering
2	Iowa State University	No department (biomedical engineering programming administered at the college level)
3	Michigan State University	Department of Biomedical Engineering
4	North Carolina State University	Department of Biomedical Engineering
5	Ohio State University-Main Campus	Department of Biomedical Engineering
6	Pennsylvania State University-Main Campus	Department of Biomedical Engineering
7	Purdue University-Main Campus	No department Weldon School of Biomedical Engineering
8	Rutgers University-New Brunswick/Piscataway	Department of Biomedical Engineering
9	Stony Brook University	Department of Biomedical Engineering
10	SUNY at Buffalo	Department of Biomedical Engineering
11	Texas A&M University	Department of Biomedical Engineering
12	The University of Texas at Austin	Department of Biomedical Engineering
13	University of California-Berkeley	Department of Bioengineering
14	University of California-Davis	Department of Biomedical Engineering
15	University of Colorado at Boulder	No department (biomedical engineering programming administered at the college level)
16	University of Florida	J. Crayton Pruitt Family Department of Biomedical Engineering
17	University of Illinois at Urbana-Champaign	Department of Bioengineering
18	University of Maryland-College Park	Fischell Department of Bioengineering
19	University of Michigan-Ann Arbor	Department of Biomedical Engineering
20	University of Minnesota-Twin Cities	Department of Biomedical Engineering
21	University of Missouri-Columbia	Department of Chemical and Biomedical Engineering
22	University of Pittsburgh-Main Campus	Department of Bioengineering
23	University of Southern California	Alfred E. Mann Department of Biomedical Engineering
24	University of Washington-Seattle Campus	Department of Bioengineering
25	University of Wisconsin-Madison	Department of Biomedical Engineering

RESOLUTION TO CLARIFY ELIGIBILITY FOR POSTDOCTORAL ASSOCIATE STATUS

WHEREAS, the Faculty Handbook describes the position titles and duties of all faculty;
and

WHEREAS, postdoctoral associate, a subcategory of research faculty, is an individual holding a doctoral degree who is engaged in a temporary period of mentored research and/or scholarly training for the purpose of acquiring the professional skills needed to pursue a career path of his or her choosing; and

WHEREAS, national bodies including the National Postdoctoral Association and the National Institutes of Health Advisory Committee to the Director Working Group on Re-envisioning NIH- Supported Postdoctoral Training recommend limiting the duration of a postdoctoral traineeship to five years total, even at multiple institutions; and

WHEREAS, consistent measurement of the duration of a postdoctoral trainee period supports implementation of these recommendations and clarity with university stakeholders; and

WHEREAS, occasional and well-defined exceptions to consistent measurement are justified when in the best interest of the postdoctoral associate;

NOW, THEREFORE, BE IT RESOLVED, that the faculty handbook, section 6.1.2, be revised as shown below with changes noted in red.

BE IT FURTHER RESOLVED, that these revisions will become effective for the 2025-26 Faculty Handbook.

RECOMMENDATION:

That the resolution to clarify eligibility for postdoctoral status be approved and included in the 2025-26 Faculty Handbook.

June 3, 2025

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 with a terminal degree 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~~s~~. 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 always on restricted not appropriate for regular~~ appointments. See section 2.6.2 for more information about restricted appointments.

Individuals are eligible to be postdoctoral associates for a ~~The maximum cumulative allowable duration of employment for a postdoctoral associate held by a single individual, even at multiple institutions,~~ five years, including prior experience in a postdoc position at another institution. Generally, eligibility is calculated from the date of conferral of a terminal degree. Appointment to this faculty rank is usually 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. ~~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~~ requires a promotion in rank. Exceptions for extenuating circumstances may be made by the Office of Research and Innovation.

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 head, chair, or school director, 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. ~~Review by the Office of Research and Innovation is required before an offer is made.~~

RESOLUTION TO AMEND THE FACULTY HANDBOOK TO CODIFY INTEREST- OR DISCIPLINE-BASED FACULTY ORGANIZATIONS

WHEREAS, the Faculty Handbook describes the policies related to faculty and the organizations within Virginia Tech to which they belong; and

WHEREAS, faculty with common disciplinary or professional interests may wish to organize for the purposes of networking and professional development; and

WHEREAS, formal recognition of such organizations by Virginia Tech is beneficial to the faculty and in alignment with mutual interests of advancing professional interests and fostering collegiality and collaboration among faculty;

NOW, THEREFORE, BE IT RESOLVED that Chapter 1 of the Faculty Handbook be amended with the changes noted below in red.

BE IT FURTHER RESOLVED, that these revisions will become effective for the 2025-26 Faculty Handbook.

1.1.12 Faculty Organizations

Faculty organizations may be established by faculty for the purposes of building communities of practice and networking for professional development. These organizations may be comprised of faculty around certain disciplinary interests, experiences, or towards specific goals. These faculty organizations have constitutions that designate their purposes, membership, officers, election procedures, standing committees and their duties, and other organizational and procedural matters. These faculty organizations do not have a formal role in university governance but are recognized by and supported in their activities, as appropriate, by the office of the Vice Provost for Faculty Affairs.

RECOMMENDATION:

That the resolution to codify interest-based or discipline-based faculty organizations be approved and included in the 2025-26 Faculty Handbook.

June 3, 2025

RESOLUTION TO INTEGRATE CHAPTER 12 INTO CHAPTERS 2 AND 5 OF THE FACULTY HANDBOOK

WHEREAS, the Faculty Handbook describes all position titles and duties for faculty; and

WHEREAS, the Virginia Carilion School of Medicine (VTCOSOM) faculty position titles and duties have been included separately in the Faculty Handbook since the integration of the school into Virginia Tech in 2018; and

WHEREAS, VTCOSOM faculty position titles and duties are being brought into alignment with other faculty at Virginia Tech and no longer require a separate chapter in the Faculty Handbook;

NOW, THEREFORE, BE IT RESOLVED, that Chapter 12 of the Faculty Handbook be removed and the content of Chapters 2 and 5 of the Faculty Handbook be amended as shown below with changes noted in red; and

BE IT FURTHER RESOLVED, that these revisions will become effective for the 2025-26 Faculty Handbook.

RECOMMENDATION:

That the resolution to integrate chapter 12 into chapters 2 and 5 be approved and included in the 2025-26 Faculty Handbook.

June 3, 2025

2.3.5 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.

2.3.5.1 Leadership of the Faculty of Health Sciences

The executive vice president and provost (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.

2.3.5.2 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.

2.3.6 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 Virginia Tech 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.~~

VTCSOM faculty members employed by Virginia Tech receive appointments in one of the ranks described in the faculty handbook. VTCSOM 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

VTCSOM faculty members employed by other entities 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. Faculty (e.g. physician, other clinicians) employed by other entities are not eligible for tenure as described in chapter three of the Faculty Handbook.

2.3.6.1 VTCSOM 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 (ACCME).

2.3.6.2 Additional Policy Obligations

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, ~~Individuals with appointment to the VTCSOM faculty are subject to all relevant and appropriate sections of this handbook and university policies.~~ including chapter two "Professional Responsibilities and Conduct" and chapter three "Imposition of a Severe Sanction or Dismissal for Cause".

2.6.6.2 Winter Session Appointments

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

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

2.6.6.3 Winter and Summer Session Appointments for A/P Faculty

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

2.6.7 Tenure-to-Title Track Faculty Appointments

General conditions and definitions. Exclusive to the VTCSOM, tenure-to-title is the conferring of a permanent, non-employment, appointment to ~~the~~ 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, 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 **only be** rescinded for imposition of a severe sanction or dismissal for cause.

Nomination and selection. 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.~~

~~The tenure-to-title dossier is reviewed by an appropriately charged departmental committee and the department head, and by an appropriately charged VTCSOM-level committee. After review by the appropriate departmental and college committee, the dean makes recommendations to the provost for approval by the Board of Visitors.~~

5.1 Non-Tenure-Track Instructional Faculty Series

5.1.1 Visiting **Professor** Faculty

Appointment to ~~the rank of~~ visiting ~~assistant, associate, or professor~~ faculty positions is for a restricted period to conduct learning, discovery, and engagement responsibilities within an academic department or school. A visiting faculty member may not serve in such a position beyond six years.

Service. Full-time service ~~at this rank as a visiting faculty member~~ 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 Faculty

Appointment to ~~the rank of~~ adjunct ~~assistant, associate, or professor~~ faculty positions is reserved for persons whose primary employment is with another agency, organization, educational institution, or with a non- instructional unit of the university. Appointments may be renewed annually.

Adjunct professors are usually compensated as wage employees using the university's P14 form found on the [Human Resources Adjunct Faculty](#) (P14) page.

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 or school 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.

**RESOLUTION TO CODIFY THE FACULTY RECONCILIATION PROCESS
WITHIN THE OFFICE OF FACULTY AFFAIRS**

WHEREAS, the process of reconciliation for mediating issues affecting faculty is of critical importance to the ability of faculty to perform their jobs; and

WHEREAS, reconciliation is a complex process that requires professional training and extensive knowledge of the policies and administrative entities at Virginia Tech; and

WHEREAS, the Faculty Senate has an external Committee on Reconciliation that presently provides consultation for faculty members as part of the reconciliation process; and

WHEREAS, the reconciliation process is better handled through the Office of Faculty Affairs by a trained Director of Faculty Reconciliation;

NOW, THEREFORE, BE IT RESOLVED that the Faculty Handbook be revised as shown below in red to formalize and codify the role of a Director of Faculty Reconciliation (DFR) within the Office of Faculty Affairs and to remove mention of the Faculty Senate Committee on Reconciliation; and

THEREFORE, BE IT FURTHER RESOLVED that Article VIII of the Faculty Senate Constitution be revised as shown below with changes noted in red to remove reference to the Faculty Senate Committee on Reconciliation; and

BE IT FURTHER RESOLVED that these revisions will become effective for the 2025-26 Faculty Handbook.

RECOMMENDATION:

That the resolution to codify the faculty reconciliation process within the Office of Faculty Affairs be approved and included in the 2025-26 Faculty Handbook.

June 3, 2025

Faculty Handbook (excerpts)

2.31 Faculty Senate Standing Committees on Ethics, ~~Reconciliation~~, and Review

External Faculty Senate Standing Committees report to the vice president of the senate and are summarized in the Faculty Senate Constitution. See [Faculty Senate website](#) for information.

2.31.1 Faculty Senate Committee on Ethics

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

2.31.2 Faculty Senate Review Committee

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

2.32 Faculty ~~Senate Committee on~~ Reconciliation

The ~~Committee on Reconciliation~~ Office of the Vice Provost for Faculty Affairs provides support for the Director of Faculty Reconciliation. The Director of Faculty Reconciliation (DFR) serves as a private and independent resource to ~~offers~~ advice and counsel to faculty members who seek it, particularly in relation to disputes with immediate supervisors or university administrators. The ~~committee~~ DFR 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 DFR the committee~~ regarding serious disagreements with ~~colleagues~~, 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~~ The DFR operates informally as a facilitator, meetings with the respective parties to determine if there is common ground for resolution of the matter, and facilitating a solution that is agreeable to the principal parties and consistent with university policy and practice. The DFR may consult with the vice provost for faculty affairs but operates independently; any conversations will remain private unless permitted otherwise by the faculty member. For more information, consult [Faculty Reconciliation](#). ~~Contact Faculty Affairs in the provost's office for information on Faculty Reconciliation.~~

2.33 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.

2.34 Consulting Activities

Consult the [Conflicts of Interest and Commitment webpage](#) 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.

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

Professional service includes service on national commissions, on boards of governmental agencies, on granting agency peer review panels, on visiting committees or advisory groups to other universities, on professional associations, and on analogous bodies. Professional service activities may involve a token honorarium and/or expense reimbursement. These activities are considered part of the faculty member's institutional responsibilities for participation in the larger scholarly academic community. Participation in external professional service activities may require supervisor approval depending on departmental or school 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 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 webpage 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.

2.34.1 Consulting Activities for Virginia Cooperative Extension Faculty

See chapter seven of this handbook for additional information applicable to Extension faculty members. 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.

2.34.2 Virginia Tech Continuing and Professional Education Technical Assistance Program (TAP)

Consult 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% 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% for academic year faculty members. Faculty members on calendar year appointments may earn 33⅓% 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.

2.35 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.

2.36 Conflicts of Commitment

Consult the [Conflicts of Interest and Commitment](#) webpage for information and procedures. A conflict of commitment arises when the external activities of a faculty member are so demanding of time, attention, or focus that they interfere with the individual's responsibilities to the university.

Nothing in this policy statement shall be interpreted as interfering with the academic freedom of faculty members, nor with their primary responsibility to direct their own research.

Faculty members have traditionally been allowed wide latitude in defining their professional agendas and their degree of involvement in external activities when those activities advance the mission or prestige of the university. The university encourages active participation by faculty

members in external activities that are integral to and/or enhance their professional skills and standing or that constitute substantive outreach and public service activities.

Such activities are usually expected of faculty members to promote academic development, and to enrich their contributions to the institution, their profession, the state, and national and world societies. Additionally, Virginia Tech encourages entrepreneurial activities by faculty, recognizing that such activities are critical to promoting economic development and meeting society's needs, if participation in those activities complies with federal and state laws and policies, the Virginia Tech conflicts of interest policy, and these guidelines.

Faculty members should make the fulfillment of their responsibilities to the university the focal point of their professional effort. They are expected to arrange their external activities so that they do not impede or compromise their university duties and responsibilities. Responsibility for ensuring commitment to the university and for reporting activities that might be perceived as compromising that commitment rests with each faculty member in consultation with the department head, chair, school director, or supervisor and dean, or relevant senior manager.

The university recognizes that the balance of external activities varies among individuals, from discipline to discipline, and from one type of proposed activity to another. That balance is affected by unit goals and changing needs for teaching, research, creative and artistic activities, Extension, service, and outreach. Primary duties and responsibilities may vary from year to year for individual faculty members. Undergraduate and graduate enrollment demands, faculty-staffing levels, and changes in the nature and scope of outreach, teaching, and research within the unit may affect the primary duties and responsibilities of individual faculty. The primary judgment as to whether a faculty member is meeting professional responsibilities to the unit rests with the department head, chair, school director, or supervisor and dean, or relevant senior manager.

If a faculty member is committed to engaging in an external activity that compromises their ability to meet university responsibilities, a leave of absence or a reduction in their percentage of employment may be appropriate or necessary. Approval of a leave request or change in appointment depends on the needs of the unit and college and protection of university interests.

If a department head, chair, school director and/or dean, observes that a faculty member appears to not be fulfilling their primary responsibilities to the university, the administrator shall immediately address these concerns with the faculty member to ensure that these responsibilities are adequately met. Failure to meet primary departmental or school 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).

2.37 Conflicts of Interest

Consult the [Conflicts of Interest and Commitment](#) page and [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 webpage](#) maintained by the Research Conflict of Interest Program for a list of other Virginia Tech policies that touch on conflicts of interest more broadly.

2.37.1 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 provost (or relevant vice president for a non-academic appointment) prior to submission to the Board of Visitors for approval.

2.37.2 Conflicts of Interest Training and 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.

2.37.3 Conflicts of Interest Training and Disclosure Requirements for Certain Employees

[Chapter 31 of Title 2.2 of the Code of Virginia](#) outlines the Commonwealth's State and Local Government Conflict of Interests Act (the Act). 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.

[Chapter 31 of Title 2.2 of the Code of Virginia](#) outlines the Commonwealth's State and Local Government Conflict of Interests Act (the Act) requires that certain Virginia Tech employees must take training and disclose financial interests to the Commonwealth of Virginia that they or an immediate family member hold. Training for Statement of Economic Interests (SOEI) filers is provided by the Virginia Conflict of Interest and Ethics Advisory Council and is required initially and every two years. Note that this requirement is in addition to the Virginia Tech-specific COI training required for Investigators on sponsored research projects. SOEI filers must continue to disclose financial interests to Virginia Tech and take research COI training, as needed.

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.

2.37.4 Conflicts of Interest Training and 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.

2.37.5 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.

2.37.6 Participation of and Payment to Students in Projects Involving Faculty Owners

[Policy 13010](#) outlines Financial Conflict of Interest Management to Promote Objectivity in Research. The management plan is designed to mitigate the conflict, promote research objectivity, and provide academic and professional protection for graduate and professional students, and postdoctoral scholars respectively. See also the [Graduate Catalog](#) for information for graduate students seeking employment in university employee-owned businesses.

2.38 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.

2.38.1 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.

2.38.2 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.

2.38.3 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.

2.38.4 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.

2.38.5 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 webpage 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.

2.38.6 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.

2.38.7 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 or school responsible for the facility or equipment verifies, on the Request to Engage in External Activity Form 13010A, that the proposed use does not interfere with, or have priority over, anticipated university use of the facility or equipment.

In approving the Request to Engage in Outside Activities, the faculty member's department head, chair, school director, or supervisor and dean or vice president (and provost, when appropriate) determine that the consultation is of substantial professional merit and presents no conflict of interest in the use of the facilities or equipment. Particular care is given to the relationship of the consultation with current or potential grants or contracts and to the possibility of unfair competition with local firms and businesses.

If an employee uses equipment of a specialized service center, the employee is charged the "commercial" or "consulting" rate, as determined by the Controller's Office. The employee is billed based on actual use. The deposit is credited to the appropriate service center account established by the Controller's Office.

If the faculty member uses facilities such as those of the Virginia Tech athletic department, Moss Arts Center, or Student Engagement and Campus Life venues, the employee is charged at a rate established by the Controller's Office for such use. The deposit is made to the appropriate venue account.

For facilities other than specialized service centers, or other facilities for which a charge rate has been determined, the use of the facilities must be authorized and reimbursed at a rate determined

by the collaboration of the employee's department head, chair, school director, or supervisor and the Controller's Office.

The use of University Libraries facilities in connection with consulting is exempt from the above regulations since those facilities are available to the public.

2.38.7.1 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 hierarches 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.

2.38.8 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.

2.38.9 Domestic and International Travel

Consult the website of the Controller's Office for information. The university encourages faculty to pursue endeavors that will enhance their professional development and benefit university programs. For details on travel-related business expenses and travel reporting procedures, refer to [Controller's Office Procedures 20335A: Travel Overview](#). Consult [Policy 1070 "Global Travel Policy"](#). The university strongly encourages all members of the university community who are contemplating travel abroad for education, research, or other purposes to plan well in advance and to take precautions to ensure a safe trip.

2.38.10 Use of University Letterhead

As a primary identifier of the university, letterhead should only be used for appropriate university business. As such, university letterhead is not to be used for personal business or where personal gain results. Avoid endorsements of political personages, businesses, or products when using university letterhead. Discretion is advised if correspondence on university letterhead could be construed as a university endorsement.

3.10 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).

3.10.1 Adequate Cause

Adequate cause for imposition of a severe sanction or dismissal is related, directly, and substantially, to the fitness of faculty members in their professional capacity as teachers and scholars. Imposition of a severe sanction or dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights.

Adequate cause includes: violation of professional ethics (see chapter two of this handbook "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.

3.10.2 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 this 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.

3.10.3 Dismissal for Cause

The following procedures apply to faculty members with tenure or for dismissal of a tenure-track faculty member before the end of their current contract. Dismissal is preceded by:

Step one. Discussions between the faculty member, department head, chair, or school director, dean, and/or provost, looking toward a mutual settlement.

Step two. Informal inquiry by a standing (or, if necessary, ad hoc) faculty committee having concern for personnel matters. This committee attempts to affect an adjustment and, failing to do so, determines whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the president's decision whether to proceed.

Step three. The furnishing by the president (in what follows, the president may delegate the provost to serve instead) of a statement of specific charges, in consultation with the department head, chair, or school director and dean. The statement of charges is included in a letter to the faculty member indicating the intention to dismiss, with notification of the right to a formal hearing. The faculty member is given a specified reasonable time limit to request a hearing; that time limit is no less than 10 days.

Procedures for conducting a formal hearing, if requested. If a hearing committee is to be established, the president asks the Faculty Senate, through its president, to nominate nine faculty members to serve on the hearing committee. These faculty members are nominated based on their objectivity, competence, and regard. They must have no bias or untoward interest in the case and be available at the anticipated time of the hearing. The faculty member and the president each have a maximum of two challenges from among the nominees without stated cause. The president then names a five-member hearing committee from the remaining names on the nominated slate. The hearing committee elects its chair.

Pending a final decision on the dismissal, the faculty member is suspended only if immediate harm to him or herself or to others is threatened by continuance. If the president believes such suspension is warranted, consultation takes place with the ~~Faculty Senate Committee on Reconciliation~~ Director of Faculty Reconciliation concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.

Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the charges or asserting that the charges do not support a finding of adequate cause. In such a case,

the hearing committee evaluates all available evidence and makes its recommendation based on the evidence in the record.

The committee, in consultation with the president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentation or other evidence. The administration cooperates with the hearing committee in securing witnesses and evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements from unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The president and the faculty member are notified of the recommendation in writing and are given a written copy of the recording of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity to respond.

Appeal to the Board of Visitors. If the president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board).

The board's review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the committee with specific objections. The committee then reconsiders, taking into account the stated objections and receiving new evidence if necessary. The board makes a final decision only after studying the committee's reconsideration.

Notice of termination/dismissal. In cases where gross misconduct is decided, termination is usually immediate. The standard for gross misconduct is behavior so egregious that it evokes

condemnation by the academic community generally and is so utterly blameworthy as to make it inappropriate to offer additional notice or severance pay.

The first faculty committee that considers the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty member with tenure receives up to one year of salary or notice, and (b) a probationary faculty member receives up to three months' salary or notice. These terms of dismissal begin on the date of final notification of dismissal.

3.11 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.

3.11.1 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 [Virginia Tech Office of Interactive Communication and Empowerment \(VOICE\)](#), 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-Director of Faculty Reconciliation \(DFR\)](#) in fashioning an equitable solution. ~~Faculty members may also contact the provost's office of Faculty Affairs regarding options for reconciliation support.~~ Contacting the ~~Faculty Senate Committee on Reconciliation-DFR~~ 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, the grievant must contact the ~~chair of the Faculty Senate Committee on Reconciliation DFR~~ 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 grievance process. If the grievant requests assistance from the ~~Faculty Senate Committee on Reconciliation DFR~~, ~~they that committee will~~ requests a postponement of the time limits involved in the formal grievance procedure while ~~it they deals~~ with the case. The request is submitted in writing to the vice provost for faculty affairs ~~and the vice president of the faculty senate~~ by the ~~chair of the Faculty Senate Committee on Reconciliation DFR~~. ~~Also~~In addition, the grievant should reach an understanding with the ~~Faculty Senate Committee on Reconciliation DFR~~ of the time frame planned for ~~that committee's~~ working on the case, ~~with~~ such time not to exceed 60 calendar days.

Faculty members may also consult the ~~Faculty Senate Committee on Reconciliation DFR~~ about serious disagreements with ~~colleagues~~, immediate supervisors, or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the ~~committee DFR~~ 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 provost. For more information, consult [Faculty Reconciliation](#).

Mediation. Conflict resolution and mediation are provided by the [Office for Equity and Accessibility](#). Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of mediators: Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting mediation: Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. In the event that the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

3.11.2 The Formal Grievance Procedure

Visit the Faculty Forms on the provost's Faculty Affairs webpage for the [grievance form](#). If the assistance of ~~the director of fFaculty Senate Committee on Reconciliation~~ is not desired or is not requested; or if ~~that committee~~ the DFR determines that ~~it they~~ cannot provide assistance in the matter; or if the grievant finds that the length of time the ~~Committee on Reconciliation-DFR~~ plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of ~~that committee-the DFR~~, the grievant may pursue the issue as a formal grievance through the following procedure. Department heads, chairs, or school directors, deans, directors, and other administrative faculty will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of the case.

Step one. The grievant must meet with the immediate supervisor (usually the department head, chair, or school director) within 30 calendar days of the date that grievant knew or should have known of the event or action that is the basis for the grievance and orally identifies the grievance and the grievant's concerns. The supervisor provides an oral response to the grievant within five weekdays following the meeting. If the supervisor's response is satisfactory to the grievant, that ends the matter.

Step two. If a satisfactory resolution of the grievance is not achieved by the immediate supervisor's oral response, the grievant may submit a written statement of the grievance and the relief requested to the immediate supervisor. This statement must be on the faculty grievance form, must define the grievance and the relief requested specifically and precisely, and must be submitted to the immediate supervisor within five weekdays of the time when the grievant received the immediate supervisor's oral response to the first step meeting. Faculty grievance forms are available on the [provost's Faculty Forms page](#). Within five weekdays of receiving the written statement of the grievance, the immediate supervisor, in turn, gives the grievant a written response on the faculty grievance form, citing reasons for action taken or not taken. If the written response of the immediate supervisor is satisfactory to the grievant, that ends the matter.

Step three. If the resolution of the grievance proposed in the written response by the immediate supervisor is not acceptable, the grievant may advance the grievance to the next level of university administration by checking the appropriate place on the faculty grievance form, signing and sending the form to the next level administrator within five weekdays of receiving the written response from the immediate supervisor. The next level of administration for college faculty is usually the college dean. The administrator involved at this next level is hereafter referred to as the second-level administrator. Following receipt of the faculty grievance form, the second-level administrator, or designated representative, meets with the grievant within five weekdays. The second-level administrator may request the immediate supervisor of the grievant be present; the grievant may similarly request that a representative chosen from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the second-level administrator does not have legal counsel present. The second-level administrator gives the grievant a written decision on the faculty grievance form within five weekdays after the meeting, citing reasons for the decision. If the second-level administrator's written response to the grievance is satisfactory to the grievant it ends the matter.

Step four. If the resolution of the grievance proposed in the written response from the second-level administrator is not acceptable, the grievant may advance the grievance within five weekdays to the level of the provost, including consideration by an impartial hearing panel of the Faculty Senate Review Committee.

Upon receiving the faculty grievance form requesting step four review, the provost, or appropriate designated representative, acknowledges receipt of the grievance within five weekdays and forwards a copy of the Procedures of the Faculty Senate Review Committee to parties in the grievance process. The provost immediately forwards a copy of the grievance to the president of the Faculty Senate, who also writes to the grievant to acknowledge receipt of the grievance within five weekdays of receipt of the faculty grievance form from the provost.

The grievant may petition the provost to bypass the Faculty Senate Review Committee and rule on the grievance. If the provost accepts the request, there is no subsequent opportunity for the grievance to be heard by a hearing panel. The provost's decision, however, may be appealed to the president, as described in step five. If the provost does not accept the petition, the Faculty Senate Review Committee hears the grievance as outlined in these procedures.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

Hearing panel. A hearing panel consists of five faculty members appointed by the chair of the Faculty Senate Review Committee from among the members of the Faculty Senate Review Committee. The chair of the Faculty Senate Review Committee polls all appointees to ensure that they have no conflict of interest in the case. Both parties to the grievance may challenge one of the appointments, if they so desire, without need to state cause, and the chair of the Faculty Senate Review Committee appoints the needed replacement or replacements. Other replacements are made only for cause. The chair of the Faculty Senate Review Committee rules on issues of cause.

To ensure uniformity in practice, the chair of the Faculty Senate Review Committee or their designee serves as the non-voting chair of each hearing panel. If the chair of the Faculty Senate Review Committee has a conflict of interest concerning a case, the chair appoints a disinterested third party from among the members of the Faculty Senate Review Committee not already appointed to the hearing panel for the case to serve as chair of the hearing panel.

Hearing. After a hearing panel is appointed, the chair of the Faculty Senate Review Committee requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Faculty Senate president. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling. The hearing is then reconvened as appropriate.

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak on their behalf if so requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does

not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsels are present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel.

Findings and recommendations. The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Faculty Senate president. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the provost, the grievant, and the chair of the Faculty Senate Review Committee.

Provost's action. The provost meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant about the prospects for disposition of the case. Within 10 weekdays of that meeting, the provost sends to the grievant the decision in writing concerning the disposition of the grievance. If the provost's decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel that ends the matter.

Step five. If the provost's decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the president within 20 calendar days. The president's decision is final.

3.11.3 Timeliness of Grievance and Procedural Compliance (see chart below)

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time when the event or action should have been known and is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution was accepted as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the enforcement of the most

recently proposed resolution. The finding on the matter by the chair of the Faculty Review Senate Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee consisting of the president of the Faculty Senate, the chair of the Faculty Senate Committee on ~~Reconciliation~~ Ethics, 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.

3.11.4 Valid Issues for Grievance

For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation; unreasonable merit adjustment or salary level; excessive teaching load/work assignments; substantive violations of promotion and tenure procedures including the appeal process (see appeal process in chapter three of this handbook “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, appeals of non-reappointment, promotion and/or tenure decisions); the contents of personnel and other 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~~ Ethics, 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.

4.4.9 Appeals of Decisions on Reappointment, Continued Appointment, or Promotion

A faculty member who is notified of a negative decision following evaluation for a term reappointment during the probationary period, for continued appointment, or for promotion may appeal for review of the decision under conditions and procedures specified in this section. The appellant has a right to an explanation of the reasons contributing to the denial.

Such an appeal must be filed, in writing, within 14 calendar days of formal notification of the decision, which shall refer to appeal procedures. The appeal can only be based on the grounds that certain relevant information was not provided or considered in the decision, or that the decision was influenced by improper consideration.

In their recommendations, administrators and committees hearing an appeal should address the standards outlined in the previous paragraph. In particular, they shall not substitute their own judgment on the merits for that of the body or individual that made the decision under appeal. The recommendations should address the allegations in the appeal with specificity and cite appropriate evidence.

Appeals should be resolved as quickly as possible without compromising fairness or thoroughness of review. Whenever possible, the goal should be to achieve a final resolution in time to accommodate the first meeting of the Board of Visitors in the fall semester.

A faculty member who believes that the appeal procedures described in this section have been improperly followed may, at any point, seek advice from ~~the Faculty Senate Committee on Reconciliation~~ the Director of Faculty Reconciliation and/or file a grievance in accordance with the grievance procedure in chapter four of this handbook, "Faculty Grievance Policy and Procedures."

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 of this handbook, "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~~ Director of Faculty Reconciliation concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.

Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the charges or asserting that the charges do not support a finding of adequate cause. In such a case, the hearing committee evaluates all available evidence and rests its recommendation on the evidence in the record.

The committee, in consultation with the president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration cooperates with the hearing committee in securing witnesses and evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements of unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The university president and the faculty member are notified of the recommendation in writing and are given a written copy of the record of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the university president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the university president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity for response.

Appeal to the Board of Visitors. If the university president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board). The board's review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the hearing committee with specific objections. The hearing committee then reconsiders, taking into account the stated objections and receiving new evidence if necessary. The board makes a final decision only after studying the hearing committee's reconsideration.

Notice of Dismissal. In cases where gross misconduct is decided, dismissal is usually immediate. The standard for gross misconduct is behavior so egregious that it evokes condemnation by the academic community generally and is so utterly blameworthy as to make it inappropriate to offer additional notice or severance pay. The first faculty committee that considers the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty member with continued appointment receives up to one year of salary or notice, and (b) a probationary faculty member receives up to three months' salary or notice. These terms of dismissal begin at the date of final notification of dismissal.

4.7 Faculty Grievance Policy and Procedures

The following procedure is provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by members of the University Libraries faculty with continued appointment or on the continued appointment-track. [The Faculty Senate Review Committee](#) conducts the step four hearing if requested.

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 [Virginia Tech Office of Interactive Communication and Empowerment \(VOICES\)](#) 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 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~~ Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Contacting the ~~Faculty Senate Committee on Reconciliation~~ DFR 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. ~~Contact Faculty Affairs in the provost's office for information on Reconciliation.~~

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~~ DFR 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 grievance process. If the grievant requests assistance from the ~~Faculty Senate Committee on Reconciliation, DFR, that committee~~ the DFR 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~~ DFR submits the request in writing to the vice provost for faculty

affairs and the vice president of the Faculty Senate. Also In addition, the grievant reaches an understanding with the ~~Faculty Senate Committee on Reconciliation~~ DFR of the time frame planned for ~~that committee's~~ working on the case, with such time not to exceed 60 calendar days.

Faculty members may also consult the ~~Faculty Senate Committee on Reconciliation~~ DFR 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~~ DFR 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 provost. ~~Information on the Faculty Senate Committee on Reconciliation is on the Faculty Senate website.~~ For more information, consult [Faculty Reconciliation](#).

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 the [Office for Equity and Accessibility](#). Because mediation is voluntary, both parties must agree to participate in order for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of Mediators. Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting Mediation. Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

4.7.2 The Formal Grievance Procedure

If the assistance of the ~~Faculty Senate Committee on Reconciliation~~ Director of Faculty Reconciliation (DFR) is not desired or is not requested; or if the DFR determines that ~~it~~they cannot provide assistance in the matter; or if the grievant finds that the length of time the ~~Faculty Senate Committee on Reconciliation~~ DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of ~~that committee~~, the DFR, 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. [A grievance form is available on the Faculty Affairs Faculty Forms webpage.](#)

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 **consisting** of the president of the Faculty Senate, the chair of the Faculty Senate Committee on **Reconciliation Ethics**, 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 of this handbook, “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, appeals of non-reappointment, promotion and/or tenure/continued appointment decisions); the contents of personnel and other 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 Ethics**, 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.

5.4 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](#) conducts the step four hearing if requested.

5.4.1 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 Virginia Tech Office of Interactive Communication and Empowerment](#) (VOICE). 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 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~~ Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Contacting the ~~Faculty Senate Committee on Reconciliation~~ DFR 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. ~~Contact Faculty Affairs in the provost's office for information on Reconciliation.~~

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~~ DFR 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 grievance process. If the grievant requests assistance from the ~~Faculty Senate Committee on Reconciliation~~ DFR, that ~~committee~~ unit 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 ~~and the vice president of the Faculty Senate~~ by the ~~chair of the Committee on Reconciliation~~ DFR. ~~Also~~ In addition, the grievant should reach an understanding

with the ~~Faculty Senate Committee on Reconciliation~~ DFR of the time frame planned for that ~~committee's unit's~~ work on the case, such time not to exceed 60 calendar days.

Faculty members may also consult the ~~Faculty Senate Committee on Reconciliation~~ DFR 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~~ DFR 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 provost. ~~Information on the Faculty Senate Reconciliation Committee is in chapter two of this handbook and on the Faculty Senate website.~~ For more information, consult Faculty Reconciliation.

Mediation. Conflict resolution 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 the Office for Equity and Accessibility. Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of mediators. Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting mediation. Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

5.4.2 The Formal Grievance Procedure

If the assistance of the ~~Faculty Senate Committee on Reconciliation~~ Director of Faculty Reconciliation (DFR) is not desired or is not requested; or if ~~that committee~~ the DFR determines that ~~it they~~ cannot provide assistance in the matter; or if the grievant finds that the length of time the ~~Faculty Senate Committee on Reconciliation~~ DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of ~~that committee~~ the DFR, the grievant may pursue the issue as a formal grievance through the following procedure. A grievance form is available on the provost's webpage. Department heads, chairs, school directors, deans, 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 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.

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 their 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.

5.4.3 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 **consisting** of the president of the Faculty Senate, the chair of the Faculty Senate Committee on **Reconciliation Ethics**, 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.

5.4.4 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 “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, appeals of non-reappointment or promotion decisions); the contents of personnel and other 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, of the Faculty Senate Committee on ~~Reconciliation~~ Ethics, 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 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 [Virginia Tech Office of Interactive Communication and Empowerment \(VOICES\)](#). The university 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.

Faculty 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~~ Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Contacting the ~~Faculty Senate Committee on Reconciliation~~ DFR 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. Contact Faculty Affairs in the provost's office for information on Reconciliation.

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~~ DFR 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~~ DFR, ~~that committee~~ the DFR 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~~ DFR submits the request in writing to the vice provost for faculty affairs and the vice president of the Faculty Senate. ~~Also~~ In addition, the grievant reaches an understanding with

the ~~Faculty Senate Committee on Reconciliation~~ DFR of the time frame planned for that ~~committee's unit's~~ work on the case, such time not to exceed 60 calendar days.

Faculty members may also consult the ~~Faculty Senate Committee on Reconciliation~~ DFR 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~~ DFR 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 provost. ~~Information on the Faculty Senate Committee on Reconciliation is in chapter two of this handbook and on the Faculty Senate website.~~ For more information, consult [Faculty Reconciliation](#).

Mediation. Mediation is available through the [Office for Equity and Accessibility](#) and is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of Mediators. Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting Mediation: Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

6.12.2 The Formal Grievance Procedure

If the assistance of the ~~Faculty Senate Committee on Reconciliation~~ Director of Faculty Reconciliation (DFR) is not desired or is not requested; or if ~~that committee~~ the DFR 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~~ DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of ~~that committee~~ the DFR, the grievant may pursue the issue as a formal grievance through the following procedure. A [grievance form](#) is available on the provost's webpage. The department head, chair, or school director, dean, and other administrative faculty will cooperate with the grievant in the mechanics of processing the grievance, but the grievant alone is responsible for preparation of the case.

Step one: The grievant shall provide a written description of the event or action on the faculty grievance form and relevant supporting documentation of the grievance within 30 calendar days of the date when the event or action should have been known that is the basis of the grievance to the immediate supervisor. [Research faculty grievance forms](#) are available on provost's Faculty Forms page.

The supervisor meets with the grievant and provides a written response within five weekdays to the grievant citing reasons for action taken or not taken and the final decision. If the supervisor's response is satisfactory to the grievant, that ends the matter.

If the response is not satisfactory to the grievant or the supervisor does not respond within five weekdays, the grievant will indicate "no resolution" on the faculty grievance form, return a copy of the form to the immediate supervisor and proceed to step two.

Step two: The grievant advances the written description of the event or action, relevant supporting documentation, research faculty grievance form and the written response of the immediate supervisor (or statement of non-response if the supervisor did not respond within five 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, chair, or school director. If the department head, chair, or school director 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 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, chair, or school director 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 Senior 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; 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, appeals of non-reappointment, and/or promotion decisions); the contents of personnel and other 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~~ the Director of Faculty 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.

7.8 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. The grievant, and those involved in responding to grievances, may consult with the [Administrative and Professional Faculty Senate Vice President](#) for additional information.

7.8.1 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 [Virginia Tech Office of Interactive Communication and Empowerment \(VOICE\)](#). 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 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. ~~Contact Faculty Affairs in the provost's office for information on Reconciliation.~~

The ~~Faculty Senate Committee on Reconciliation~~ Director of Faculty Reconciliation (DFR) 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~~ DFR is not required prior to filing a grievance.

For a potential grievance issue to qualify for consideration by the ~~Faculty Senate Committee on Reconciliation~~ DFR, the A/P faculty member must contact the ~~chair of the Faculty Senate Committee on Reconciliation~~ DFR 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~~ DFR 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~~ DFR is unable to resolve the matter within 30 calendar days, the ~~chair~~ unit 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~~ DFR 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~~ DFR to the supervisor, validating the timeliness of the grievance.

Mediation: [Mediation is available through the Office for Equity and Accessibility](#). Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. A/P faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

Role of Mediators: Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting Mediation: Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step three. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

Faculty Senate Constitution (excerpt)

Article VIII. Faculty Senate External and Internal Standing Committees and Work Groups

Section 1. Description

Standing committees and work groups are established to carry out the functions and operation of the Faculty Senate. The actions of all standing committees are subject to review by the Faculty Senate.

There are two types of Faculty Senate standing committees: external and internal. External Faculty Senate standing committees serve in the preservation of academic freedom and the procedural integrity by which scholarly activities are evaluated, and in maintaining standards of professionalism. These committees report to the vice president of the Faculty Senate, are prescribed in the *Faculty Handbook*, and are summarized in the Faculty Senate Constitution (see below). Internal Faculty Senate standing committees serve the internal operations of the Faculty Senate, report to the operations officer, and are prescribed in Article XIII of the Faculty Senate Bylaws.

Internal Faculty Senate standing committees and work groups may be established, dissolved, or modified upon recommendation of the Faculty Senate president, the cabinet, or a senator, and approval by the Faculty Senate. In addition to Senate approval, the establishment, dissolution, or modification of external Faculty Senate standing committees requires approval through the resolution process.

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 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, students, and other supervisees 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.

~~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. Its purpose is to help facilitate conversations between faculty members and their supervisors with the goal of reaching mutually agreeable solutions. The Committee on Reconciliation operates informally as a facilitator. 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.~~

The Faculty Review Committee oversees the movement of grievances through the grievance process as prescribed in The Faculty Handbook, 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.

RESOLUTION TO APPROVE REVISIONS AND UPDATES TO THE 2025-26 STUDENT CODE OF CONDUCT

WHEREAS, the Code of Virginia §23.1-412 mandates all public institutions of higher education to maintain and enforce non-academic student codes of conduct that uphold the values and expectations of their respective communities; and

WHEREAS, Virginia Tech is committed to fostering a safe and secure environment for its students, faculty, staff, and community, where individuals are held accountable for their actions and are encouraged to act responsibly; and

WHEREAS, the Student Code of Conduct at Virginia Tech outlines the expectations for student behavior and the university's approach to managing instances of misconduct, applying to all enrolled students and student organizations; and

WHEREAS, the university has a longstanding commitment to ensuring that high-risk situations involving students are appropriately reported to Student Conduct, especially in cases where public safety may be at risk; and

WHEREAS, the Code of Virginia was amended in 2020 under § 19.2-152.14 to allow law enforcement to temporarily remove firearms from individuals who are a threat to themselves or others through the issuance of Emergency Substantial Risk Orders (ESROs), which are designed to prevent potential harm to individuals in the near future by prohibiting the possession or acquisition of firearms; and

WHEREAS, the university recognizes the importance of staying informed of such legal actions to ensure the safety of the campus community and to address any instances of potential risk posed by students; and

WHEREAS, the university seeks to update the existing "Arrest Disclosure" policy in the Student Code of Conduct to include the reporting of Emergency Substantial Risk Orders (ESROs), in line with the university's commitment to maintaining a safe environment for all; and

WHEREAS, the revisions to the "Arrest Disclosure" policy aim to reflect this broader scope of legal actions, ensuring that students report any summons, arrests, convictions, protective orders, or Emergency Substantial Risk Orders (ESROs) issued against them in a timely and transparent manner; and

WHEREAS, the university has updated office names referenced in the Code of Conduct to reflect the current organizational structure, including renaming the Office for Equity and Accessibility as the Office of Civil Rights Compliance and Prevention Education;

NOW, THEREFORE, BE IT RESOLVED that the Student Code of Conduct, applicable to undergraduate, graduate, professional students, and student organizations, be approved by the Board of Visitors to include the following revisions (**changes noted in red font**):

Section II. Student Rights and Responsibilities

Responsibilities

3. "Students who are offered admission to Virginia Tech and choose to matriculate have a continuing duty to report to the Office of Student Conduct any **summons received**, arrests, or convictions, other than **for** minor traffic violations. **Additionally, students who are offered admission to Virginia Tech and choose to matriculate have a continuing duty to report to the Office of Student Conduct any Emergency Protective Order (EPO), Preliminary Protective Order (PPO), Protective Order (PO) or Emergency Substantial Risk Order (ESRO)** issued against them. This duty applies regardless of where the arrest/**summons/conviction/order** occurred and regardless of whether the university is in session at the time of the arrest/**summons/conviction/** order. Students must notify Student Conduct in writing, using **the Court Action Disclosure Form** within 10 business days of the arrest/summons or within five business days of their conviction of a crime or issuance of a **beforementioned** order. Failure to comply with this continuing duty may result in disciplinary action under the Student Code of Conduct."

Revision to arrest disclosure policy with the inclusion of "Emergency Substantial Risk Order (ESRO)" as part of the admissions process.

Section VI. Additional university Policies

Formal Complaints of Sexual Harassment and Gender-Based Violence

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

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

Revision to update office name changes.

AND, BE IT FURTHER RESOLVED that the 2025-26 Student Code of Conduct be approved as attached.

RECOMMENDATION:

That the Board of Visitors approve the 2025-2026 Student Code of Conduct as outlined in the above resolution.

June 3, 2025



STUDENT CODE OF CONDUCT



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I. Introduction

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

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

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

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

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

The Office of Student Conduct and the University Conduct System

The Student Code of Conduct is overseen by the Office of Student Conduct.

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

The system assumes that students and student organizations have the capacity to assume responsibility for their own behavior and that the university has the authority to establish an internal structure for the enforcement of its policies and procedures, which students have agreed to accept by enrolling in the university. As part of its authority, Student Conduct may suspend or dismiss students from the university.

Conduct matters are addressed by Student Affairs professionals who have been appointed as hearing officers by the Director of Student Conduct. These individuals each have significant education and training on student development, student discipline, and university policies and procedures.

Additional Community-Specific Regulations

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

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

II. Student Rights and Responsibilities

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

Rights

1. Students at Virginia Tech will be treated fairly and with dignity regardless of age, color, disability, sex (including pregnancy), gender, gender identity, gender expression, genetic information, national origin, political affiliation, race, religion, sexual orientation, or military status as described in university policy 1025.
2. Students at Virginia Tech enjoy those rights guaranteed by the Constitutions of the United States and the Commonwealth of Virginia as applicable. This includes activities protected under the First Amendment. In accordance with the Code of Virginia, incidents of disruption of constitutionally protected speech may be reported via the Speech on Campus webpage.
3. The Student Code of Conduct and the policies and procedures it outlines, under the administration of the Office of Student Conduct, provides an administrative process for resolving allegations of misconduct. This process includes certain procedural guarantees to ensure that students receive a fair and equitable resolution.

Responsibilities

1. Students are responsible for understanding and following university policies and procedures, including the *Student Code of Conduct*, and for abiding by all applicable state, federal, and local laws.
2. University email is the primary means by which the university communicates with students; therefore, students are responsible for reading all official communications delivered to their university email address.
3. Students who are offered admission to Virginia Tech and choose to matriculate have a continuing duty to report to the Office of Student Conduct any **summons received**, arrests, conviction, or issuance of a protective order, other than **for** minor traffic violations. **Additionally, students who are offered admission to Virginia Tech and choose to matriculate have a continuing duty to report to the Office of Student Conduct any Emergency Protective Order (EPO), Preliminary Protective Order (PPO), Protective Order (PO) or Emergency Substantial Risk Order (ESRO) issued against them.** This duty applies regardless of where the arrest **summons/conviction/order** occurred and regardless of whether the university is in session at the time of the arrest/**summons/conviction**, or issuance of a protective order. Students must notify Student Conduct in writing, using the **Court Action Disclosure Form** within 10 business days of the arrest/summons or within five business days of their conviction of a crime or issuance of a **beforementioned** order. Failure to comply with this continuing duty may result in disciplinary action under the *Student Code of Conduct*.

III. Jurisdiction

Enrollment Status

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

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

Student Organizations

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

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

by the organization.

- Members and/or non-members of the organization learned about the event through members or communication associated with the organization.
- The incident occurred as a result of individual members of the organization acting in the capacity as members of the organization.

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

Location of Incidents

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

The *Student Code of Conduct* may also apply to behavior conducted online or through an electronic medium. Students should also be aware that online postings such as blogs, web postings, chats and social networking sites are in the public sphere and are not private. The university does not regularly search for this information but may take action if and when such information is brought to the attention of university officials.

Alleged Violations of Criminal Law

Virginia Tech reserves the right to address any behavior or act that potentially violates local, state, or federal law. When conduct violates both criminal law and the *Student Code of Conduct*, disciplinary action may be taken by the university, irrespective and separate from criminal action. At the university's discretion, the Office of Student Conduct may proceed with disciplinary action prior to a criminal trial or postpone action until after trial.

IV. Definitions

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

TERM	DEFINITION
Advisor	An advisor is one person of a student's choosing and cost who may accompany a student throughout the conduct process. They may consult with the student but not speak on the student's behalf or participate actively in the process.
Aggravating Factors	An aggravating factor is information, used during sanctioning (i.e., <i>after</i> a violation has been determined to have occurred), that may increase the sanction. Some factors may include but are not limited to a student's past conduct record and the nature and severity of the behavior and its impact.

TERM	DEFINITION
Appeal	An appeal is a written request for review of a hearing and findings, based on specific grounds.
Appellate Officer	An appellate officer is an employee of Virginia Tech, external to the Office of Student Conduct staff, designated by the Vice President of Student Affairs to review and respond to appeals.
Charge(s)	A potential violation of the <i>Student Code of Conduct</i> .
Complainant	Any individual who has reported a potential violation of the <i>Student Code of Conduct</i> .
Conduct Officer or Hearing Officer	A conduct or hearing officer is an individual designated by the Director of Student Conduct to adjudicate cases involving allegations of conduct violations.
Conduct Referral	A report or complaint that alleges violations of the <i>Student Code of Conduct</i> by a student(s) or student organization(s).
Consent (general)*	Consent is generally defined as knowing, voluntary, and clear permission for something to occur. *For a more specific definition of consent in the context of sexual activity, please see the definition below.
Consent (in the context of sexual activity)	<p>Consent is defined as knowing, voluntary, and clear permission by word or action, to engage in mutually agreed upon sexual activity. The existence of consent is based on the totality of circumstances, including the context in which the alleged consent occurred. Silence does not necessarily constitute consent and coercion, force, or threat of either party invalidates consent.</p> <ul style="list-style-type: none"> • Consent cannot be given where a person is incapacitated; or where a person has a disability; or is not of legal age to consent as defined by law. • Consent to any one form of sexual activity cannot automatically imply consent to any other forms of sexual activity. Consent can be withdrawn at any time. • Previous relationships or prior consent cannot imply consent to future sexual acts.
Incapacitation	Physical or mental inability to make informed, rational judgments. Incapacitation includes but is not limited to being asleep, being unconscious, and the inability to make decisions due to the voluntary or involuntary use of alcohol or drugs.
Mitigating Factors	A mitigating factor is information, used during sanctioning (i.e., <i>after</i> a violation has been determined to have occurred), that may decrease the sanction. Some factors may include but are not limited to a student's past conduct record and steps taken to remedy their behavior

TERM	DEFINITION
Notice	Written notice of the alleged violations of the Code. Notice will be presumed to have been furnished when the notice is sent to the student's Virginia Tech email address or, when appropriate, provided at a prehearing meeting.
Preponderance of the evidence	The Office of Student Conduct uses preponderance of the evidence to determine whether or not a student has violated a policy in the <i>Student Code of Conduct</i> . This determination is made based on the information available to determine if it is more likely than not that a violation occurred.
Respondent	Any student or student organization alleged to have violated the <i>Student Code of Conduct</i> .
Student	For the purposes of disciplinary action, a "student" is defined as any individual who has accepted an offer of admission as an undergraduate, graduate, or professional student and who has not yet graduated or officially transferred to another institution.
Student Organization	For the purposes of disciplinary action, a "student organization" includes Registered Student Organizations (RSO), Extended Campus Student Organizations (ECSO), and University Chartered Organizations (UCSO), as defined in <u>university policy 8010</u> .
University Official	A university official is any person given authority by the university to perform administrative or professional responsibilities, including, but not limited to university police officers, residential well-being student leaders, graduate/teaching assistants, administrative support staff, faculty, etc.
University Property or University Facilities	University property or university facilities are any location, either permanent or temporary, owned or leased by Virginia Tech, and includes satellite campuses and offices. This includes, but is not limited to, the buildings, grounds, and the surrounding perimeters, including the parking lots, field locations, classrooms, alternate work or class locations, and university owned or leased vehicles.
Witness	A witness is a person who provides relevant information about an incident in a hearing or through a written statement. Character witnesses are not generally considered relevant.

V. Prohibited Conduct

Alcohol and Other Drug Offenses

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

- Drugs: Possessing, using, manufacturing, selling, or misusing any illegal or controlled substance and/or possession of drug paraphernalia in violation of state or federal law.
 - Cannabis (Marijuana): Virginia law permits adults aged 21 or older to possess, use, and grow cannabis under certain circumstances; however, federal law continues to prohibit it and requires institutions of higher education that receive federal funds, including financial aid, to have policies prohibiting cannabis on university property or at university-sponsored off-campus events.
Therefore, in accordance with federal and state laws, Virginia Tech prohibits the following conduct related to cannabis. (Additional information is available in Appendix II):
 - Possession or use of any form of cannabis, or any substance containing more than 0.3% THC, for any purpose, including medical or recreational use, on university property or at university-sponsored events off campus. This includes but is not limited to smoking, consuming edibles, and using vaporizers. “Use” includes being under the influence of marijuana.
 - Possession of cannabis paraphernalia on university property or at university-sponsored event off campus.
 - Improper possession or use of cannabis off university property (with the exception of university-sponsored events) as defined by the regulations of the Commonwealth of Virginia, including but not limited to possession/use under the age of 21, possession of greater than 1 ounce, consuming in public, and selling, as outlined in Appendix II.
- Driving Under the Influence: Operating or attempting to operate a motor vehicle, bicycle, or other personal transportation device while intoxicated or impaired by alcohol or other drugs.
- Tobacco: Improper use of tobacco as defined by the laws of the Commonwealth of Virginia and the university, including but not limited to underage possession of any tobacco product, nicotine vapor products, alternative nicotine products, or hemp products intended for smoking, providing any tobacco product to any underage person, or any violation of university policy No. 1010. Tobacco products include but are not limited to cigarettes, cigars, bidis, and rolling papers. The use of tobacco products is prohibited within 25 feet of any Virginia Tech building.

Offenses Against People

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

- Endangerment: Actions that intentionally or recklessly endanger the health, safety, or well-being of oneself or another person or group.
- Harassment: Unwelcome conduct not of a sexual nature that is sufficiently severe, pervasive, or persistent that it could reasonably be expected to create an intimidating, threatening, or hostile environment that limits the ability of an individual to work, study, or participate in the activities of the university. *Note: the Code also includes a Gender-Based Harassment policy.*
- Hazing: Any mental or physical requirement, request, or obligation placed upon any person for the purpose of admission, initiation, or continued association with a group or organization that could cause discomfort, pain, fright, disgrace, or injury; that is personally degrading; or that violates any federal, state, local statute, or university policy, regardless of the willingness of an individual to participate in such activity. Additional information is available in Appendix IV.
- Stalking: Repeated contact of another person not based on gender when the contact is unwanted and may cause the other person reasonable apprehension of imminent physical harm or cause substantial impairment of the other person's ability to perform the activities of daily life. *Note: the Code also includes a Gender-Based Stalking policy.*
- Recording and/or Distribution of Audio/Visual Material Without Consent: Making, attempting to make, sharing, or distributing an audio and/or visual recording of any person(s) without the knowledge and consent of all participants subject to such recordings, in locations where there is a reasonable expectation of privacy, and when the action is likely to cause injury, distress, or damage to one's reputation.
- Gender-Based Violence (these policies apply in cases outside of the jurisdiction of Title IX; for Title IX policy definitions, refer to Appendix III):
 - Sexual Violence: Physical sexual acts perpetrated against a person's will or where a person is incapable of giving consent. Sexual violence includes rape, sexual assault, sexual battery, and sexual coercion.
 - Sexual Assault: Actual or attempted sexual contact with another person without that person's consent.
 - Sexual Battery: Intentional touching of another person's intimate parts without the person's consent; or other intentional sexual contact with another person without that person's consent.
 - Sexual Coercion: Using physical or verbal aggression or pressure to force or attempt to force a person to touch another person's intimate parts without that person's consent.
 - Rape: Penetration, no matter how slight, of (1) the vagina or anus of a person by any body part of another person or by an object, or (2) the mouth of a person by a sex organ of another person, without that person's consent.

- ▶ Gender-based Harassment: Acts of verbal, nonverbal, or physical aggression, intimidation, or hostility based on sex or sex-stereotyping, even if those acts do not involve conduct of a sexual nature.
- ▶ Sexual Exploitation: An act or acts committed through non-consensual abuse or exploitation of another person's sexuality for the purpose of sexual gratification, financial gain, personal benefit or advantage, or any other non-legitimate purpose. The act or acts of sexual exploitation are prohibited even if the behavior does not constitute one of the other sexual misconduct offenses.
- ▶ Domestic Violence: A pattern of abusive behavior that is used by an intimate partner to gain or maintain power and control over the other intimate partner. Domestic violence can be physical, sexual, emotional, economic, or psychological actions or threats of actions that influence another person. This includes any behaviors that intimidate, manipulate, humiliate, isolate, frighten, terrorize, coerce, threaten, blame, hurt, injure, or wound someone.
- ▶ Dating Violence: Acts of physical or sexual abuse committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim.
 - The existence of such a relationship shall be determined based on the reporting party's statement and with consideration of the length of the relationship, the type of relationship and the frequency of interaction between the persons involved in the relationship.
 - Dating violence includes, but is not limited to, sexual or physical abuse or the threat of such abuse, but does not include acts covered under the definition of domestic violence.
- ▶ Gender-Based Stalking: Repeatedly contacting another person when the contact is unwanted. Additionally, the contact may cause the other person reasonable apprehension of imminent physical harm or cause substantial impairment of the other person's ability to perform the activities of daily life. Contact includes but is not limited to communicating with (either in person, by phone, or by computer) or remaining in the physical presence of the other person.

Offenses Against Property

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

- Fire Safety: The misuse of or tampering with firefighting equipment and/or signage, unauthorized burning, disregarding fire alarm signals, deliberately initiating a false alarm or, tampering with fire detection or suppression equipment.
- Theft: Theft is the unauthorized taking, appropriation, use, or possession of property belonging to another person or entity. Failing to tender payment for services rendered may also constitute theft. Found property should be presumed lost and delivered to an appropriate University authority immediately. Failure to return found property to an appropriate authority may constitute theft.
- Unauthorized Entry: Entering, attempting to enter, or being present in buildings, residences, public or private property, and/or facilities or other areas without proper authority.

Offenses Against the Community

- Disorderly or Disruptive Conduct: Engaging in disorderly or disruptive conduct that interferes with university, community, or individual activities, including but not limited to studying, teaching, research, and university administration.
- Failure to Comply: Failure to comply with a request and directives of university officials acting within the scope of their authority, including but not limited to the following: failure of a student to present their university identification card, failure to keep or attend a required meeting, and failure to leave an area when requested by an authorized university official. Upon the request of the student questioned, university officials must identify themselves and state the source of their authority.
- Impersonation: Impersonating any person, group, or office, with the intent to deceive another.
- Public Exposure: Any act or attempted act of public nudity or urinating/defecating in public.
- Hazardous Materials: Unauthorized possession, use, or threat of use of fireworks, explosives, or hazardous and potentially hazardous materials.
- Weapons: Unauthorized possession, use, threat of use, or storage of firearms, ammunition, or weapons on university property at any location, either permanent or temporary, owned or leased by Virginia Tech. Refer to Virginia Polytechnic Institute and State University Policy and Procedures No. 5616 for additional information.

Offenses Against the University

- Climbing: Unauthorized climbing, scaling, rappelling, or attempting to climb, scale, or rappel, inside or outside campus buildings or structures.
- Furnishing False Information: Knowingly giving false information to a university official who is performing their official duties, including but not limited to perjury in a conduct hearing.

- Interference with University Complaint Processes: Attempting or actively influencing, impeding, intimidating, interfering, coercing, or retaliating against any person involved in a potential, actual, or past student complaint in a formal university complaint process.
- Involvement in a University Violation: Presence, regardless of participation, during any violation of the *Student Code of Conduct* and/or other university policies in such a way as to condone, support, or encourage that violation. Students who anticipate or observe a violation of university policy are expected to remove themselves from participation and are encouraged to report the violation.
- Visitation/Guest Policies: Students or student organizations will be held responsible for the conduct of their guests and are expected to inform them of all university regulations, including but not limited to Housing policies.

Other Prohibited Conduct

- Actions Leading to the Conviction of Criminal Offenses: Any student convicted of a criminal offense is subject to university disciplinary action.
- Failure to Observe Rules and Regulations: Failure to observe rules and regulations issued by the university that are not listed specifically as “Prohibited Conduct” in the document, including but not limited to regulations linked above in the “Additional University Policies” and “Additional Community Specific Regulations” sections.
- Forgery or Fraud: Forgery or fraud, including attempts to obtain any item of value under false pretenses, falsification of official university documents, or possession of forged or altered identification or another person’s identification.
- Gambling: Participation in any form of illegal gambling.
- Prohibited Conduct: Violations of federal, state, or local laws, regulations, orders, or ordinances.

Statement on Sanction Enhancements for Policy Violations Motivated by Bias

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

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

Statement on Self-Reporting and Bystander Intervention

Virginia Tech recognizes that the health and safety of students is of utmost importance. Therefore, if someone requires assistance for themselves or others because of alcohol or drug use, we want them to call for help. If medical assistance is sought, Student Conduct will not pursue conduct charges against the individual or organization who sought assistance, or the individual in need of assistance. However, Student Conduct will still require students to attend a meeting with a hearing officer to discuss the incident and will assign substance-related and other educational assignments to the involved parties.

Violations having a significant individual or community impact and students with prior violations that demonstrate an actual, potential, or perceived pattern of behavior are not likely to have outcomes that are mitigated and are not likely to be protected under this policy.

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

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

Statement on Immunity for Reports of Hazing

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

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

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

VI. Additional University Policies

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

- Dining Policies
- Housing Policies

- Housing and Dining Contract
- Parking and Traffic Regulations
- Student ID Cards
- University-Level Policies (see the university's policy library at policies.vt.edu/policy-library for a full list of policies relevant to students; the following policies are those most frequently referenced):
 - Acceptable Use and Administration of Computer and Communications Systems
 - Arrest, Conviction, and Protective Order Disclosures
 - Bicycles and Personal Transportation Devices
 - Campus and Workplace Violence Prevention
 - Facilities Usage and Events
 - Harassment, Discrimination, and Sexual Assault
 - Operation of Unmanned Aircraft Systems
 - Sales, Solicitation, and Advertising on Campus
 - Serving Alcohol
 - Smoking
 - Social Media
 - Tobacco
 - University Names and Trademarks

• **Student Conduct Process**

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

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

Step 1: Submitting a Conduct Referral/Complaint

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

Student Conduct will review the conduct referral to determine if there is information regarding behavior that may violate the *Student Code of Conduct* and thus warrants resolution within the conduct system.

This review may include a meeting with the person(s) who submitted the complaint and/or an investigation to gather additional information.

Potential outcomes of the review include the following:

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

Formal Complaints of Sexual Harassment and Gender-Based Violence

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

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

Step 2: Resolution

After reviewing a conduct referral, Student Conduct will determine an appropriate resolution process from among the following:

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

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

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

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

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

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

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

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

Additional Information

Standard of Proof

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

VIII. Sanctions

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

SANCTION	DESCRIPTION
Formal Warning	A formal written notice that the student or student organization has violated a policy in the Student Code of Conduct and that further violations may result in more serious conduct action. Students or student organizations who receive a formal warning are still considered in good conduct standing with the university. A formal warning is not shared with third-parties during a student disciplinary records check, unless waived by the student or under court order or subpoena.
Probation	A specified period of time during which the student or student organization is considered not in good conduct standing with the university. Further violations during that time period may result in more serious conduct action, including a potential separation from the university.

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

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

Failure to complete sanctions

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

IX. Formal Hearing Appeals

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

The appeal process for formal Title IX hearings is outlined in [Appendix III](#).

Grounds for appeal

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

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

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

Potential Outcomes of an Appeal

The appellate officer will review the appeal and may:

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

Timeframe to submit an appeal

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

Format of appeal

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

Appellate Officers

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

X. Interim Measures and Administrative Actions

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

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

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

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

- Procedures: The following steps explain the procedure for imposing an interim suspension:
 - ▶ Initiating an Interim Suspension: When a situation, as defined above, occurs, the responding university official contacts the Threat Assessment Team or the Vice President for Student Affairs or their designee to assess the situation and determine if an interim suspension is appropriate.
 - ▶ Notification of an Interim Suspension: The student will be sent an interim suspension letter immediately, which states that the student is either suspended from the university and/or suspended from all or selected campus residential facilities until a final resolution is determined through the Student Conduct process.
 - ▶ Interim-Suspension Meeting: The student can immediately request an interim suspension meeting to be conducted by the Vice President for Student Affairs or their designee. The interim suspension letter will contain instructions on how to request a review. Those present at the meeting may include the responding university official and other witnesses as deemed appropriate by the Vice President for Student Affairs, or their designee. During the review, the student will be given an opportunity to demonstrate why their continued presence on campus does not constitute a threat to themselves, others, or property. As part of the review, the student may be required to submit to an immediate medical/psychological evaluation. In such instance, the student will be evaluated by the director of the Cook Counseling Center or their designee.
 - ▶ Timeframe to Request Interim-Suspension Review: A student must request a meeting within five (5) business days; after that time frame, the interim suspension and/or suspension from campus residential facilities and all student activities will remain in effect until the matter is resolved through the student conduct process.
 - ▶ Decision: The decision made after the interim suspension meeting will be final. There will be no additional appeal.
 - ▶ Student Conduct Process/Resolution: Interim suspension information will be shared with Student Conduct and others who need to know. Student Conduct will determine and schedule, as soon as possible, the appropriate resolution process to determine whether the student is responsible for violating university policy and, if so, appropriate sanctions.

No Contact Order: In certain situations, Student Conduct may issue no contact orders to students for a period of time to prevent communication between two or more students if it is determined that contact between the parties may perpetuate or escalate behavior that may interfere with a person's rightful actions, including but not limited to their safety and security. No contact orders prevent students from face-to-face, electronic, or third-party contact.

If a no contact order is issued, all parties involved will receive the order in writing. Unless issued as a sanction in a student conduct hearing, a no contact order does not appear on a student's official conduct record.

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

The process for no contact orders includes the following:

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

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

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

XI. Student Conduct Records

Violations of the *Student Code of Conduct* are maintained in a student's conduct record for a period of five years from the date of the incident, excluding cases resulting in dismissal from the University, which will be kept in perpetuity. This record is maintained electronically by the Office of Student Conduct and is separate from a student's academic transcript, though it is considered part of a student's educational record.

In accordance with the Clery Act, records regarding incidents involving Clery Act reportable violations will be kept for a minimum of seven years from the date of the incident.

Records of formal Title IX hearings will also be maintained by the **Office for Civil Rights Compliance and Prevention Education** for a period of seven years, as described in the Title IX Reporting and Grievance Procedures for Sexual Harassment and Violence.

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

Information Sharing within the University

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

Notification to Victims of Crimes of Violence

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

Parental Notification

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

Student Conduct Transcript Notations in Cases of Suspension and Dismissal

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

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

Petitions for Expungement

The university offers two opportunities for students to petition for expungement of documentation related to their disciplinary record:

1. In cases involving low-level violations of the *Student Code of Conduct*, such as cases in which a student received probation, the student may petition the Office of Student Conduct to have the record of that case expunged prior to the end of the five-year period (early record expungement).
2. In cases involving sanctions of suspension or permanent dismissal resulting in a notation on the academic transcript, the student may petition the Office of Student Conduct to have the notation on their academic transcript expunged. Expungement of the notation is not the same as expungement of the entire case record.

The process and timeline for each opportunity is outlined below.

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

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

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

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

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

- An undergraduate student is classified as a senior, is not on an active status sanction (e.g., probation), and has completed all assigned educational sanctions.
- An undergraduate student is classified as a freshman, sophomore, or junior, has been off of an active sanction (e.g., probation) for at least one full semester (i.e., fall or spring), and has completed all assigned educational sanctions.
- A graduate or professional student is not on an active status sanction (e.g., probation) and has completed all assigned educational sanctions.

2. Transcript Notation Expungement for Cases Involving Suspension or Dismissal:

A student or former student may petition for a transcript notation to be expunged—or removed—from the academic transcript after a period of three years from the final resolution of the case if the student can show good cause. In cases involving suspension, the student must have completed the term of the suspension and all educational sanctions prior to submitting their petition. The Office of Student Conduct will work with former students who have outstanding educational sanctions to determine options, which could include alternate sanctions that are mutually agreed upon, for fulfilling sanction requirements so that the individual may petition to have the transcript notation expunged.

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

Evaluation of Expungement Petitions

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

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

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

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

XII. Appendices

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

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

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

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

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

For more information related to federal and state laws and regulations regarding alcohol or illegal drugs or prevention and substance-use programs available at Virginia Tech, please consult the university's Drug and Alcohol Prevention Program document.

Appendix II: Additional Information about Policies and Laws Governing the Use of Cannabis (Marijuana)

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

Federal and State Laws and University Policy

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

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

2. Students at off-campus locations/properties and off-campus events that are not sponsored by the university are expected to abide by Virginia laws related to cannabis (medical) use, possession, or growth. These include, among others, the list below. This list serves only as an overview; students should refer to the Code of Virginia for the most updated and accurate description of the law.
 - Legal age: Legal possession, use, or cultivation is limited to adults 21 or older.
 - Quantity: Individuals may not possess more than one ounce (28 grams) or the equivalent amount of another marijuana product.
 - Home growth: Individuals may cultivate up to four marijuana plants; these plants must be marked and may not be visible from a public street or accessible to children.
 - Locations: Use of cannabis (marijuana) is not permitted in public spaces or on public school grounds.
 - Selling: Sales of cannabis (marijuana) are prohibited; however, an adult over 21 may "gift" up to 1 ounce to another adult over 21.
 - Driving: Using cannabis (marijuana) in any form is prohibited while driving or riding in a motor vehicle, as is having an "open container" of cannabis (marijuana) in the passenger area of the vehicle.

3. As of July 1, 2022, Virginia state law prohibits the sale of hemp-derived Delta-8, Delta-10, HHC, THC-0, and other synthetically derived cannabinoids in edible products such as food and beverages. Food and beverages with a THC content of 0.3% or higher is categorized as cannabis and can only be sold in state-licensed medical cannabis dispensaries to individuals 21 years or older.

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

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

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

Title IX Definitions

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

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

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

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

Domestic Violence means felony or misdemeanor crimes committed by: (a) a current or former spouse or intimate partner of the victim; (b) a person with whom the victim shares a child in common; (c) a person who is cohabitating with or has cohabitated with the victim as a spouse or intimate partner; (d) a person similarly situated to a spouse of the victim under the domestic or family violence laws of Virginia; or any other person against an adult or youth victim who is protected from that person's acts under the domestic or family violence laws of Virginia.

Respondent means an individual who has been reported to be the perpetrator of conduct that could constitute Title IX Sexual Harassment.

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

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

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

Formal Title IX Adjudication Process

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

A. Procedural Guarantees

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

- To receive a copy of the final investigation report, including any attachments and supporting documents from the Title IX Coordinator or designee at least ten (10) days in advance of the hearing.
- To receive written notice of the date, time, location, participants, and policies charged at least five (5) business days in advance of the hearing to allow the parties sufficient time to prepare for the hearing.
- To be accompanied by an advisor of their choice, at their own cost, or to have an advisor provided to them by the Office of Student Conduct without fee or charge.
- To inspect and review, during the hearing, all evidence obtained during the investigation that is directly related to the allegations in the formal complaint.
- To present that evidence that supports or refutes the alleged conduct.*
- To present witnesses, including fact and expert witnesses.
- To have their advisor conduct live cross-examination on the other party and any witnesses.

- To remain silent or to participate as they see fit, including full, partial, or no participation; however, they should carefully review the section on [cross-examination](#), below, to understand the potential impacts should they choose to limit participation.
- To challenge the objectivity of a hearing officer(s), given reasonable cause to believe they may be biased or have a conflict of interest.
- To appeal, regardless of the outcome, based on the following grounds: 1) Procedural irregularity; 2) Significant and relevant new information that was not available at the time of the hearing; 3) The Title IX Coordinator, Investigator, or hearing officer(s) had a conflict of interest or bias, which affected the outcome; 4) Unduly harsh or arbitrary findings or sanctions.

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

B. Advisors

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

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

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

C. Cross-Examination

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

Relevance

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

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

Questions or information that disclose or seeks to disclose privileged information, such as medical or psychological records.

For more information about relevant information, please refer to the Relevant Evidence section in the Title IX Reporting and Grievance Procedures for Sexual Harassment and Violence.

Declining to Participate in Cross-Examination

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

D. Recording

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

E. Hearing Location and Virtual Participation

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

F. Determination of Responsibility

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

Standard of Proof

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

Decision Letter

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

Range of Possible Sanctions

If a respondent is found responsible for the alleged conduct, the hearing officers will make a determination regarding appropriate sanctions. One or more of the following sanctions may be imposed:

- Formal warning
- Probation
- Deferred Suspension
- Suspension
- Deferred Dismissal (i.e., deferred expulsion)
- Dismissal (i.e., expulsion)
- Denial of privileges or associations
- Educational, Community, and Wellness Activities

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

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

Remedial Action

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

Appeal Process

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

A. Grounds for Appeal

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

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

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

B. Potential Outcomes of an Appeal

The appellate officer will review the appeal and may:

- Uphold the original decision and sanctions
- Uphold the original decision and either decrease or increase the sanction
- Vacate a finding
- Send the case back to the Title IX Coordinator for further investigation
- Send the case back to Student Conduct for a new partial or full hearing

C. Time Frame to Submit an Appeal

The parties have seven (7) business days from the date of the decision to submit the appeal. The date the decision is given is considered the first day of the appeal period. Appeals submitted after the deadline will not be accepted except in extenuating circumstances, as determined by Student Conduct.

D. Format of Appeal

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

E. Notification to the Other Party

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

F. Appellate Officers

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

G. Appeal Decision Letter

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

Appendix IV: Additional Information Regarding the Hazing Policy

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

The *Student Code of Conduct* defines hazing as follows:

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

Hazing shall include, but not be limited to, forcing, compelling, requiring, encouraging, or expecting, whether direct or implied, any individual to participate in any of the following actions or activities. Hazing also includes soliciting, directing, aiding, or otherwise participating actively or passively in these acts:

- Physical Acts
 - Encouraging or requiring persons to consume alcohol or other substances (i.e., food, other beverages) regardless of the age of the participant.
 - Encouraging or requiring that a person do or submit to any act that will alter his or her physical appearance in any significant degree for any substantial period of time (e.g. burning, branding, tattooing, using makeup, paint or markers on a person, or shaving the head or body).
 - Encouraging or requiring activities that disrupt a person's normal schedule. A normal schedule includes three reasonably spaced meals per day, the opportunity for sufficient rest at night (at least six full hours) and reasonable time for personal hygiene.
 - Encouraging or requiring a person to engage in physical activity of unusual kind or duration, such as: calisthenics, overly difficult work assignments, activities that may be excessive for a person, activities that require a person to remain in a fixed position for an extended period of time, binding or restricting an individual in any way that would prohibit them from moving on their own, confining a person or exposing participants to uncomfortable elements like in environments that are too hot, cold, noisy, small, or threatening/intimidating.
 - Hinting, pretending, or misleading a prospective member into believing that they will be hit, hurt, or physically altered.
 - Encouraging or requiring acts that are or seem to be dangerous.
- Psychological Acts
 - Encouraging or requiring a person to pretend to or actually violate a law.
 - Encouraging or requiring an individual to obtain or possess items or complete tasks in an unlawful manner (i.e. for a scavenger hunt).
 - Verbally abusing prospective members. Examples include but are not limited to yelling or screaming; calling individuals demeaning names; booing, hissing, or demeaning individuals when they make mistakes.
 - Encouraging or requiring a person to perform acts of servitude, perform personal errands for others, or engage in activities that are demeaning.
 - Misleading prospective members in an effort to convince them that they will not become members unless they complete tasks, follow instructions, or act in a certain way.
 - Misleading prospective members into believing that they will be hurt during induction or initiation.
 - Encouraging or requiring a person to publicly carry objects or wear apparel that is abnormal, not normally in good taste, conspicuous and/or indecent.
 - Encouraging or requiring a person to appear nude or reveal body parts.

- ▶ Encouraging or requiring an individual or group to remain in a certain place or transporting them to a location without their knowledge (e.g. taking a person on a road trip or excursion to an unknown destination or kidnapping).
- ▶ Parading individuals in public areas, transporting individuals in a motor vehicle while blindfolded, or privately conducting blindfolding activities that serve no constructive purpose.
- ▶ Requiring an individual to “pledge” or “associate” for a period of unusual length (more than 10-12 weeks) for reasons other than achieving academic requirements or extraordinary circumstances.

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

- Customary athletic events, contests, or competitions that are sponsored by the institution or the organized and supervised practices associated with such events.
- Any activity or conduct that furthers the goals of a legitimate educational curriculum, extracurricular program or military training program, as approved by the institution.

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

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

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

- Student Conduct
- Student Engagement and Campus Life
- Fraternity and Sorority Life
- Recreational Sports
- Virginia Tech Police Department
- Virginia Tech Corps of Cadets

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

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

Public Reporting of Violations of Hazing: Per § 23.1-822 in the Code of Virginia, the university shall maintain and publicly report actual findings of violations of the institution's code of conduct or of federal or state laws pertaining to hazing that are reported to campus authorities or local law enforcement.

RESOLUTION TO REVISE THE GRADUATE HONOR SYSTEM CONSTITUTION

WHEREAS, there are cases referred to the Graduate Honor System (GHS) that may also involve research misconduct defined as fabrication, falsification, or plagiarism in the process of research that must be investigated by the Research Integrity Office (RIO) as required by federal regulation following specific steps; and

WHEREAS, a parallel investigation by the GHS and RIO may cause confusion and undue hardship for a graduate student,

WHEREAS, the RIO has a wider array of tools and resources and must follow federal guidelines to uncover relevant facts; and

WHEREAS, the Graduate Student Assembly became the Graduate and Professional Student Senate in 2021; and

WHEREAS, GHS personnel has identified two areas where procedural clarifications could streamline case processing without negatively impacting the rights and responsibilities of referred students and referrers codified in the GHS Constitution;

NOW, THEREFORE, BE IT RESOLVED that the Graduate Honor System Constitution be updated to reflect the revisions noted below and detailed in the following document (edits noted in red):

1. New procedures for cases involving research misconduct allegations with investigative responsibilities resting solely in the Research Integrity Office and the GHS making a final decision about applicable academic penalties
2. Updated references to the Graduate and Professional Student Senate
3. Clarified procedures for cases where a single incident/infraction is referred to the GHS by more than one referrer, and
4. The automatic granting of Preliminary Review Panel waivers for cases where students plead guilty during the evidence gathering phase.

RECOMMENDATION:

That the Board of Visitors approve the resolution to revise the Graduate Honor System Constitution, effective Fall 2025.

June 3, 2025

Recommendations for GHS Constitution Revision approved by the GHS Constitution Revision Committee

At the request of the Dean of the Graduate School, a Constitution Revision Committee was convened in the fall of 2024. Committee members included:

Emmanuel Edusei, GHS student panelist
Dr. Donna Fortune, GHS faculty panelist
Jonathan Gendron, GHS student panelist
Monika Gibson, GHS advisor
Dr. Mary Lanzerotti, GHS faculty panelist
Rose McGroarty, GHS chair
Ronnie Mondal, GPSS designee
Dr. Phil Nelson, GHS faculty panelist
Chizoba Obunadike, GHS student panelist
Amelia Simmons, GHS student panelist
Sami Thomas, GPSS designee
Emily Tirrell, GHS student panelist
Nawar Wali, GHS student panelist

The committee considered the following needs/requests for constitution updates:

1. Managing Research Misconduct Allegations

The Research Integrity Office, Provost's Office, and the Graduate School identified the need for more streamlined procedures and clearly stated responsibilities for cases involving alleged GHS violations that may also constitute research misconduct. The committee worked with the Research Integrity Office (RIO) to define clear guidelines and procedures to ensure that proposed new procedures are consistent with federally mandated policies and procedures the RIO must follow while maintaining the rights and responsibilities of graduate students as delineated in the GHS constitution.

2. Updating Graduate Student Assembly to Graduate and Professional Student Senate

In 2021 the Graduate Student Assembly became the Graduate and Professional Student Senate, an entity recognized as part of the university's shared governance system and the pre-eminent governance organization representing graduate and professional students across all campuses at Virginia Tech.

3. Managing cases where a single incident/infraction is referred to the GHS by more than one referrer

Based on some recent cases, GHS personnel identified the need to clarify how cases will

be managed when multiple referrers ((multiple faculty; student and faculty; multiple students) witness a single incident and submit referrals independently of one another.

4. Automatic PRP waiver for cases where students plead guilty during the evidence gathering phase

GHS personnel identified the need to streamline the preliminary review waiver process in cases when a referred student accepts responsibility during the evidence-gathering phase.

Below is a summary of the recommended updates to language in the GHS constitution, approved by 85% of committee members (with two abstentions, surpassing the 2/3 majority requirement).

1. Managing Research Misconduct Allegations

Article I, Section 3 - Violations

- Pg. 2-3. New language about research misconduct allegations investigated by the VT Research Integrity Office and deleted reference to outdated information:

Misconduct in research and teaching is not a separate violation category since it may involve **the violations discussed above**. **Research misconduct in particular is restricted to fabrication, falsification, or plagiarism**. [...]

Research misconduct allegations **will be** investigated by the [Virginia Tech Research Integrity](#) Office (RIO), **and the outcome of the investigation is shared with the Graduate Honor System**. The investigation by the RIO replaces in its entirety the GHS evidence gathering, Preliminary Review Panel, and decision about guilt or innocence (see Articles IV and V for details).

~~For further information on misconduct in research and its definition, see the references listed under item 4 of 1991 Revision – Reference Material Used.~~

Article II, Section 4 – Duties and Functions of the Chair

- Pg. 4. New language about referring cases that involve allegations of research misconduct to the Research Integrity Office for review and investigation:

The Chair shall receive reports of suspected violations and determine, in consultation with the GHS Advisor, if the referred student is eligible for a Facilitated Discussion. **If the**

report involves the allegation of research misconduct, the Chair will refer the case to the Research Integrity Office for review and investigation.

Article III, Section 3 – Eligibility for the Facilitated Discussion

- Pg. 5. New criteria added to exiting list regarding eligibility requirements for Facilitated Discussion. A suspected Honor Code violation is eligible for a Facilitated Discussion if ALL of the following criteria are met:
 1. The referrer of the case is a Faculty member;
 2. The suspected violation involves an allegation of either 1) cheating or 2) plagiarism as outlined in Article I, Section 3 of the GHS Constitution **and does not involve Research Misconduct**
 3. ...

Article V, Section 1 – Composition of the Review Panel

- Pg. 7. New language about RIO representative presence in a Review Panel hearing:
 3. If the case involves a Research Integrity Office-finding of responsibility for research misconduct, a representative of the RIO shall be present in a non-voting capacity to answer panelist questions about the investigation and finding of responsibility.

Article V, Section 2 – Functions of the Review Panel

- Pg. 7-8. New language to explain the role of the Review Panel regarding evidence gathering, review, and decisions about responsibility and penalties:

The Review Panel shall perform the following functions:

1. It shall hear evidence gathered by the Associate Chair. **In cases involving research misconduct, it shall receive and review the Research Integrity Office final report (after a potential appeal has been exhausted) that includes the charge(s), summary of evidence, finding of responsibility, and recommendations.**
2. It shall hear testimony of the referrer, referred student, and witnesses. **Students who have been found responsible for research misconduct may provide in their testimony contextual information and clarification that can be considered by the Review Panel in their deliberation of appropriate penalties.**
3. It shall hear the remarks of the University community representative of the referred.

4. It shall assure that the rights of the referrer and referred student are protected and assure due process.
5. It shall determine whether a violation occurred. In cases involving research misconduct, finding of responsibility is determined by the Research Integrity Office and shared with the Review Panel after the appeal deadline has passed or decision on an appeal has been reached.
6. It shall recommend the penalty when the referred is determined to have violated the honor code.

Article V, Section 3 – Operation [of the Review Panel]

- Pg. 8. New language regarding the participation of a RIO representative in a non-voting capacity:
 1. For each case, a hearing shall be conducted by a Review Panel. The Review Panel shall consist of the Chair, a minimum of four (4) graduate students, a minimum of three (3) faculty members, and the Graduate Honor System Advisor. The number of voting faculty shall not exceed the number of voting graduate students present. The graduate students and faculty members shall be selected by the Chair with the approval of the Graduate Honor System Advisor. Each graduate student and faculty member shall have full voting privileges, while the Chair (or designee) shall be a non-voting member and shall serve as the moderator of the hearing. If the case is based on a Research Integrity Office-finding of responsibility for research misconduct, a representative of the RIO shall be present in a non-voting capacity to answer panelist questions about the investigation and finding of responsibility. In addition, the Graduate Honor System Advisor shall be a non-voting member and shall serve in an advisory capacity to the Chair and the Review Panel.
- Pg. 8. New language regarding determination of responsibility:
 5. The referred must be adjudged to have violated the honor code before any consideration is given to the penalty, unless the referred acknowledges or the Research Integrity Office has determined responsibility, in which case the deliberations shall focus solely on the penalty.

Article VI, Section 1 – University Action: Review and Decision

- Pg. 8. Clarifying statement added regarding appealing the GHS decision vs. the Research Integrity Office's finding of responsibility:
3. The official decision of the Dean of the Graduate School (or designee) shall be transmitted in writing to the referred, the referrer, and the course instructor (or major professor for a research-related violation). The referred shall also be notified of the right to appeal the decision. **The Research Integrity Office's finding of responsibility for research misconduct is appealable to the President of the University.**

Article VI, Section 2 – Appeals

- Pg. 9. New language about GHS and research misconduct appeals:
 1. The referred may appeal the official decision to the Dean of the Graduate School on grounds of (1) failure of the Graduate Honor System to follow proper procedures, (2) introduction of new evidence, and/or (3) severity of the penalty. **Appeals concerning the finding of research misconduct by the Research Integrity Office are submitted to the president of the university before the final report is shared with the GHS.** The imposition of the penalty shall be deferred until the termination of the appeals process.
 - Pg.9. Further clarification about appeals:
 3. In the event of an appeal, the case will be forwarded to an appellate officer, who is well versed in the Graduate Honor System, graduate academic policies, and Virginia Tech standards of ethics, and has received training from the Graduate Honor System. Such officers include, but are not limited to, the Director of Undergraduate Academic Integrity, Associate Dean for Professional Programs in the College of Veterinary Medicine, or Associate Vice President for Research Compliance. **Graduate Honor System appeal procedures do not apply to appeals of research misconduct findings, which are reviewed by the president of the university.**
2. **Updating Graduate Student Assembly to Graduate and Professional Student Senate**
 - Pg. 3. Appointment of the Chair (2 instances)

- Pg. 4. Appointment of Associate Chair(s)
- Pg. 11 Announcement
- Pg. 16 Amendments (2 instances)

3. Managing cases where a single incident/infraction is referred to the GHS by more than one referrer (multiple faculty; student and faculty; multiple students)

Article XI, Section 1 – Reporting of Violations

- New language clarifying the role of multiple referrers:

If an alleged violation is reported by multiple referrers separately, the case will proceed based on the first referral; secondary referrers may be included in the case, if they desire, as a witness to the referral.

4. Automatic PRP waiver for cases where students accept responsibility during the evidence gathering phase

Article IV, Section 1 – Preliminary Review Panel Waiver

- Pg. 6. New language about automatic waiver of PRP:

If, after review of the materials presented in the report, the referred student(s) accepts that there is substantive evidence to support the charge and warrant a full hearing of the case by the Review Panel, the student may request a Preliminary Review Panel Waiver. This request must be submitted to the Chair within five (5) University business days of the student(s) receiving the Associate Chair's report. If during the evidence gathering the referred student(s) admit responsibility for the charge and this is documented in the report prepared by the Associate Chair, a Preliminary Review Panel Waiver will be granted automatically, and the case will proceed to the Review Panel.

- Pg. 6. #4 unnecessary language was removed

A request for a Preliminary Review Panel Waiver does not, in any way, imply responsibility on the part of the student(s).

ARTICLE I: PURPOSE AND DESCRIPTION

Section 1 - Graduate Honor Code

The Graduate Honor Code establishes a standard of academic integrity. As such, this code demands a firm adherence to a set of values. In particular, the code is founded on the concept of honesty with respect to the intellectual efforts of oneself and others. Compliance with the Graduate Honor Code requires that *all* graduate students exercise honesty and ethical behavior in all their academic pursuits at Virginia Tech, whether these undertakings pertain to study, course work, research, extension, or teaching. Anyone facing a charge of violating the Graduate Honor Code is presumed to be innocent.

It is recognized that graduate students have very diverse cultural backgrounds. In light of this, the term *ethical behavior* is defined as conforming to accepted professional standards of conduct, such as codes of ethics used by professional societies in the United States to regulate the manner in which their professions are practiced. The knowledge and practice of ethical behavior shall be the full responsibility of the student. Graduate students may, however, consult with their major professors, department heads, International Graduate Student Services, or the Graduate School for further information on what is expected of them.

More specifically, all graduate students, while being affiliated with Virginia Tech, shall abide by the standards established by Virginia Tech, as described in this Constitution. Graduate students, in accepting admission, indicate their willingness to subscribe to and be governed by the Graduate Honor Code and acknowledge the right of the University to establish policies and procedures and to take disciplinary action (including suspension or expulsion) when such action is warranted. Ignorance shall be no excuse for actions which violate the integrity of the academic community.

The fundamental beliefs underlying and reflected in the Graduate Honor Code are that (1) to trust in a person is a positive force in making a person worthy of trust, (2) to study, perform research, and teach in an environment that is free from the inconveniences and injustices caused by any form of intellectual dishonesty is a right of every graduate student, and (3) to live by an Honor System, which places a positive emphasis on honesty as a means of protecting this right, is consistent with, and a contribution to, the University's quest for truth.

Section 2 - Implementation

The Graduate Honor System was established to implement the Graduate Honor Code, and its functions shall be:

1. To promote honesty and ethical behavior in all academic pursuits, including, but not limited to, study, research, teaching, and extension.
2. To disseminate information concerning the Graduate Honor System to all new graduate students, faculty, and other interested parties.
3. To consider and review all suspected violations of the Graduate Honor Code in an impartial, thorough, and unbiased manner.
4. To review all cases involving academic infractions of the Graduate Honor Code brought before the System.
5. To assure that the rights of all involved parties are protected and assure due process in all proceedings.

Section 3 - Violations

All forms of academic work including, but not limited to, course work, lab work, thesis or dissertation work, research, teaching, and extension performed by any graduate student enrolled on a part-time or full-time basis under any of the admission categories listed in the Virginia Tech Graduate Catalog shall be subject to the stipulations of the Graduate Honor Code. Violations of the Graduate Honor Code are categorized as follows: Cheating, Plagiarism, Falsification, and Academic Sabotage. Violations are defined as follows:

1. *Cheating*: Cheating is defined as the giving or receiving of any unauthorized aid, assistance, or unfair advantage in any form of academic work. Cheating applies to the products of all forms of academic work. These products include, but are not limited to, in-class tests, take-home tests, lab assignments, problem sets, term papers, research projects, theses, dissertations, preliminary and qualifying examinations given for the fulfillment of graduate degrees, or any other work assigned by an instructor or professor, graduate committee, or department that pertains to graduate work or degrees.

Any student giving or receiving unauthorized information concerning a test, quiz, or examination shall be responsible for an Honor Code violation. Submitting work that counts towards the student's grade or degree which is not the sole product of that student's individual effort shall be considered cheating, unless, for example, the professor explicitly allows group work, use of out-of-class materials, or other forms of collective or cooperative efforts. In general, all academic work shall be done in accordance with the requirements specified by the instructor or professor. In the absence of specific allowances or instructions by the professor, students shall assume that all work must be done individually.

Some uses of permanently returned, graded material ("koofers") are cheating violations of the Code. By permanently returning graded materials, a faculty member or instructor demonstrates the intent that these materials should be accessible to all students. Such materials may be used for study purposes, such as preparing for tests or other assignments, and other uses explicitly allowed by the professor or course instructor. Once test questions have been handed out, koofers may not be used. Other specific examples of the unauthorized use of koofers include, but are not limited to, using koofers during closed-book exams, handing in any type of copy (e.g., a photocopy or a transcribed copy) of someone else's work (partial or complete) from a previous term, and copying a current answer key or one that was handed out in a previous term. Students may not copy and hand in as their own work answers taken from any kind of koofer. When in doubt of what may or may not be used, students should consult with the course instructor. In the absence of specific instructions concerning koofers from the instructor, students shall assume that all submitted work must be the product of their own efforts without koofers or other unauthorized aid/ materials.

2. *Plagiarism:* Plagiarism is a specific form of cheating, and is defined as the copying of the language, structure, idea, and/or thoughts of another and claiming or attempting to imply that it is one's own original work. It also includes the omitting of quotation marks when references are copied directly, improper paraphrasing (see Plagiarism), or inadequate referencing of sources. Sources used in preparing assignments for classes, theses, dissertations, manuscripts for publication, and other academic work should be documented in the text and in a reference list, or as directed by the instructor or professor. Sources requiring referencing include, but are not limited to, information received from other persons that would not normally be considered common knowledge (Plagiarism), computer programs designed or written by another person, experimental data collected by someone else, graded permanently-returned materials such as term papers or other out-of-class assignments (koofers), as well as published sources. A more detailed discussion of plagiarism may be found in Plagiarism.
3. *Falsification:* Students who falsify, orally, in writing, or via electronic media, any circumstance relevant to their academic work shall be responsible for a violation of this Code. Included are such actions as forgery of official signatures, tampering with official records or documents, fraudulently adding or deleting information on academic documents, fraudulently changing an examination or

testing period or due date of an assignment, and the unauthorized accessing of someone else's computer account or files. Violations also include willfully giving an improper grade or neglecting to properly grade submitted material, improperly influencing the results of course evaluations, and knowingly including false data or results in any paper or report submitted for a grade, as a degree requirement, or for publication.

4. *Academic Sabotage:* Academic sabotage is purposeful vandalism directed against any academic endeavor or equipment. It includes, but is not limited to, the destruction or theft of written material, laboratory or field experiments, equipment used in teaching or research, or computer files or programs. Unauthorized tampering with computer programs or systems shall constitute a violation. Academic sabotage includes deliberately crashing or attempting to crash a computer system or the use of files intended to cause or actually causing computer systems to behave atypically, thereby impeding another person's or group's efforts. In particular, knowingly infecting any system with a virus, worm, time bomb, trap door, Trojan horse, or any other kind of invasive program shall be considered a serious violation. Note that violations under this category may also lead to University judicial action or to criminal suits charged by the University.

Misconduct and unethical behavior in research and teaching ~~deserves special mention in the Code since it is an area of special interest to graduate students.~~

Misconduct in research and teaching. ~~It is not a separate violation category since it may involve cheating, plagiarism, falsification, and/or academic sabotage as the violations discussed above. Research misconduct is research in particular is restricted to fabrication, falsification, or plagiarism. Research misconduct~~ does not include those factors intrinsic to the process of research, such as honest error, conflicting data, or differences in interpretation concerning data or experimental design. Likewise, *misconduct in teaching* does not include honest disagreement over the method of presentation of instructional material to a class or in the evaluation of the performance of a student.

Research misconduct allegations ~~may also will~~ be investigated by the [Virginia Tech Office of Research Integrity \(RIO\)](#), and the outcome of the investigation is shared with the Graduate Honor System. The investigation by the RIO replaces in its entirety the GHS evidence gathering, Preliminary Review Panel, and decision about guilt or innocence (see Articles IV and V for details).

~~* For further information on misconduct in research and its definition, see the references listed under item 4 of 1991 Revision—Reference Material Used.~~

Section 4 - Composition

The Graduate Honor System shall consist of an Advisor, a Chair, one or more Associate Chair(s), GHS Facilitators, and Panelists for the Preliminary Review Panel and Review Panel. The Dean (or designee) of the Graduate School shall be responsible for the continued operation of the System. Appointment of Graduate Honor System personnel shall be made in accordance with Article II and Article XI, Section 7.

ARTICLE II: GENERAL ADMINISTRATION

Section 1 - Appointment of the Graduate Honor System Advisor

A member of the staff of the Dean of the Graduate School shall be appointed by the President to serve as the Graduate Honor System Advisor. The Advisor shall serve in an advisory capacity to the Chair and shall be present (or represented) at all hearings of both the Preliminary Review Panel and the Review Panel.

Section 2 - Duties and Functions of the Advisor

The following duties and functions shall be performed by the Advisor:

1. The advisor shall have the responsibility to train the Chair, Associate Chair(s), Facilitators, and new panel members.
2. The advisor shall provide counsel to the Chair and Associate Chair(s) in the preparation of cases.
3. The advisor shall provide staff for handling training sessions, scheduling meetings, and other matters related to the administration of the Graduate Honor System.
4. The advisor shall counsel faculty or students referring cases as well as those students charged with offenses.
5. The advisor (or designee) shall attend all hearings.
6. The advisor, in consultation with the Chair, shall be responsible for appointing the Associate Chair(s).
7. The advisor, upon receiving the recommendation of the Chair, shall be responsible for approving the membership of the Preliminary Review Panel and Review Panel.

Section 3 - Appointment of the Chair

1. Nominations for the position of Chair shall be accepted from the ~~Graduate Student Assembly~~ Graduate and Professional Student Senate, College Deans, and other members of the academic community, and applications by qualified persons shall be welcomed. Candidates for the position of Chair must be graduate students in good standing and must have been in residence for at least one (1) semester immediately preceding nomination. Preferably, the nominee will have served as an Associate Chair or as a graduate student panelist for at least one (1) semester prior to appointment.
2. The term of office shall be one (1) year, but if available and willing, the current Chair may be re-appointed by the President of the University to serve subsequent terms, up to four (4) years, upon the recommendation of the Graduate Honor System Advisor.
3. The Chair Nominating Committee shall be convened by the Dean upon the resignation of the current Chair, upon completion of term of office, or upon termination of office. This committee shall consist of the Graduate Honor System Advisor, up to three (3) graduate student members of the Graduate Honor System, and one (1) faculty member having previously served on a Review Panel and appointed by the Dean of the Graduate School. All members shall have equal voting privileges. The function of this committee shall be to nominate a candidate for appointment by the President. The nomination process shall be to: (1) invite nominations and accept applications, (2) review applications and conduct interviews with applicants, and (3) recommend to the President of the University, from among these applicants, a nominee for the position of Chair. The recommendation of this committee shall be by majority vote.
4. The recommendation of the nominating committee is voted on by the ~~Graduate Student Assembly~~ Graduate and Professional Student Senate (GPSS) ~~(GSA)~~ and the Commission on Graduate and Professional Studies and Policies (CGPS&P).
5. The Dean of the Graduate School will forward the nomination to the President conveying the vote of the ~~GSA~~ GPSS and CGPS&P.
6. The President shall appoint the Chair.
7. In the absence of a timely appointment, the President, through the recommendation of the Dean, can appoint the nominee as an interim Chair until the conclusion of the appointment process.

Section 4 - Duties and Functions of the Chair

The Chair shall perform the following duties and functions:

1. The Chair shall receive reports of suspected violations and determine, in consultation with the

GHS Advisor, if the referred student is eligible for a Facilitated Discussion. If the report involves the allegation of research misconduct, the Chair will refer the case to the Research Integrity Office for review and investigation.

2. The Chair shall assign to the Preliminary Review Panel all cases not eligible for Facilitated Discussion.
3. The Chair shall preside at all Review Panel hearings. The Chair may request a member of the Review Panel to preside in his or her place.
4. The Chair shall assure justice, fairness, and due process.
5. The Chair shall secure nominations and select graduate student and faculty members for the Facilitated Discussion Process, the Preliminary Review Panel, and Review Panel, subject to approval by the Graduate Honor System Advisor.
6. The Chair shall assume responsibility for the instruction and training of graduate student and faculty members in the operation, function, and responsibility of the Graduate Honor System.
7. The Chair shall orient entering graduate students and new faculty to the values and obligations of the Graduate Honor Code.
8. The Chair shall conduct information activities and coordinate activities of the Graduate Honor System.
9. The Chair shall administer the operation of the Graduate Honor System throughout the entire calendar year.
10. The Chair shall keep the graduate community apprised of relevant activities of the Graduate Honor System.
11. The Chair shall consult with the Graduate Honor System Advisor in the appointment of the Associate Chair(s) and Facilitators.
12. The Chair shall select the panelists to hear the cases.

Section 5 - Staff of the Chair

The Chair, with the approval of the Graduate Honor System Advisor, shall appoint sufficient staff to assist with the duties of the office.

Section 6 - Appointment of Associate Chair(s)

1. The Graduate Honor System Advisor, in consultation with the Chair, shall appoint one or more Associate Chair(s). Nominations for this position shall be accepted from the ~~Graduate Student Assembly~~Graduate and Professional Student Senate, College Deans, and other members of the academic community; and applications from qualified personnel shall be welcomed. Students being considered for Associate Chair positions must be graduate students in good standing and must have been in residence for at least one (1) semester

immediately preceding appointment. Preferably, the nominee will have served as a graduate student panelist of the Graduate Honor System for at least one (1) semester prior to the appointment. Associate Chair(s) shall serve a one (1) year term but may be re-appointed to serve subsequent terms, up to four (4) years, if available and willing.

2. The appointment of the new Associate Chair(s) shall be made upon the resignation of the current Associate Chair(s), upon completion of term of office, or upon termination of office.

Section 7 - Duties of Associate Chair(s)

Associate Chair(s) shall perform the following duties:

1. Associate Chair(s) shall conduct a confidential gathering of evidence regarding the alleged violation by interviewing all individuals whom they believe may possess facts directly bearing upon the incident, including referred student(s), and the referrer.
2. Associate Chair(s) shall examine any documents or records pertinent to the case.
3. Associate Chair(s) shall prepare a brief report summarizing the evidence.
4. Associate Chair(s) shall present the report summarizing the evidence as promptly as possible, having due regard for the right of the referred student(s) and the referrer to assemble and present any relevant evidence.
5. Associate Chair(s) shall convene and chair Preliminary Review Panel meetings.
6. Associate Chair(s) shall prepare a brief report for the Chair that summarizes the decision of the Preliminary Review Panel and shall brief the Chair on all the details of the case at hand.
7. Associate Chair(s) may attend and may present the evidence to the Review Panel.
8. Associate Chair(s) shall aid the Chair in convening and conducting training sessions for Preliminary Review Panel members.

Section 8—Appointment of Panelists

1. Panelists will include graduate students and faculty members from each College. Panelists will be recruited from all qualified graduate students and faculty (see Article XI Section 7).
2. Graduate student panelists shall be approved by the Graduate Honor System Advisor after training by the Chair and/or Associate Chair and following clearance of graduate student records (see Article XI Section 8). Graduate students may serve for up to four (4) years. After four years, graduate students will take a one-year break from all duties related to the Graduate Honor System.

3. Faculty member panelists shall be approved by the Graduate Honor System Advisor after training by the Chair and/or Associate Chair. Faculty panelists may serve for up to four (4) years. After four years, faculty will take a one-year break from all duties related to the Graduate Honor System.

Section 9—Duties of Panelists

1. Panelists shall serve on either the Preliminary Review Panel or the Review Panel.
2. Panelists shall evaluate the evidence and make recommendations regarding the case within a Preliminary Review Panel or Review Panel.
3. Panelists shall maintain the rights and confidentiality of the referred student(s) and referrer.
4. Panelists may assist in conducting educational sessions on campus and/or training sessions for new panelists.

Section 10 – Appointment of Graduate Honor System Facilitators

1. The Graduate Honor System Advisor, in consultation with the Chair, shall appoint one or more Graduate Honor System Facilitators. Applications for this position shall only be taken from current panelists. Graduate Honor System Facilitators must have significant experience with the Graduate Honor System as determined by the Graduate Honor System Advisor and Chair before appointment as Discussion Facilitators. Facilitators shall serve a one (1) year term but may be re-appointed to serve subsequent terms, up to four (4) years, if available and willing.
2. The appointment of new Facilitators shall be made as necessary to meet the needs of the Honor System.

Section 11 – Duties of Graduate Honor System Facilitators

1. Graduate Honor System Facilitators shall facilitate a discussion meeting between the referrer and the referred student(s).
2. Graduate Honor System Facilitators shall ensure that all applicable GHS guidelines are observed and followed.
3. Graduate Honor System Facilitators shall ensure that the rights of the referred and referrer are upheld.
4. Graduate Honor System Facilitators shall, upon examination of the facts of the case, have the authority to refer cases to the Chair so that they may be assigned an Associate Chair for evidence gathering and interviews.
5. Graduate Honor System Facilitators shall prepare a full report for the Chair, which summarizes the

outcome of the facilitated discussion and shall brief the Chair on all the details of the case at hand.

6. Graduate Honor System Facilitators shall aid the Chair in conducting the training session(s) for new Graduate Honor System Facilitators.

ARTICLE III: FACILITATED DISCUSSION

Section 1 - Composition

1. The Facilitated Discussion shall be attended by the referrer(s) of the case, the referred student(s), and one Graduate Honor System Facilitator (as outlined in Article II, Sections 10 and 11).

Section 2 – Functions of the Facilitated Discussion

The Facilitated Discussion shall fulfill the following functions:

1. It shall assure that the rights of the referred and the referrer are protected and assure due process.
2. It shall facilitate a discussion between the referrer and referred student(s).
3. It shall attempt to build a consensus resolution to a suspected Honor Code violation without convening a Preliminary Review Panel or a Review Panel.
4. It shall create a record of an Honor Code violation if all parties conclude that a violation did occur. This record shall be kept in the Graduate Honor System case files.

Section 3 – Eligibility for the Facilitated Discussion

A suspected Honor Code violation will be eligible for a Facilitated Discussion if **ALL** of the following criteria are met:

1. The referrer of the case is a Faculty member;
2. The suspected violation involves an allegation of either 1) cheating or 2) plagiarism as outlined in Article I, Section 3 of the GHS Constitution and does not involve Research Misconduct;
3. The referred student(s) is(are) not on Graduate Honor System Probation at the time the report of the suspected violation is received by the Graduate Honor System;
4. And the violation is one for which a reasonable person who is familiar with the form and functions of the Graduate Honor System would not assign a penalty of more than the sanctions outlined in Article VII, Section 1, Item 1, Parts a-f of this Constitution.

Section 4 – Operation of the Facilitated Discussion

1. The Chair, after determining a case eligible for a Facilitated Discussion, will notify the referrer and the referred of this determination.
2. The referrer and referred will then have no more than ten (10) University business days to notify the Chair of their desire to participate in a Facilitated Discussion; otherwise the case will be sent for evidence gathering and panel review. Exceptions to the ten-day period will only be made under extenuating circumstances, as determined by the Chair or Graduate Honor System Advisor.
3. If either the referrer or the referred student(s) does not agree to participate in the Facilitated Discussion, the case will be sent for evidence gathering and panel review.
4. During the Facilitated Discussion, the referrer of the alleged violation and the referred student will attempt to reach a resolution to the case, with the assistance of the Graduate Honor System Facilitator. The question that the referred student and the referrer must answer is “did the student commit a violation of the honor code?” A determination of a violation shall require both the referrer and the referred student to agree that the student is responsible for violating the honor code. A determination of no violation shall require both the referrer and the referred student to agree that the student did not violate the honor code. In the absence of such an agreement, the case shall be sent for evidence gathering and panel review.
5. If the referrer and student agree that the student has committed a violation of the honor code, the referrer and student may then decide upon an appropriate penalty. Sanctions for the Facilitated Discussion will be limited to those sanctions outlined in Article VII, Section 1, Item 1, Parts a-f of this Constitution. The referrer and referred must both come to an agreement on the appropriate penalty. In the absence of such an agreement, the case shall be sent for evidence gathering and panel review.
6. The GHS Facilitator shall prepare a record of the outcome of the Facilitated Discussion. This record, the original report of the alleged violation, and any relevant evidence shall be held in the Chair’s confidential file. The Chair shall inform the Dean of the Graduate School (or designee), in writing, of the outcome of all Facilitated Discussions.
7. For cases in which the referrer or the referred withdraws from the Facilitated Discussion, no record shall be kept that either the referrer or referred participated in a Facilitated Discussion and the fact that they did participate in such a proceeding shall not be deemed relevant in any future Honor System proceedings.

Section 5 – Withdrawal from the Decision of the Facilitated Discussion

1. The referred or referrer may withdraw from a decision reached during a Facilitated Discussion for any reason.
2. If the referred or referrer wishes to withdraw from the Facilitated Discussion decision, the Chair must be notified of the desire to withdraw from the decision within two (2) calendar days of the conclusion of the Facilitated Discussion.
3. If the referred or referrer withdraws from the Facilitated Discussion decision, the case shall be immediately sent for evidence gathering and panel review.
4. In these instances no record shall be kept that the Facilitated Discussion occurred and the fact that they did participate in such a proceeding shall not be deemed relevant in any future Honor System proceedings.

ARTICLE IV: PRELIMINARY REVIEW PANEL

Section 1 – Preliminary Review Panel Waiver

1. The referred student(s) and referrer shall have the opportunity to review the report prepared by the Associate Chair, before it is presented to a Preliminary Review Panel.
2. If, after review of the materials presented in the report, the referred student(s) accepts that there is substantive evidence to support the charge and warrant a full hearing of the case by the Review Panel, the student may request a Preliminary Review Panel Waiver. This request must be submitted to the Chair within five (5) University business days of the student(s) receiving the Associate Chair’s report. If during the evidence gathering the referred student(s) admit responsibility for the charge and this is documented in the report prepared by the Associate Chair, a Preliminary Review Panel Waiver will be granted automatically, and the case will proceed to the Review Panel.
3. A request for a Preliminary Review Panel Waiver must be received before a Preliminary Review Panel is scheduled.
4. A ~~request for a~~ Preliminary Review Panel Waiver does not, in any way, imply responsibility on the part of the student(s).
5. In cases involving multiple referred students, if all referred students do not request a Preliminary Review Panel Waiver, the case will proceed to a Preliminary Review Panel.

6. Cases for which a Preliminary Review Panel waiver is granted shall proceed directly to a Review Panel for a hearing.

Section 2 - Composition

1. The Preliminary Review Panel shall consist of trained graduate student and faculty panelists. Graduate student members of the Preliminary Review Panel shall have full voting privileges, whereas the faculty members shall serve in an advisory capacity to the student members and shall not have voting privileges.
2. The Associate Chair(s) (or designees) shall chair Preliminary Review Panel meetings and shall not have voting privileges.
3. The Graduate Honor System Advisor shall be a non-voting member and shall serve in an advisory capacity to the Associate Chair and the Preliminary Review Panel.

Section 3 - Functions of the Preliminary Review Panel

The Preliminary Review Panel shall perform the following functions:

1. It shall evaluate the evidence provided for the case.
2. It shall decide whether a hearing before the Review Panel should be held.

Section 4 - Operation

1. For each case without a Preliminary Review Waiver, a hearing shall be conducted by a Preliminary Review Panel, consisting of a minimum of five (5) graduate students and at least two (2) faculty members, to be selected by the Chair. The Associate Chair managing the case shall serve as chair of the Preliminary Review Panel. In addition, the Graduate Honor System Advisor shall be a non-voting member and shall serve in an advisory capacity to the Associate Chair and the Preliminary Review Panel.
2. Evidence gathering shall adhere to the basic tenets of due process and to the rights and responsibilities for referrer and referred as outlined in Article VIII and Article IX.
3. A decision to send the case to the Review Panel should be based upon substantive evidence to support the charge. The lack of such evidence should lead the Preliminary Review Panel to vote against sending the case to the Review Panel and consequently lead to the termination of the proceedings. Otherwise, the Preliminary Review Panel should send the case forward for the further scrutiny of the Review Panel. The fact that the case is forwarded to the Review Panel shall in no way

imply responsibility for the violation; the Preliminary Review Panel is simply stating that the case should be reviewed with the aid of personal testimonies.

4. The student members shall have full voting privileges while the faculty members serve in an advisory capacity. Recommendations of the Preliminary Review Panel must be by majority vote of the graduate student members present. In the event of a tie vote, the case will go forward.

ARTICLE V: REVIEW PANEL

Section 1 - Composition

1. The Review Panel shall consist of trained graduate student and faculty panelists. Both graduate student and faculty members of the Review Panel shall have full voting rights. The Chair (or designee) shall be a non-voting member and shall serve as the panel moderator.
2. The Graduate Honor System Advisor shall be a non-voting member and shall serve in an advisory capacity to the Chair and the Review Panel.
- 2.3. If the case involves a Research Integrity Office finding of responsibility for research misconduct, a representative of the RIO shall be present in a non-voting capacity to answer panelist questions about the investigation and finding of responsibility.

Section 2 - Functions of the Review Panel

The Review Panel shall perform the following functions:

1. It shall hear evidence gathered by the Associate Chair. In cases involving research misconduct, it shall receive and review the Research Integrity Office final report (after a potential appeal has been exhausted), that includes the charge(s), summary of evidence, final finding of responsibility, and recommendations.
2. It shall hear testimony of the referrer, referred student, and witnesses. Students who have been found responsible for research misconduct may provide in their testimony contextual information and clarification that can be considered by the Review Panel in their deliberation of appropriate penalties.
3. It shall hear the remarks of the University community representative of the referred.
4. It shall assure that the rights of the referrer and referred student are protected and assure due process.
5. It shall determine whether a violation occurred. In cases involving research misconduct, finding of

responsibility is determined by the Research Integrity Office and shared with the Review Panel after the appeal deadline has passed or decision on an appeal has been reached.

6. It shall recommend the penalty when the referred is determined to have violated the honor code.

Section 3 - Operation

1. For each case, a hearing shall be conducted by a Review Panel. The Review Panel shall consist of the Chair, a minimum of four (4) graduate students, a minimum of three (3) faculty members, and the Graduate Honor System Advisor. The number of voting faculty shall not exceed the number of voting graduate students present. The graduate students and faculty members shall be selected by the Chair with the approval of the Graduate Honor System Advisor. Each graduate student and faculty member shall have full voting privileges, while the Chair (or designee) shall be a non-voting member and shall serve as the moderator of the hearing. If the case is based on a Research Integrity Office-finding of responsibility for research misconduct, a representative of the RIO shall be present in a non-voting capacity to answer panelist questions about the investigation and finding of responsibility. In addition, the Graduate Honor System Advisor shall be a non-voting member and shall serve in an advisory capacity to the Chair and the Review Panel. The Associate Chair who gathered the evidence may attend the Review Panel as a non-voting member.
2. All Review Panel hearings shall adhere to the basic tenets of due process and rights and responsibilities of the referrer and referred student(s) as outlined in Article VIII and Article IX.
3. All persons involved with the hearing have the right to be treated with respect. Persons displaying disrespect for another person at the hearing or contempt for the proceedings shall be dismissed, and the hearing shall be concluded in their absence.
4. All evidence regarding cases should be submitted to the Associate Chair(s) during the evidence gathering and interviewing process (prior to the Preliminary Review Panel meeting). If additional information is submitted after the case is sent forward by the Preliminary Review Panel, the Review Panel will decide the relevancy of that information.
5. The referred must be adjudged to have violated the honor code before any consideration is given to the penalty, unless the referred acknowledges or the Research Integrity Office has determined responsibility, in which case the deliberations shall focus solely on the penalty.
6. In evaluating evidence and testimony regarding whether a violation of the honor code has occurred, each member of the Review Panel shall consider whether or not there exists substantive evidence of a

violation. The decision whether a violation occurred shall be based solely on the facts regarding the charge, i.e., based on evidence collected and testimony presented at the Review Panel hearing.

7. At the conclusion of the deliberations on whether a violation occurred for each charge against the student, the Chair shall poll the members of the Panel on the question: "Has the student violated the honor code?" An affirmative vote represents "a violation," while a negative vote represents "no violation." A determination of a violation shall require a majority vote. In the absence of such a vote, the Panel shall found that no violation has occurred. An abstention shall not be counted as a vote. In the unlikely event that a majority of the Review Panel members do not vote, the current panel shall be dismissed and a new panel shall be convened to re-hear the case.
8. In determining the appropriate sanction, such factors as the referred student's past history of violations, attitude, intent, severity of the violation, and the degree of cooperation may be considered.
9. Recommendations of penalty shall be by majority vote. An abstention shall not be counted as a vote.
10. A recording of the proceedings, the confidential recommendations of the Review Panel, together with all submitted evidence and votes recorded, shall be held in the Chair's confidential file. The Chair shall inform the Dean of the Graduate School (or designee), in writing, of the findings and recommendations of the Review Panel.

ARTICLE VI: UNIVERSITY ACTION

Section 1 - Review and Decision

1. The recommendations (decision of violation, and penalty if required) of the Review Panel shall be submitted in writing by the Chair to the Dean of the Graduate School (or designee) for review and decision.
2. No penalty shall be announced until an official decision has been rendered by the Dean of the Graduate School (or designee).
3. The official decision of the Dean of the Graduate School (or designee) shall be transmitted in writing to the referred, the referrer, and the course instructor (or major professor for a research-related violation). The referred shall also be notified of the right to appeal the decision. The Research Integrity Office's finding of responsibility for research misconduct is appealable to the President of the University.
4. When the Review Panel's recommendation is not accepted by the Dean (or designee), the Panel shall

be notified of the final decision of the Dean (or designee).

Section 2 - Appeals

1. The referred may appeal the official decision to the Dean of the Graduate School on grounds of (1) failure of the Graduate Honor System to follow proper procedures, (2) introduction of new evidence, and/or (3) severity of the penalty. Appeals concerning the finding of research misconduct by the Research Integrity Office are submitted to the president of the university before the final report is shared with the GHS. The imposition of the penalty shall be deferred until the termination of the appeals process.
2. The Dean of the Graduate School must receive the appeal within five (5) University business days after the referred receives written notification of the decision and penalty.
3. In the event of an appeal, the case will be forwarded to an appellate officer, who is well versed in the Graduate Honor System, graduate academic policies, and Virginia Tech standards of ethics, and has received training from the Graduate Honor System. Such officers include, but are not limited to, the Director of Undergraduate Academic Integrity, Associate Dean for Professional Programs in the College of Veterinary Medicine, or Associate Vice President for Research Compliance. Graduate Honor System appeal procedures do not apply to appeals of research misconduct findings, which are reviewed by the president of the university.
4. The appeal is not a retrial and must be focused solely upon one or more of the following: (1) failure of the Graduate Honor System to follow proper procedures, (2) introduction of new evidence, (3) severity of penalty. The appeal shall be limited to the consideration of the specific information pertaining to one or more of the above. The burden shall be placed on the appealing student to demonstrate why the original finding or sanction should be changed.
5. The decision of the appellate officer is limited to the grounds of the appeal. Judgments are made according to the following guidelines:
 - a. *Failure of the Graduate Honor System to Follow Proper Procedures*
Determine whether or not the Graduate Honor System followed proper procedures. If proper procedures were followed, then the official decision is enforced. If proper procedures were not followed, then the referred student is acquitted and the case is closed.
 - b. *Introduction of New Evidence*
Determine whether or not the new evidence is relevant to the official decision. In the event that the information is determined to be relevant, the

appellate officer shall inform the Dean of the Graduate School or the Graduate Honor System Advisor that a new Review Panel is requested. The new Review Panel shall have no members from a previous panel. If information is determined to be irrelevant or there is no new evidence, then the original decision is upheld.

c. *Severity of Penalty*

Determine if the penalty is too severe for the violation(s), for which the student was found responsible. The finding of a violation is not appealable and the case will not be reheard. The appellate officer has the option to consult GHS facilitators or experienced panelists who were not involved with the original case, as identified by the Chair or Advisor to the GHS, if perspective on the severity of the penalty is required. In the event that the penalty is found to be too severe, a lower penalty may be determined by the appellate officer from those specified under Article VII of this Constitution.

6. The final determination of an appeal shall be the sole responsibility of the appellate officer. The student shall be notified in writing of the disposition of the appeal.

ARTICLE VII: ACTIONS OF THE GRADUATE HONOR SYSTEM

Section 1 - Penalties

Where a violation is determined, the Review Panel or Facilitated Discussion shall also be responsible for determining an appropriate sanction. There are four major penalty levels (1-4) with increasing severity. These penalties are (1) Graduate Honor System Probation, (2) Suspension in Abeyance, (3) Suspension, and (4) Permanent Dismissal. For each charge of a Graduate Honor Code violation for which a student acknowledges responsibility or is found responsible, one of these four penalties must be given.

For cases resolved through Facilitated Discussion, only penalty 1 (Graduate Honor System Probation), subparts a-f may be applied.

For those cases where suspension or dismissal is not warranted, the subparts of penalty 1 (Graduate Honor System Probation) provide a further gradation in the penalty action. Whereas penalties 2, 3, and 4 must be given as a whole (i.e., no parts may be given without the others), penalty 1 may be given in part or in full. However, *if penalty 1 is selected, parts a and b are required.* Only parts

c-i of penalty 1 shall be optional. The very minimum penalty given shall be penalty 1, parts a and b.

1. Graduate Honor System Probation (parts a and b mandatory, parts c-i optional)

- a. The referred shall not be suspended from the University, but shall be placed on Graduate Honor System Probation until graduation or termination of enrollment. The sentence of Probation is a warning and is intended to serve as a deterrent against future misconduct. In the event of any other University or Graduate Honor Code violation, the appropriate parties shall be notified of the previous history of the referred. In the event of resignation and re-enrollment within a period of one (1) year, the referred shall be reinstated on Graduate Honor System Probation (penalty 1, part a only) subsequent to re-enrollment.
- b. The referred shall also automatically receive a zero on the assignment on which the violation occurred. In cases other than those involving course work (or other similar work where a zero is applicable), action shall be taken to negate any advantages obtained by the violation.
- c. A record of the action shall be kept in the referred student's folder (*not* the official transcript) in the Graduate School until graduation from the University or termination of enrollment.
- d. The referred shall be required to attend a meeting or meetings with the Chair and the Dean of the Graduate School for the purpose of achieving a better understanding on the student's part of the requirements and purpose of the Graduate Honor System. Failure to participate in this meeting(s) shall constitute grounds for the *automatic* invocation of part "g" below.
- e. The referred shall be required to write an essay on academic integrity, prevention of academic misconduct, and/or what they have learned regarding academic integrity. Additional essay topics may be requested by the Review Panel. The Chair or Associate Chair from the case will review and guide the writing of the essay. Failure to complete this assignment shall constitute grounds for the *automatic* invocation of part "g" below.
- f. The referred shall be required to complete GRAD 5014: Academic Integrity and Plagiarism course. Failure to successfully complete this course shall constitute grounds for the *automatic* invocation of part "g" below.
- g. The notation "placed on Graduate Honor System Probation" shall appear on the student's permanent record (transcript) under the semester in which the violation occurred.

- h. If substantial unfair academic advantage was gained, that is to say, if the violation, undetected, would have led to an advantage over the other students (or if the referred thought it would), then a grade of "F" for the course in which the offense occurred shall also be a penalty action under this part. This grade shall appear on the student's grade report and permanent record (transcript) as an "F."
- i. If substantial unfair academic advantage was gained, that is to say, if the violation, undetected, would have led to a substantial grade advantage over the other students (or if the referred thought it would), then a grade of "F for violation of the Graduate Honor Code" for the course in which the offense occurred shall also be a penalty action under this part. This grade shall appear on the student's grade report and permanent record (transcript) as an "F*", and it shall be a permanent notation.

2. Suspension in Abeyance (all parts mandatory)

- a. The referred shall be allowed to remain in the University to complete the semester in which the offense occurred or in which the hearing is held.
- b. The penalty shall automatically include a grade of "F for violation of the Graduate Honor Code" for the course (or equivalent) in which the offense occurred. This grade shall appear on the student's grade report and permanent record (transcript) as an "F*", and it shall be a permanent notation.
- c. After the completion of the semester as specified in item (a) above, the referred shall be suspended for a period not to exceed two (2) successive semesters or one (1) full academic year as specified by the official notification of the University action (as specified under Article VI, Section 1, item 3 of this Constitution).
- d. The notation "suspended for violation of the Graduate Honor Code" shall appear on the student's permanent record (transcript) under the semester in which the violation occurred.
- e. Upon the referred student's re-enrollment at Virginia Tech at the end of the period of suspension, the student shall be placed on Graduate Honor System Probation (penalty 1, part a only) until graduation or termination of enrollment.

3. Suspension (all parts mandatory)

- a. Suspension is immediate and the student shall not be allowed to complete the current semester. In addition, the referred shall be suspended for a period not to exceed two (2) successive academic semesters or one (1) full academic year following the current semester (as specified under Article VI, Section 1, item 3 of this Constitution).

- b. All credits shall be lost for work done during the semester in which the student is currently enrolled. The penalty shall automatically include a grade of "F for violation of the Graduate Honor Code" for the course (or equivalent) in which the offense occurred. This

grade shall appear on the student's grade report and permanent record (transcript) as an "F*", and it shall be a permanent notation.

- c. The notation "suspended for violation of the Graduate Honor Code" shall appear on the student's permanent record (transcript) under the semester in which the violation occurred.
 - d. Upon the referred student's re-enrollment at Virginia Tech at the end of the period of suspension, the student shall be placed on Graduate Honor System Probation (penalty 1, part a only) until graduation or termination of enrollment.
4. **Permanent Dismissal** (all parts mandatory)
- a. The referred shall be permanently dismissed from the University without being allowed to complete the current semester.
 - b. All credits shall be lost for work done during the semester in which the student is currently enrolled. In addition, if the offense did not occur during the semester in which the hearing is held, then a grade of "F for violation of the Graduate Honor Code" shall also be assigned for the course in which the offense was committed. This grade shall appear on the student's grade report and permanent record (transcript) as an "F*", and it shall be a permanent notation.
 - c. The referred may never re-enroll in the University.
 - d. The notation "permanently dismissed for violation of the Graduate Honor Code" shall appear on the student's permanent record (transcript) under the semester in which the violation occurred.

Section 2 - Acquittal

In the event of acquittal by the Graduate Honor System, all records of any description in conjunction with the trial shall be completely destroyed, except the "charges" and the "Findings of the System," which shall be filed in the Chair's confidential file.

Section 3 - Announcement

1. In cases where students are found in (or claim responsibility for) violation of the honor code, the penalty and specifications may be published without names, when the case is resolved, in such media as the GHS annual report and reports to the Graduate Student Assembly- Graduate and Professional

Student Senate or Commission on Graduate and Professional Studies and Policies.

2. Exonerations may also be published (without names) if the referred so desires. A written release must be obtained from the referred prior to publication.

ARTICLE VIII: RIGHTS AND OBLIGATIONS OF THE REFERRED STUDENT

Section 1 - Rights of the Referred Student

A student referred for violating the Graduate Honor Code shall have certain procedural guarantees to ensure fair hearing of evidence. These rights under the Graduate Honor Code shall be as follows:

1. Students shall be considered innocent until judged guilty.
2. Students shall have the right to refrain from speaking for or against themselves.
3. Students shall have the right to speak in their own behalf.
4. Students may choose a member of the university community, such as a fellow student, faculty member, or staff member who is willing to assist them in preparing their defense. This person may attend a Facilitated Discussion, but may only participate in an advisory capacity to the student. During a Review Panel, the student's representative shall only be allowed to address the Review Panel; they may not question witnesses. Lawyers retained by referred students shall not be permitted in Review Panel hearings or at Facilitated Discussions.
5. Students may terminate a Facilitated Discussion at any time, without reason.
6. Students shall have the right to review the report prepared by the Associate Chair, prior to the scheduling of a Preliminary Review Panel.
7. Students shall have the right to suggest corrections and/or additions to the report prepared by the Associate Chair, prior to the scheduling of a Preliminary Review Panel. All suggestions will be considered at the discretion of the Chair and the Associate Chair for the case.
8. Students may at any time privately seek counsel with their university community representative. Statements made at this time shall be confidential.
9. Students may have any Graduate Honor System function that they are entitled to attend stopped at any time for a point of clarification.
10. Students may leave any Graduate Honor System function at any time; however, it is in their best interest to remain until they are made aware of all the details.

11. Students shall have the right to receive written notice of the charges, the "Order of Events for Review Panel Hearings," and any other pertinent information sufficiently in advance of the Review Panel hearing and in reasonable enough detail to allow them to prepare a case in their behalf. Likewise, students shall have the right to examine all evidence collected during evidence gathering prior to the Review Panel hearing. The students and their representatives shall have a copy of the evidence during the Review Panel hearing.
12. Students shall have the right to be aware of all testimony.
13. Students shall have the right to face the referrer, when such opportunity exists, at the Review Panel hearing and to present a defense against the charges, including presenting witnesses on their behalf. Consequently, students shall be consulted in the scheduling of the Review Panel hearing. However, students shall only be allowed to reschedule the Review Panel hearing once. Except under extenuating circumstances, Review Panel hearings shall not be rescheduled unless the Chair or the Graduate Honor System Advisor is notified of the requested change prior to three (3) days preceding the scheduled hearing date.
14. Failure of students to be present at Review Panel hearings, assuming reasonable effort has been made to ensure their presence, shall indicate that they are waiving their rights to face the referrer and to appear before the Review Panel.
15. Students may ask that a panel member be excused from the Review Panel hearing if they can give reasonable cause why that panel member may be biased or have some other conflict of interest. The Chair and the Graduate Honor System Advisor shall make a final ruling on any such request.
16. Students shall have the right to an appeal as specified under Article VI, Section 2.

Section 2 - Obligations of the Referred Student(s)

Students referred for suspected Graduate Honor Code violations shall have the responsibility of cooperating with Graduate Honor System personnel. Furthermore, when a case involves other students, these students' rights to privacy should be observed. Students should be aware that the confidentiality of Honor System proceedings may be covered under the Family Educational Rights and Privacy Act (FERPA) as outlined on the University Registrar's website.

ARTICLE IX: RIGHTS AND OBLIGATIONS OF THE REFERRER

Section 1 - Rights of the Referrer

A person referring charges of a Graduate Honor Code violation against a graduate student shall be accorded the following rights:

1. Discussion of the charges between the referrer and referred prior to the Review Panel hearing shall be allowed, although the referrer shall have the right to decline to discuss the case with the referred. The referrer shall have the right, with the permission of the referred, to have one witness present when talking with the referred about the alleged violation.
2. The referrer shall have the right to choose one person (any member of the university community, such as a graduate student, a faculty or staff member, or department head) to assist them in preparation of the case. This person is not allowed to be present at the Review Panel hearing or during a Facilitated Discussion.
3. The referrer shall have the right to terminate a Facilitated Discussion at any time, without reason.
4. The referrer shall have the right to review the report prepared by the Associate Chair, prior to the scheduling of a Preliminary Review Panel.
5. The referrer shall have the right to suggest corrections and/or additions to the report prepared by the Associate Chair, prior to the scheduling of a Preliminary Review Panel. The referrer shall have the right to receive a copy of the evidence collected during the evidence gathering, the "Order of Events for Review Panel Hearings," and any other pertinent information, if the Preliminary Review Panel sends the case to the Review Panel.
6. The referrer shall have the right to receive written notification of the final disposition of the case.
7. The referrer shall have the right to be secure in person and property.
8. Professors referring charges of violations may opt to grade or refrain from grading any assignment referred to the Graduate Honor System. It is recommended that instructors, if they are able to do so, grade the assignment with the assumption that the student is innocent of the charge. However, an incomplete grade may be assigned to the referred student pending the decision of the Graduate Honor System. The incomplete grade will be removed when the case is resolved.

Section 2 - Obligations of the Referrer

A person referring a suspected of a Graduate Honor Code violation shall accept the following obligations:

1. The referrer shall cooperate with the Chair, the Graduate Honor System advisor, the Associate Chair, and any other personnel of the Graduate Honor System.
2. The referrer shall be expected to appear at the Review Panel hearing.
3. The referrer shall have the responsibility of maintaining confidentiality in all matters pertaining to the case. However, referrers may discuss the case with their counsel (see Article IX, Section 1, item 2). The referrer should be aware that the confidentiality of Honor System proceedings may be covered under the Family Educational Rights and Privacy Act (FERPA) as outlined on the University Registrar's website.

ARTICLE X: OBLIGATIONS OF PARTIES INDIRECTLY INVOLVED IN HONOR SYSTEM CASES

1. Parties indirectly involved in Honor System cases include but are not limited to persons who witness alleged violations, witness discussions between referrers and referred students, and serve as members of the University community that help referrers and referred students prepare their case.
2. Parties indirectly involved in Honor System cases shall have the responsibility of maintaining confidentiality in all matters. Parties indirectly involved in Honor System Cases should be aware that the confidentiality of Honor System proceedings may be covered under the Family Educational Rights and Privacy Act (FERPA) as outlined on the University Registrar's website.

ARTICLE XI: GENERAL

Section 1 - Reporting of Violations

It is the obligation of all members of the academic community to report alleged violations of the Graduate Honor Code. *Reporting the observance of a Graduate Honor Code violation shall not be optional; it shall be mandatory.* Reports should be submitted in writing to the Chair or the Graduate Honor System Advisor on forms provided for that purpose, which are available at the Graduate Honor System website. The report form also may be obtained at the Graduate School.

Alleged violations of the Graduate Honor Code must be reported within ten (10) University business days after the date of discovery. Only under very special circumstances shall exceptions to this policy be granted, and then only at

the discretion of the Chair and the Graduate Honor System Advisor. A possible reason for exception could include, but is not limited to, unavoidable delays in obtaining the evidence.

If an alleged violation in the same incident is reported by multiple referrers separately, the case will proceed based on the first referral. Secondary referrers may be included in the case, if they desire, as a witness to the referral.

Section 2 - Violations at Extended Campuses

1. Students engaged in graduate studies at any of Virginia Tech's extended campuses shall be subject to all provisions of this Constitution.
2. Designated panelists may assist in gathering evidence if it is not possible for an Associate Chair to do so. The evidence obtained shall be presented to the Preliminary Review Panel and shall be evaluated in a manner prescribed in Article IV of this Constitution.
3. Unless otherwise designated by the Chair, with the approval of the Dean of the Graduate School, all hearings shall be conducted at the Virginia Tech main campus in Blacksburg.

Section 3 - Summer

Because of the decreased availability of graduate student and faculty panelists during the summer, delays in processing and hearing cases may result. Thus, reasonable delays of this sort shall not be considered as violating the student's rights or as grounds for an appeal.

Section 4 - Graduate Students Enrolled in Undergraduate Classes

Graduate students shall be subject to stipulations within this Constitution regardless of whether they are enrolled in undergraduate or graduate classes. In cases in which the graduate student is referred in conjunction with an undergraduate student, the Graduate Honor System will work with the Office of Undergraduate Academic Integrity.

Section 5 - Undergraduate Students Enrolled in Graduate Classes

The undergraduate honor system, commonly referred to as The Virginia Tech Honor System, shall have jurisdiction over cases involving undergraduate students in graduate classes unless the student is also enrolled in the Graduate School and taking graduate classes for graduate credit under the classification of "Dual Student" or "Combined

Student," and "Bachelor/Master's Degree Student," in which case the Graduate Honor System shall have jurisdiction. In cases in which an undergraduate student is referred with a graduate student, the Graduate Honor System will work with the Office of Undergraduate Academic Integrity.

Section 6 - Recruitment of Graduate Honor System Members

Recognizing that it is strongest when it fosters and reflects the support of all graduate students and faculty at the University, the Graduate Honor System shall seek to be as broadly representative of the graduate student and faculty bodies at Virginia Tech as possible. To this end, all qualified graduate students and faculty shall be encouraged to participate in the Graduate Honor System. No otherwise qualified graduate student or faculty may be excluded from membership on the basis of race, sex, handicap, age, veteran status, national origin, religion, political affiliation, or sexual orientation.

Section 7 - Clearance of Graduate Student Records

Graduate students volunteering or appointed to serve in the Graduate Honor System must receive clearance of their personal disciplinary records and their academic records through the Dean of the Graduate School. Such clearances shall be conducted consistent with the University's regulations on the confidentiality of records and shall assure a minimum academic quality credit average of 3.00 and no previous or current disciplinary action for each appointee.

Section 8 - Confidentiality

All investigations, hearings, reviews, and other associated activities of the Graduate Honor System shall conform to the University's "Confidentiality of Student Records" and FERPA policies.

Section 9 - Substitution of Graduate Honor System Personnel

The Chair or the Graduate Honor System Advisor shall be authorized, when circumstances dictate, to appoint substitutes for any Graduate Honor System personnel in any case before the Graduate Honor System. However, faculty may not be substituted for graduate students and vice versa.

Section 10 - University Policies

Where appropriate, the Graduate Honor System shall abide by all applicable policies, statements, and principles as contained in the *University Policies for Student Life*.

Section 11 – Definition of a “University business day”

A “University business day,” as referred to in this constitution, shall be defined as any day on which the main Virginia Tech campus is open and the Graduate School offices are open.

ARTICLE XII: VIOLATIONS INVOLVING FORMER GRADUATE STUDENTS WHO HAVE RECEIVED THEIR DEGREES

Section 1 – Convening of Special Committee

If the degree towards which the student was working at the time of the alleged violation has been awarded, the case shall be referred to the Dean of the Graduate School. The Dean of Graduate School shall convene a special committee to review and investigate the allegation and make recommendations.

Section 2 – Composition of Special Committee

The Special Committee shall consist of an experienced Graduate Honor System faculty panelist appointed by the Dean of the Graduate School to serve as the Chair of the Special Committee (voting), the GHS Chair (ex officio, voting), the GHS Advisor (non-voting), a minimum of four (4) faculty and two (2) graduate students recruited from GHS panelists, and up to two (2) other faculty or student members appointed by the Dean of Graduate School. All members of the Special Committee (except the GHS Advisor) shall have full voting privileges. The number of voting graduate student members (including GHS Chair) shall not exceed the number of voting faculty members on the Special Committee.

Section 2 – Functions of the Special Committee

The Special Committee shall perform the following functions:

1. It shall review the allegation and any evidence submitted to the Dean of Graduate School, and may gather additional evidence.
2. It shall solicit testimony from the referrer, referred former student, the former student's advisor, committee members, and other applicable witnesses.
3. It shall assure that the rights of the referrer and referred former student are protected and assure due process.
4. It shall determine whether a violation occurred.
5. It shall recommend a penalty if the referred former student is determined to have violated the honor code.

Section 3 – Operation of Special Committee

1. Preliminary Review

- a. The special committee shall conduct a preliminary review of the allegation to determine if it warrants a full review.
- b. A decision to conduct a full review should be based upon substantive evidence to support the allegation. The lack of such evidence should lead the Special Committee to vote against moving to a full review and consequently lead to the dismissal of the case. Otherwise, the Special Committee should proceed to a full review of the case. The fact that the case is moved to a full review does not imply responsibility for the violation; it only denotes that the case should be reviewed with the aid of additional evidence and personal testimony.
- c. A majority vote is required to dismiss the case. Otherwise, the case proceeds to a full review.

2. Full Review

- a. The full review of the case shall be based on the gathering of relevant evidence and personal testimonies from the referrer, referred former student, former student's advisor, committee members, and other applicable witnesses.
- b. The referred former student must be adjudged to have violated the honor code before any consideration is given to a penalty, unless the referred acknowledges responsibility, in which case the deliberations shall focus solely on the penalty.
- c. In evaluating evidence and testimony regarding whether a violation of the honor code occurred, each member of the Special Committee shall consider whether or not there exists substantive evidence of a violation. The decision whether a violation occurred shall be based solely on the facts regarding the charge, i.e., based on evidence collected and testimony presented to the Special Committee.
- d. At the conclusion of the deliberations on whether a violation occurred, the Special Committee shall be polled by the Chair of the Special Committee on the question: "Has the former student violated the honor code?" An affirmative vote represents "a violation", while a negative vote represents "no violation". A determination of a violation shall require a majority vote. In the absence of such a vote, the Special Committee shall find that no violation occurred. An abstention shall not be counted as a vote. In the unlikely event that a majority of the Special Committee members do not vote, the current Special Committee shall be dismissed, and a new Special Committee shall be convened to review the case again.

- e. In determining the appropriate sanction, factors such as the referred former student's intent and severity of violation may be considered.
- f. Recommendations for corrective action shall be by majority vote. An abstention shall not be counted as a vote.
- g. A recording of the proceedings, the confidential recommendations of the Special Committee, together with all submitted evidence and votes recorded, shall be held in the GHS confidential files. Documents and materials shall be retained for five years.
- h. Upon completion of the full review of the case, the Chair of the Special Committee shall inform the Dean of the Graduate School (or designee), in writing, of the findings and recommendations of the Special Committee. The Dean of the Graduate School (or designee) shall review and communicate the final decision in writing to the referred former student and the referrer.

Section 4 – Actions of Special Committee

1. Penalties

- a. **Corrective Action:** The former student is required to take corrective action to meet Virginia Tech academic standards regarding the academic work under review (whether it pertains to thesis, dissertation, or course work). Corrective action may include but is not limited to re-writing sections of thesis or dissertation or taking additional courses.
- b. **Revocation of Degree:** If it is determined that the degree awarded to the former student was fraudulently obtained due to significant misconduct, the Special Committee may recommend the revocation of the degree granted based on the violation. The recommendation of revoking the degree shall require two-third majority vote. The former student may never re-enroll at the University.

2. **Acquittal:** In the event of acquittal of the former student by recommendation of the Special Committee, all records of any description in conjunction with the Special Committee proceedings shall be completely destroyed, except the "charges" and the "Findings of the Special Committee," which shall be held in the GHS confidential files for a period of five years.

Section 5 – Appeals

1. The referred former student may appeal the official decision to the Dean of Graduate School on grounds of (1) failure of the Special Committee

to follow proper procedures, (2) introduction of new evidence, and/or (3) severity of penalty. The imposition of the penalty shall be deferred until the termination of the appeals process.

2. The Dean of the Graduate School must receive the appeal within five (5) University business days after the referred former student receives written notification of the decision and penalty.
3. In the event of an appeal, the case will be forwarded to an appellate officer, who is an Academic Dean (or designee) nominated from the Council of College Deans. The appellate officer cannot be from the College in which the degree was earned by the former student.
4. The appeal is not a retrial and must be focused solely upon one or more of the following: (1) failure of the Special Committee to follow proper procedures, (2) introduction of new evidence, (3) severity of penalty. The appeal shall be limited to the consideration of the specific information pertaining to one or more of the above. The burden shall be placed on the appealing former student to demonstrate why the original finding or sanction should be changed.
5. The decision of the appellate officer is limited to the grounds of the appeal. Judgments are made according to the following guidelines:
 - a. *Failure of the Special Committee to Follow Proper Procedures*
Determine whether or not the Special Committee followed proper procedures. If proper procedures were followed, then the official decision is enforced. If proper procedures were not followed, then the referred former student is acquitted, and the case is closed.
 - b. *Introduction of New Evidence*
Determine whether or not the new evidence is relevant to the official decision. In the event that the information is determined to be relevant, the appellate officer shall inform the Dean of the Graduate School that the convening of a new Special Committee is requested. The new Special Committee shall have no members from the previous Special Committee except the GHS Advisor. The GHS Chair shall designate the GHS Associate Chair to serve as the voting member in the new Special Committee. If information is determined to be irrelevant or there is no new evidence, then the original decision is upheld.
 - c. *Severity of Penalty*
Determine if the penalty is too severe for the violation(s), for which the referred former student was found responsible. The Special Committee's determination that a violation occurred cannot be appealed, and the case will not be reheard. The appellate officer has the

option to consult GHS facilitators or experienced panelists who were not involved with the original Special Committee, or other faculty from the Department or Program closely associated with the former student's degree, if perspective on the severity of the penalty is required. If the penalty is found to be too severe, a lower penalty may be determined by the appellate officer based on the consultations.

2. The final determination of an appeal shall be the sole responsibility of the appellate officer. The referred former student shall be notified in writing of the disposition of the appeal.

ARTICLE XIII: AMENDMENTS

Proposed amendments to the Constitution of the Graduate Honor System may be initiated through one of the following channels: (1) by a majority vote of the ~~Graduate Student Assembly~~ Graduate and Professional Student Senate, (2) by a majority vote of the Commission on Graduate and Professional Studies and Policies, or (3) by direct submission to the Chair or the Dean of the Graduate School. Also, at the discretion of the Chair and the Graduate Honor System Advisor, amendments may be initiated through the Graduate Honor System. Upon receiving such proposals, the Dean of the Graduate School shall convene the Constitution Revision Committee. With the approval of two-thirds of this committee, proposed amendments shall be forwarded for approval by the Commission on Graduate and Professional Studies and Policies and thereafter through the proper channels of the University governance structure (which at the time of the 2008-09 revision is described in Policies and Procedures No. 8011). Any substantive changes in proposed amendments as they proceed through subsequent levels of approval shall be resubmitted to the Constitution Revision Committee for its approval.

The Constitution Revision Committee shall consist of the Chair, the Graduate Honor System Advisor, a minimum of six (6) panelists (minimum of four (4) graduate students and two (2) faculty), and up to two (2) other representatives from the graduate student body to be nominated by the ~~Graduate Student Assembly~~ Graduate and Professional Student Senate.

2025 Revision

At the request of the Dean of the Graduate School, a Constitution Revision Committee was convened in the fall of 2024 to revise the GHS Constitution based on the need for clarification of procedures and responsibilities in cases involving alleged GHS violations that may also constitute

research misconduct, and the desire for procedural updates identified by GHS personnel. The committee worked with the Research Integrity Office (RIO) to define clear guidelines and procedures to ensure that the new procedures delineated in the GHS constitution are consistent with federally mandated policies and procedure the RIO must follow while maintaining the rights and responsibilities of graduate students as delineated in the GHS constitution.

2020 Revision

At the request of the Dean of the Graduate School, a Constitution Revision Committee was convened in the summer of 2020 to revise the GHS Constitution based on the recommendations of the Commission on Graduate and Professional Studies and Policies in Resolution CGPS&P 2019-2020A titled "Resolution to Edit the Graduate Honor System Constitution to Add Revoking Graduate Degree to Penalty Options."

The Constitution Revision Committee added a new article to the constitution to describe the entire process of handling violations involving former graduate students who have received their degrees. The article describes in detail the composition, functions, and operation of the special committee, as well as the possible sanctions for violations and the appeal process. This new article (Article XII) replaces the previous description of the process (Article XI, Section 6) pertaining to violations involving graduate students already graduated. Because of the removal of a section and the introduction of a new article, subsequent sections and articles have been renumbered. Additionally, the Constitution Revision Committee also made changes to the duties of the Associate Chair(s) (Article II, Section 7) to expand on the process of evidence collection for GHS cases while assuring due process.

2018 Revision

The Vice President and Dean of the Graduate School convened a Constitution Review Committee in the Spring of 2018. This revision was conducted by a panel of graduate students and faculty members in accordance with the constitution.

The goals of the revision were to address concerns about the path of appeals, update language within the constitution to better fit the Honor System's values, and include penalties that fit the Honor System's values and mission which were not available at the time of the last revision.

2008-09 Revision

At the request of the Dean of the Graduate School, a Constitution Review Committee was convened in 2008 to

perform a periodic review to bring the GHS Constitution up to date with current University policies and the climate of the time. This revision was conducted by a panel of graduate students and faculty in accordance with the constitution.

The goals of the current revision were two-fold: First, revisions were intended to address substantive issues that have arisen since the 1991 revision. Second, revisions were intended to improve the efficiency and effectiveness of the Honor System. The Review Committee considered a number of changes and ultimately rejected those that did not meet either of the above mentioned goals. The committee has worked very hard to ensure that the revisions to this constitution stand for at least another 15 years.

1991 Revision

Following the conclusion of the 1987 University Self-Study, a Constitution Revision Committee was convened to evaluate the Graduate Honor System. Since the Constitution had not received serious scrutiny in a decade or more, and since the Graduate Honor System has now matured to a level where the old Constitution is hardly serviceable, the ultimate goal of this committee from the outset was a revision of the Constitution. Much work has gone into ensuring that this revision will stand the test of time and will be instructive in guiding the operation of the Graduate Honor System in the years ahead.

Reference Material Used

Revision of this document was based on a variety of materials; these include:

1. *Constitution to the Virginia Tech [Undergraduate] Honor System, published in the Pylon (1988-89). (Article VII, Article VIII, several sections of Article IX, and Appendix A are used with and without modifications by permission of the Virginia Tech [Undergraduate] Honor System). Also, a report written by the Virginia Tech [Undergraduate] Honor System Self-Study Committee was used.*
2. *The University Judicial System's Manual for Hearing Officers, published by the Dean of Students Office, Virginia Tech (1989).*
3. *Several ideas and sentences from the following sources have been used with and without modification in the writing of the section "Purpose and Description of Graduate Honor Code" (Article I, Section 1):*

- a. *Reference 1.*
- b. *Cornell University Course of Study, "Code of Academic Integrity", (1989-1990), pp. 33-35.*
- c. *Bulletin of Duke University Graduate School, "Standards of Conduct", (March 1990), pp. 56-58.*
- d. *Record of the University of North Carolina at Chapel Hill, The Graduate School, "The Honor Code", (April 1990), pp. 70-72.*
- e. *University of Virginia Graduate Record, "The Honor System", (1987-1988), p.20 and p. 30.*
4. *Information used in defining "Misconduct in Research" (Article I, Section 3):*
 - a. *Recommendations on "Research Misconduct and Graduate Students at VPI&SU" submitted to the Constitution Revision Committee by the Degree Requirements, Standards, Criteria and Academic Policies Committee (DRSCAPC) of the Commission on Graduate Studies, January 18, 1990.*
 - b. *"Narrower Definition of Misconduct Urged," Public Affairs Newsletter, Federation of American Societies for Experimental Biology, Vol. 21, No. 12 (December 1988) p. 1.*
 - c. *Federal Register, Vol. 54, No. 151, (August 8, 1989) 32449.*
 - d. *"New Rules on Misconduct," Science, (August 11, 1989) p. 593.*
5. *"Computer Science Department Policy on Koofers, Old Programs, Cheating, and Microcomputer Use," CS Bits & Bytes (CS Dept. VPI&SU), Wednesday, February 15, 1989, pp. 7-8. (Ideas and wording from this policy were used in Article I, Section 3.)*

APPENDIX: PLAGIARISM

The following text is reproduced with minor editorial changes, with permission, from the Constitution of the Virginia Tech [Undergraduate] Honor System.

DEFINITION

The Virginia Tech honor system constitution states that "Plagiarism includes the copying of the language, structure, ideas, and/or thoughts of another and passing off same as one's own, original work." The violation, then, consists of both *copying* and *misrepresenting the material in question*.

Generally, when students place their name on any kind of work, they claim responsibility for the originality of the contents except for those parts that are specifically attributed to another or that are considered common knowledge. (The concept of common knowledge poses a

problem of definition, and the student should consult their instructor when in doubt.) Thus, if students have reviewed any outside source, whether published or not, and have incorporated any of its "language, structure, ideas, and/or thoughts" into their work without acknowledging that source, they may be guilty of misrepresenting the work's originality. [Furthermore, in citing a reference, students must change both the sentence structure and the vocabulary (where possible) in expressing the original material in their own words.]

Copying includes a whole range of offenses. Everyone is familiar with stories involving a student who has "borrowed" or bought a term paper or laboratory report from a so-called research service, a fellow student, the Internet, or another similar source. Such wholesale copying is akin to the lifting of an assignment in its entirety from a book or journal article. In either case, the student in question submits work that is literally copied and transferred from one piece of paper to another; by claiming this work as their own, the student is clearly guilty of the most flagrant kind of plagiarism.

Another type of copying that is not as obvious, though equally serious, involves the translation of a part of a book, article, or other source into different words—paraphrasing. Although the language is not the same because the exact words of the source have been changed, the structure, ideas, and thoughts of the original author have been copied. Thus, the student who submits an assignment that simply paraphrases a source without identifying it may also be guilty of plagiarism.

Similarly, any combination of simple copying and paraphrasing, whether from one source or from many, is also a type of plagiarism, and the offender may be equally guilty as those students described above.

Because a person's ideas can be conveyed in many ways besides the written word, students should be aware that the copying of drawings, designs, photographs, graphs, illustrations, tables, primary data, derived equations, computer programs, verbal communications of ideas, and other sources may also constitute plagiarism, unless the source is acknowledged and properly documented.

For the purposes of the Virginia Tech honor system, plagiarism can be broadly defined as the act of appropriating the literary composition, language, structure, ideas, and/or thoughts, drawings, laboratory reports, or

computer programs of another or parts or passages thereof, and of passing them off as the original product of one's own mind. To be liable for plagiarism under the university's honor system, it is not necessary to duplicate another's literary work exactly; it being sufficient if unfair use of such work is made by lifting of substantial portions of it. Plagiarism is not confined to literal copying, but also includes any of the evasive variations and colorable alterations by which the plagiarist may disguise the source from which the material was copied. On the other hand, even an exact counterpart of another's work does not constitute plagiarism if such counterpart was arrived at independently.

EXAMPLES OF CORRECT AND INCORRECT USES OF SOURCES

The following four examples provide illustrations of three kinds of plagiarism, as well as the proper use and acknowledgement of sources. The excerpt from Niccolo Machiavelli's *The Prince* is quoted from W. K. Marriott's translation (New York: E. P. Dutton, 1908), p. 37. The excerpts from student papers have been written for the purposes of this document.

FLAGRANT PLAGIARISM

Excerpt from The Prince

Whenever those states which have been acquired as stated have been accustomed to live under their own laws and in freedom, there are three courses for those who wish to hold them: the first is to ruin them, the next is to reside there in person, the third is to permit them to live under their own laws, drawing a tribute, and establishing within it an oligarchy which will keep it friendly to you. Because such a government, being created by the prince, knows that it cannot stand without his friendship and interest, and does its utmost to support him; and therefore he who would keep a city accustomed to freedom will hold it more easily by the means of its own citizens than in any other way.

Excerpt from a student paper

Whenever those *nations* which have been acquired have been accustomed to *living* under their own laws and in freedom, then there are three *options* for those who wish to *keep* them; the first is to ruin them, *second* is to reside there in person, and the *last* is to permit them to live under their own government, drawing a tribute, and establishing within it an oligarchy which will keep it friendly to you. Because

such a government, being created by the *ruler*, knows that it cannot stand without his friendship and interest, and does its utmost to gain his support, and therefore, he who would keep a city accustomed to freedom will hold it more easily by the means of its own citizens than in any other way.

Comments

This student paper is an example of the most obvious form of plagiarism. The writer has copied Machiavelli almost verbatim without any acknowledgment. There have been some minor changes. For example, the italicized words have been changed. "States" becomes "nations," "courses" becomes "options," etc.

PLAGIARISM THROUGH PARAPHRASING

Excerpt from The Prince

Whenever those states which have been acquired as stated have been accustomed to live under their own laws and in freedom, there are three courses for those who wish to hold them: the first is to ruin them, the next is to reside there in person, the third is to permit them to live under their own laws, drawing a tribute, and establishing within it an oligarchy which will keep it friendly to you. Because such a government, being created by the prince, knows that it cannot stand without his friendship and interest, and does its utmost to support him; and therefore he who would keep a city accustomed to freedom will hold it more easily by the means of its own citizens than in any other way.

Excerpt from a student paper

There are basically three methods to maintain control over nations which formerly enjoyed their independence. First the nation can be completely destroyed. Second, the king can personally reside in the conquered territory. Finally, the king can permit them to live under their own rules; he would then levy a tax and establish a ruling clique which would be loyal to him. Since this government is created and maintained by the conquering power, the puppet government will do its utmost to support him in order to keep his friendship. In addition, by establishing a puppet government in such a manner, he will gain the allegiance of its citizens.

Comments

By paraphrasing the paragraph taken from Machiavelli, the student attempted to disguise the source of material. Nevertheless, it is quite obvious that the sentences of this writer parallel those of the Machiavelli text and are identical in meaning.

PLAGIARISM OF AN IDEA

Excerpt from The Prince

Whenever those states which have been acquired as stated have been accustomed to live under their own laws and in freedom, there are three courses for those who wish to hold them: the first is to ruin them, the next is to reside there in person, the third is to permit them to live under their own laws, drawing a tribute, and establishing within it an oligarchy which will keep it friendly to you. Because such a government, being created by the prince, knows that it cannot stand without his friendship and interest, and does its utmost to support him; and therefore he who would keep a city accustomed to freedom will hold it more easily by the means of its own citizens than in any other way.

Excerpt from a student paper

When the British established their empire in Asia and Africa during the eighteenth and nineteenth centuries, they were faced with the problem of how to govern and control effectively these areas which had formerly lived under their own government. There were essentially three methods of achieving this end: destroying the country; establishing direct rule through governors appointed by the king; and maintaining indirect control through the already established governing structure. The British chose indirect rule. Through indirect rule, the former officials realized that their position was now dependent upon the British. Consequently, their allegiance was assured, and through them the British obtained substantial economic benefits. In addition, the people, seeing their leaders still in power, obediently supported the indirect rule of the British.

Comments

The student has used the ideas of Machiavelli in describing a historical event. Machiavelli lists three methods of governing and controlling a state that had formerly been independent, and then shows the relative advantage of pursuing the last method. The student does not acknowledge the use of the description of the three

methods of control nor the advantages of the last method when applying Machiavelli's idea to a specific example.

CORRECT USE OF PARAPHRASING AND DIRECT QUOTATIONS

Excerpt from The Prince

Whenever those states which have been acquired as stated have been accustomed to live under their own laws and in freedom, there are three courses for those who wish to hold them: the first is to ruin them, the next is to reside there in person, the third is to permit them to live under their own laws, drawing a tribute, and establishing within it an oligarchy which will keep it friendly to you. Because such a government, being created by the prince, knows that it cannot stand without his friendship and interest, and does its utmost to support him; and therefore he who would keep a city accustomed to freedom will hold it more easily by the means of its own citizens than in any other way.

Excerpt from a student paper

When the British established their empire in Asia and Africa during the eighteenth and nineteenth centuries, they were faced with the problem of how to govern these formerly independent areas effectively. According to Niccolo Machiavelli, in *The Prince*, a ruler had three options. He could destroy them, "reside there in person," or "permit them to live under their own laws, drawing a tribute and establishing within it an oligarchy which will keep it friendly to you."¹ Machiavelli felt that through this third method the conqueror gained the support of the former leaders and their subjects.²

The British seemed to apply this third method through their indirect rule concept. In other words, the British maintained control using the former leaders as figureheads. The former leaders realized that their position was now dependent upon the British. Consequently, their allegiance was assured and through them substantial economic benefits were obtained. In addition, the people, seeing their leaders still in power, obediently supported the indirect rule of the British.

¹ Niccolo Machiavelli, *The Prince*, trans. and intro. W. K. Marriott (New York; E.P. Dutton, 1908), p.37.

² Machiavelli, p.37.

Comments

In this instance, the student has correctly footnoted the ideas of Machiavelli, which he has paraphrased and quoted. The writer has then applied Machiavelli's ideas to a more recent historical event.

THE PROBLEM OF COMMON KNOWLEDGE

The concept of common knowledge is one of the more difficult points to explain in any consideration of plagiarism. How can a student, often a novice in the subject, determine whether an idea or fact included in a paper is so widely known that it is considered common knowledge and requires no documentation? A few general guidelines for solving this dilemma can be suggested, but none is inviolate. Given the seriousness of plagiarism, the prudent writer cites a reference whenever he or she is uncertain.

1. Concepts and facts widely known outside of the specific area of study are generally considered common knowledge. These include undisputed dates (e.g. the adoption of the Declaration of Independence on July 4, 1776), scientific principles (e.g. Newton's Laws of Motion), and commonly accepted ideas (e.g., Hamlet's role as a tragic hero). Such data require no specific reference. Students should be aware, however, that the addition of minor informational embellishments might require documentation (e.g., that the Declaration of Independence was unanimously adopted by the American colonies on July 4, 1776, despite the abstention of New York).
2. The fact that material appears in a dictionary, encyclopedia, handbook, or other reference work or textbook does not guarantee that it is common knowledge. Such books are written by experts, and most of the information they contain is not widely known.
3. There is no simple test to determine whether information is common knowledge. In case of doubt, the student should consult his or her instructor.

DOCUMENTATION

To avoid plagiarism in writing, the student must be familiar with the concept of documentation. Terminology and methodology concerning proper ways to acknowledge sources are probably more confusing to students than any other aspect of research reporting. The purpose of documenting a source is first to give proper credit to others for their original words, thoughts, and ideas, and second to enable the interested reader to locate the original source in

order to read or study further. Keeping this latter purpose in mind, one finds that the rules regarding documentation make more sense. Therefore, students should familiarize themselves with the proper methods of providing citations and bibliographies both to document their sources and to provide the reader with the necessary data to locate further information on the subject.

INDICATING QUOTATIONS

Whenever the exact wording of a source appears in a student paper, that fact must be made apparent to the reader. This goal can be accomplished in two ways. Brief quotations should be enclosed in quotation marks, whether complete sentences, phrases, or single significant words which have been incorporated into the student's own sentence or into a paraphrase or a longer excerpt of the source. The student should be careful to denote precisely where the source's exact wording begins and ends by the appropriate placing of opening and closing quotation marks.

Longer quotations (of more than three lines) should be indented ten spaces from the left-hand margin. Again, the beginning and ending of quoted material should be clearly indicated.

All direct quotations must be signified in one of these ways.

CITATIONS

Immediately following every piece of quoted or paraphrased material, some type of reference is required. The method used varies according to the field of study for which the paper is written; thus, students should ask instructors which style manual to use in preparing papers for their courses. Examples of two commonly used methods follow.

1. Footnotes or Endnotes: A small numeral in the text refers to a complete reference, similarly numbered, at the foot of the page or at the end of the paper. Notes should be numbered sequentially, beginning with "1."

Example:

"Congruence...between the self concept and the ideal self is one of the most fundamental conditions for both general happiness and for satisfaction in specific life areas."¹

¹Alfred L. Brophy, "Self, Role, and Satisfaction," *Genetic Psychology Monographs*, 59 (May 1959), 300.

2. Author-Date Citation: Following a quotation or paraphrase, the author's name and the publication date of the work appear in parentheses and refer the reader to the bibliography at the end of the paper.

Example:

For a person to be truly happy, his or her self concept must more or less coincide with the ideal self he or she envisions (Brophy, 1959).

BIBLIOGRAPHY OR LIST OF CITED REFERENCES

A list of all sources used, arranged alphabetically by the authors' last names, should appear at the end of every paper. Each entry should contain all information necessary for a reader to retrieve the work. Book entries usually include author's name, book title, and publication data (city, publisher, and date). Entries for periodical articles generally include author's name, article title, periodical title, volume number, date of issue, and pages on which the article appears. Students should make whatever adjustments that are necessary to these general rules so that entries coincide with the format prescribed by an instructor or by a specific manual. (An example of one type of bibliography format can be found in the list of style manuals which follows.)

Huth, E.J. *Scientific Style and Format: The CBE Manual for Authors, Editors, and Publishers*. 6th ed. Council of Biology Editors, 1994.

Winkler, A.C. & McCuen-Metherell, J.R. *Writing the Research Paper: A Handbook, 2009 MLA Update Edition*. Wadsworth Publishing, 7th ed., 2009.

Modern Language Association. *MLA Handbook for Writers of Research Papers, Theses, and Dissertations*. New York: MLA. 7th ed., 2009.

Turabian, Kate L. *A Manual for Writers of Term Papers, Theses, and Dissertations*. 7th ed. Chicago: University of Chicago Press, 2007.

This appendix is not intended to suggest or endorse any specific method of documentation. Rather, its purpose is to remind students that acknowledgment of sources is necessary. The examples given above are provided as illustrations of some of many possibilities. The final authority regarding methods of documentation is the course instructor; students should choose a system of documentation and use it consistently throughout a paper. The following style manuals are commonly used.

American Psychological Association, *Publication Manual of the American Psychological Association*, 6th ed. Washington: APA, 2009.

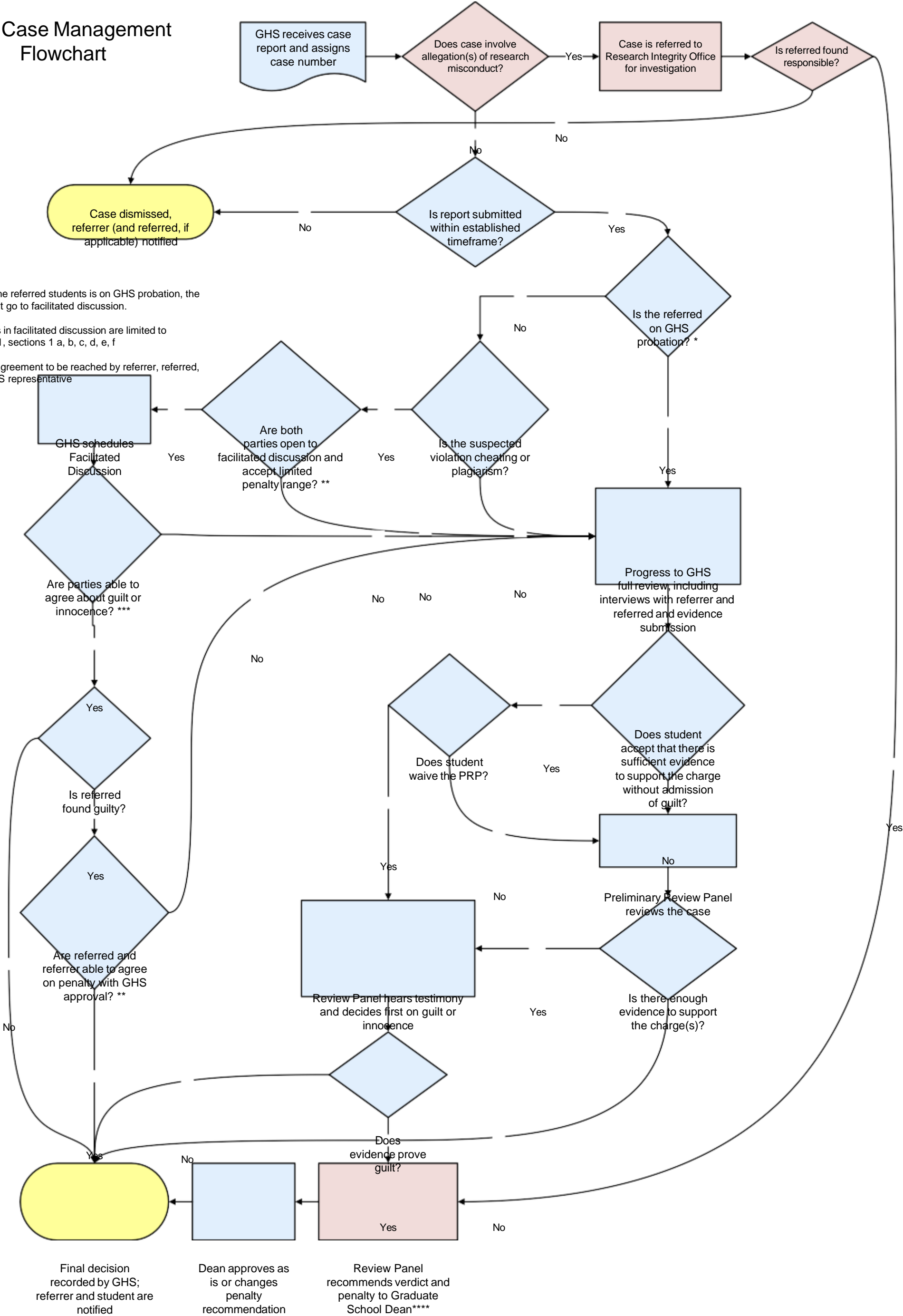
Campbell, W.G., Ballou, S.V. and Slade, C. *Form and Style: Theses, Reports, Term Papers*. Boston: Houghton Mifflin Harcourt, 2007.

GHS Case Management
Flowchart

* If any of the referred students is on GHS probation, the case can't go to facilitated discussion.

** Penalties in facilitated discussion are limited to Penalty 1, sections 1 a, b, c, d, e, f

*** 3-party agreement to be reached by referrer, referred, and GHS representative



**** In cases that are referred to the RIO, RPs include a RIO representative as well as the referred student(s) and referrer. The RP focuses its questions and deliberation solely on the appropriate penalty.

RESOLUTION TO RATIFY THE 2025-26 FACULTY HANDBOOK

MATERIALS INCLUDED

- Resolution
- Overview of Handbook Review Process and Changes
- Table Summarizing Revisions
- Redlined version of 2025-26 Faculty Handbook

RESOLUTION TO RATIFY THE 2025-26 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 regularly to incorporate editorial updates, actions that have been approved through shared governance, and 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 2025-26 Faculty Handbook that incorporates the revisions described in the attached overview and summary table, and indicated through the redlined version of the handbook that follows.

RECOMMENDATION:

That the Board of Visitors approve the resolution to ratify the 2025-26 Faculty Handbook.

June 3, 2025



FACULTY AFFAIRS
VIRGINIA TECH.

2025-26 Faculty Handbook Revisions

Faculty Handbook Review Process

OCTOBER

Call for review of the handbook from content experts across campus. Minor changes may be made administratively with appropriate justification. Other changes will be directed through the appropriate governance process for consideration.

FEBRUARY

Proposed changes due to allow time for items that are identified as needing to go through governance to be directed to the appropriate commission for consideration.

APRIL

Changes are reviewed with Commission on Faculty Affairs, then with University Legal Counsel and the Vice President for Policy and Governance.

JUNE

The handbook brought to Board of Visitors for approval.

JULY/AUGUST

A memo summarizing substantive changes sent to deans, department heads, HR division directors, and faculty senate president; the finalized handbook uploaded to Faculty Affairs webpage.

AUGUST-MAY

Resolutions moving through university governance that would affect language in the faculty handbook are monitored, any approved changes are incorporated into the handbook.

2025-26 Changes: Administrative



Reorganization of Chapter 2 description of faculty categories; reinsertion of descriptive tables; definitions added for consistency with other chapters; combined description of “General” and “College” faculty for clarity with role of research faculty who are based in colleges.



Adjusted language for consistency with policy changes where appropriate.



Revised titles, office/department names to reflect changes.



Updated references to policies and webpages for consistency, clarity, and accessibility.

2025-26 Changes: Governance

Section 1.1.12 Faculty Organizations

Section 2.2.5 Non-Discrimination, Harassment Prevention, Sexual Assault

Section 2.3.2 (and throughout) Faculty Reconciliation

Section 3.2.2 University Distinguished Professors

Section 5.1.4 Clinical Faculty Series

Section 6.1.2 Postdoctoral Associate

Chapter 7: A/P Grievance Process

Chapter 12: Virginia Tech Carilion School of Medicine

Section 1.1.12 Faculty Organizations

This change permits the creation of faculty organizations for the purpose of promoting faculty professional interests, networking ,and professional development. A university policy describing the process and procedures for registering and managing faculty organizations will be developed upon approval of this change.

Will be brought to Board of Visitors for approval at June 3, 2025 meeting.

Section 2.2.5 Non-Discrimination, Harassment Prevention, Sexual Assault

This change clarifies the ethical expectations that faculty do not engage in intimate relationships with those they supervise. It requires disclosure in the event of the emergence of such a relationship, it describes specific actions to implement appropriate mitigating measures to change the supervisory structure, and discusses possible sanctions should a faculty member fail to disclose.

Approved Board of Visitors at March 25, 2025 meeting.

Section 2.3.2 (and throughout) Faculty Reconciliation

This change eliminates the Faculty Senate Committee on Reconciliation and formalizes and codifies the role of a Director of Faculty Reconciliation (DFR) within the Office of Faculty Affairs, describes the role of the DFR, and confirms that they operate independently from the Office of Faculty Affairs. Faculty reconciliation is a complex process that requires professional training and extensive knowledge of the policies and administrative entities at Virginia Tech, and it has been challenging to identify faculty who are qualified to perform this function.

Will be brought to Board of Visitors for approval at June 3, 2025 meeting.

Section 3.2.2 University Distinguished Professors

This change aligns the Faculty Handbook with current practice by clarifying that, while University Distinguished Professors report directly to the President, administrative support for these esteemed faculty members is delegated to the Executive Vice President and Provost and managed by the Vice Provost for Faculty Affairs.

Approved Board of Visitors at March 25, 2025 meeting.

Section 5.1.4 Clinical Faculty Series

This change provides greater clarity regarding the expectations and distinctions between the Clinical Instructor and Clinical Professor tracks. It also brings the ranks within the Clinical Instructor track into alignment with those of the non-clinical instructor track, including the addition of new ranks in Clinical Instructor ranks to allow for promotion opportunities.

Approved Board of Visitors at March 25, 2025 meeting.

Section 6.1.2 Postdoctoral Associate

These changes align the handbook with current practice in the Office of Research and Innovation, clarifying the eligibility for postdoctoral status.

Will be brought to Board of Visitors for approval at June 3, 2025 meeting.

Chapter 7: A/P Grievance Process

This change clarifies the A/P faculty grievance process and updates the language regarding mediation.

Will be brought to Board of Visitors for approval at June 3, 2025 meeting.

Chapter 12: Virginia Tech Carilion School of Medicine

This chapter is being retired to reflect the full integration of the Virginia Tech Carilion School of Medicine (VTC SOM) into the university structure. Provisions unique to VTC SOM faculty have been relocated to the appropriate sections of the handbook, and all other content previously housed in Chapter 12 is reflected elsewhere in the Handbook.

Will be brought to Board of Visitors for approval at June 3, 2025 meeting.

Chapter	Section Number	Old Section No. (if applicable)	Section Name	Additional Details
all				Revisions made to format of policy titles, webpages, and tables to improve clarity and document accessibility; including: webpage and hyperlink references, consistency in policy and form titles, adjustments to table formatting to make them accessible.
all				Adjustments to reflect title changes, changes to policy names, and other unit name updates throughout.
1	1.1.1		University Shared Governance Structure	Updated governance chart to reflect current structure.
1	1.1.12		Faculty Organizations	Added through governance, will be brought to BOV for approval in June (CFA 2024-25K)
2	throughout			Description of faculty categories was expanded, reordered and restructured for clarity. Tables were added to provide quick reference.
2	2.0.1		Virginia Tech Statement on Freedom of Expression and Inquiry	Addition of statement from recommendations of the Task Force on Free Speech and Academic Freedom endorsed by the Board of Visitors on March 20, 2023
2	2.1		The General Faculty and Faculty Categories	Adjusted title to include "and Faculty Categories"; added additional description of general faculty consistent with other sections of the handbook; combined description of general faculty and college faculty for clarity; added in tables for each faculty category for quick reference.
2	2.1.1	2.2	Teaching and Research (T&R) Faculty	Added additional description of faculty category consistent with other sections of handbook; moved some descriptive language from form college faculty section to this section for clarity.
2	2.1.1.1	2.2.1.1	Tenure-Track and Tenured Faculty	Added additional description of faculty category consistent with other sections of handbook.
2	2.1.1.2	2.2.1.2	Instructional Faculty not on the Tenure-Track	Moved descriptive language from Chapter 5 to this section for clarity added table of faculty series/ranks to provide quick reference.
2	2.1.1.3	2.2.2	Research Faculty	Moved descriptive language from Chapter 6 to this section for clarity added additional clarification that some research faculty that may hold positions in academic units; added table of tracks/ranks for quick reference.
2	2.1.3	2.3.3	Administrative and Professional (A/P) Faculty	Moved section up (from 2.3.3); added additional clarification about University Libraries faculty (who is T&R, who is A/P).
2	2.2.1	2.3.1	University Libraries Faculty on the Continued Appointment Track or with Continued Appointment	Moved order of language within section.
2	2.2.2	2.3.2	Virginia Cooperative Extension Faculty (Extension)	Added additional description of faculty category consistent with other sections of handbook; added table of faculty track/racks to provide quick reference.
2	2.3	2.6	Appointment Types	Moved this section, including subsections, up from 2.6
2	removed	2.3.5.3.1	Faculty Buyout Agreements with Virginia Tech Carilion School of Medicine	Removed, no longer relevant post-integration
2	removed	2.3.5.3.2	Faculty Overload Payment Agreements with Virginia Tech Carilion School of Medicine	Removed, overload payments covered elsewhere in Chapter 2 (2.17).
2	2.2.4	2.3.5.3	The Faculty of the Virginia Tech Carilion School of Medicine	Update section number (was 2.3.5.3); removed paragraphs that refer to buyout agreements between VTCOSM and VT faculty, as those are no longer relevant; Moved language from Chapter 2 and 12 that describes the responsibilities of VTCOSM faculty, including those non-employed by VT; Moved up language describing the process for VT faculty to hold affiliated appointments in the VTCOSM.
	2.2.4.1	12.4	VTCOSM Conflicts of Commitment and Interest	Moved from Chapter 12 (VTCOSM) through governance, will be brought to BOV for approval in June (CFA 2024-25J)
	2.2.4.2	12.5	Additional Policy Obligations	Moved from Chapter 12 (VTCOSM) through governance, will be brought to BOV for approval in June (CFA 2024-25J)
2	2.2.4.3	12.2	Tenure-to-Title Faculty Appointments	Moved from Chapter 12 and revised through governance, will be brought to BOV for approval in June (CFA 2024-25J)
2	2.2.5	2.3.4	Emeritus or Emerita Designation	Moved from 2.3.4 to more appropriate section of chapter (Additional Faculty Categories)
2	2.4		Faculty Search Processes	Revised to accommodate changes to process in compliance with federal guidance
2	2.4.1		Searches	Revised to address office name change and to assure compliance with federal guidance
2	2.7		Documentation of U.S. Citizenship or Lawful Authorization to Work in the U.S.	Added reference to I-9 as the form of documentation needed.
2	2.13		Types of Leave and Leave Reporting for all Faculty	Revision from Human Resources: adjusted language for clarity
2	2.16		Geographical Transfer	revised language to accommodate discontinuance of Controller's Office Procedure 20345: Moving and Relocation Expenses
2	2.19		Resignation	Clarifying language suggested by Human Resources to encourage retirees to disclose sooner so departments can plan for their departure.
2	2.24	2.25	Non-Discrimination, Harassment Prevention, Sexual Assault	Revised and updated description of intimate relationships, per resolution approved by BOV on March 25, 2025 (CFA 2024-25D).
2	2.32	2.31.2	Faculty Reconciliation	Revisions made through governance, will be brought to BOV meeting in June for approval (CFA 2024-25H). Related changes to nomenclature made throughout other chapters (incl. 4.7.1, 4.7.2, 5.4.1, 5.4.2, 6.12.1, 6.12.2, 7.8.1)

Chapter	Section Number	Old Section No. (if applicable)	Section Name	Additional Details
2	2.36		Conflicts of Interest	adjusted language for consistency with forthcoming policy changes
3	3.4		Promotion and Tenure	Revised description of appeals process per resolution approved by BOV on March 25, 2025 (CFA 2024-25E).
3	2.6.8	3.2.1	Endowed Chairs, Professorships, and Fellowships	There are endowed faculty appointments for non-tenure track faculty as well, so this section is being moved to Chapter 2 to apply to all faculty.
3	3.2.1	3.2.2	Alumni Distinguished Professor	Updated section number after moving section 3.2.1 (Endowed appointments) to Chapter 2
3	3.2.2	3.2.3	University Distinguished Professor	Updated section number after moving section 3.2.1 (Endowed appointments) to Chapter 2; added language per resolution approved by BOV on March 25, 2025 (CFA 2024-25B).
4	4.9	4.1	Work-Life Resources for Continued Appointment Track and Continued Appointment Faculty	Corrected section number and updated section to reflect restructured Dual Career Program in HR.
5	5		Eligibility to Serve as Principal Investigator	"department heard" to "department head"
5	5.1.1		Visiting Professor	To accommodate VTCSOM faculty appointments, change section name to "Visiting Faculty"; change first sentence to read: "Appointment to visiting faculty positions is for a restricted period to conduct learning, discovery, and engagement responsibilities within an academic department or school." (CFA 2024-25J)
5	5.1.2		Adjunct Professor	To accommodate VTCSOM faculty appointment types, change section name to "Adjunct Faculty" and updated related text (CFA 2024-25J). Will be brought to BOV for approval on June 2, 2025.
5	5.1.4		Clinical Faculty Series	Updates to this section to include a Clinical Instructor Track (5.1.4.1) in addition to the Clinical Professor Track (5.1.4.2), per resolution approved by BOV on March 25, 2025 (CFA 2024-25A).
5	5.1.5		Collegiate Faculty Series	Sentence referencing exclusion of service was unintentionally deleted from 2023-24 handbook.
5	5.1.6		Instructor Ranks	Reinstated sentence referencing exclusion of service was unintentionally deleted from 2023-24 handbook.
6	6.1.2		Postdoctoral Associate	Changes made through governance, will be brought to BOV meeting in June for approval (COR 2024-25A)
	6.4		Searches for Research Faculty	Revised for consistency with changes made to 6.1.2 through governance, will be brought to BOV meeting in June for approval (COR 2024-25A)
7	7.2		Administrative and Professional Faculty Rank and Title	Updated language to reflect description from job architecture project.
7	7.8		Grievance Policy and Procedures for Administrative and Professional Faculty	Revisions to clarify process, will be brought to Board of Visitors on June 3, 2025 for approval (CAPFA 2024-25A).
7	7.1.2		Professional Faculty	Updated language to reflect description from job architecture project.
7	7.8.1		Ombuds, Mediation Services	Updated description of process and resources CAPFA 2024-25A; Sections 3.11.1, 4.7.1, 5.4.1, and 6.12.1 revised for consistency with these changes. Further adjusted for consistency with changes made to Chapter 3 (faculty reconciliation) through CFA. Will be brought to Board of Visitors on June 3, 2025 for approval (CFA 2024-25H).
7	7.8.2		The Formal Grievance Procedure	Update description of process and procedures, will be brought to Board of Visitors on June 3, 2025 for approval (CAPFA 2024-25A).
7	7.8.3		Timeliness of Grievance and Procedural Compliance	Update description of process and procedures, will be brought to Board of Visitors on June 3, 2025 for approval (CAPFA 2024-25A).
7	7.8.4		Valid Issues for Grievance	Update description of process and procedures, will be brought to Board of Visitors on June 3, 2025 for approval (CAPFA 2024-25A).
7	7.8.5		Particular Concerns and Definitions	Update description of process and procedures, will be brought to Board of Visitors on June 3, 2025 for approval (CAPFA 2024-25A).
7	7.8.6		Overview of the Formal Grievance Process for Administrative and Professional Faculty	Update description of process and procedures, will be brought to Board of Visitors on June 3, 2025 for approval (CAPFA 2024-25A).
8	8		Policies for Graduate Assistants, Graduate Research Assistants, and Graduate Teaching Assistants	additional webpage referenced, link updated
9	9.14		Faculty Awards for Teaching, Advising, Research, and Outreach	This section was unintentionally removed from the 2019-20 FHB, and should be included for reference and for consistency with PPM 458.
9	9.5		Grading Systems	Removed language about projected grades as that process is no longer in place.
9	9.8.2.1		Graduate School Honor System	Corrected name "Graduate Honor System", added link to Constitution of Graduate Honor System, and added a reference to faculty resources webpage.
10	10.5.2		Teaching and Research with Animals	Language regarding animal welfare compliance updated to reflect current national and international policy.
10	10.5.3		Laboratory Research	Revised language to reference university policy rather than federal policy to avoid redundancy.
11	11.3		Retirement Plans	Updated to reflect current benefits/resources.
12	12.0		Virginia Tech Carilion School of Medicine (VTCSOM) Faculty	First paragraph no longer necessary. Part of changes brought through governance; will be brought to Board of Visitors on June 3, 2025 for approval (CFA 2024-25J)
12	12	13	Emergency Preparedness	changed chapter number and related sections numbers to reflect removal of former Chapter 12 (VTCSOM); will be brought to Board of Visitors on June 3, 2025 for approval (CFA 2024-25J)
-	removed	Chapter 12	Virginia Tech Carilion School of Medicine	Integrated into Chapters 2 and 5; will be brought to Board of Visitors on June 3, 2025 for approval (CFA 2024-25J)



2025-26 VIRGINIA TECH FACULTY HANDBOOK

DRAFT-for Approval June 3, 2025

Virginia Tech Board of Visitors

Office of the Executive Vice President and Provost

Office of Vice President for Policy and Governance

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.

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CHAPTER ONE: MISSION AND GOVERNANCE OF THE UNIVERSITY

1.0 Mission of the University

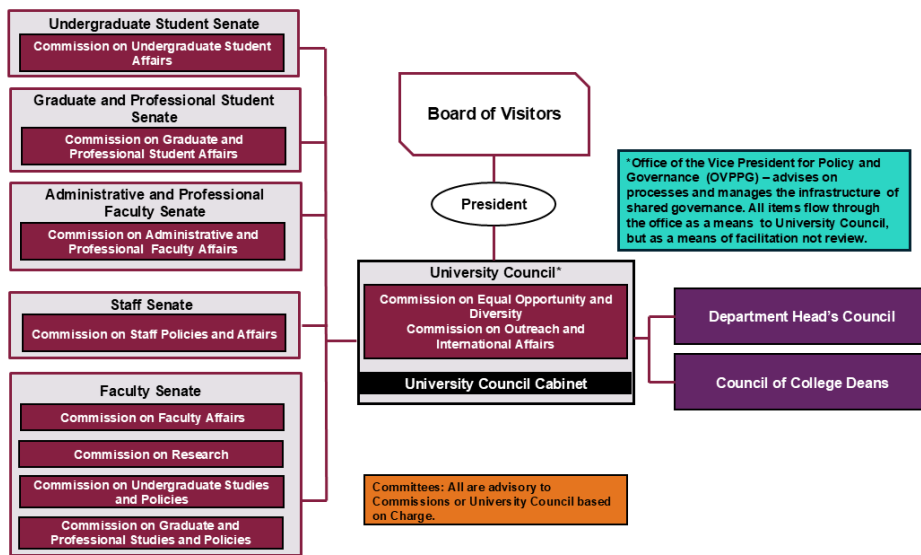
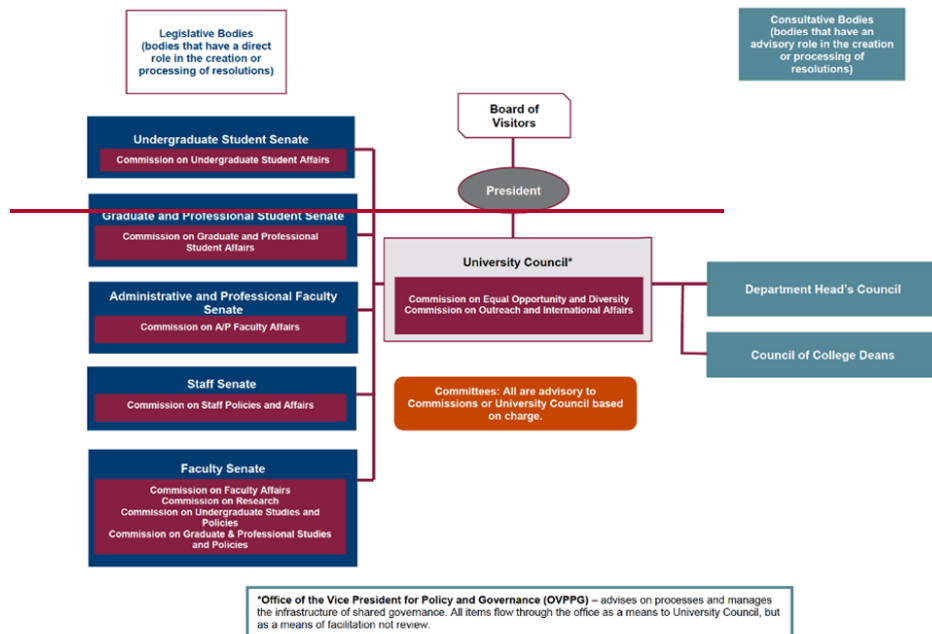
Inspired by our land-grant identity and guided by our motto, *Ut Prosim* (That I May Serve), Virginia Polytechnic Institute and State University (Virginia Tech) is an inclusive community of knowledge, discovery, and creativity dedicated to improving the quality of life and the human condition within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

1.1 Governance of the University

The Board of Visitors is the governing body of the university. The board appoints the president of the university who serves as the chief executive. The president may delegate authority to the executive vice president and provost (provost), executive vice president and chief operating officer ([EVPCOO](#)), and vice presidents.

1.1.1 University Shared Governance Structure

[Consult](#).



1.1.2 Board of Visitors

For more information, consult [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 or 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, schools, 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 Principles of Shared Governance

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. [For more information, consult Shared Governance at Virginia Tech.](#)

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:

- To provide an environment conducive to the pursuit of learning, teaching, scholarship, research, and service.
- 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 each senate 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

- [Administrative and Professional Faculty Senate](#)
- [Faculty Senate](#)
- [Graduate and Professional Student Senate](#)
- [Staff Senate](#)
- [Undergraduate Student Senate](#)

Purpose. The senates are accountable to and responsible for representing the collective voice of their respective constituencies. Each senate provides 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.

1.1.7 University and Senate Commissions

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

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

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

University Commissions (2)

(part of and whose policy recommendations are made directly to the University Council)

- [Commission on Equal Opportunity and Diversity](#)
- [Commission on Outreach and International Affairs](#)
- Senate Commissions (8)

(part of and whose policy recommendations are made to one of the senates)

Administrative and Professional Faculty Senate

- [Commission on Administrative and Faculty Affairs](#)

Faculty Senate

- [Commission on Faculty Affairs](#)
- [Commission on Research](#)
- [Commission on Undergraduate Studies and Policies](#)
- [Commission on Graduate and Professional Studies and Policies](#)

Staff Senate

- [Commission on Staff Policies and Affairs](#)

Undergraduate Student Senate

- [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
- Employee Benefits Faculty Honorifics
- Information Technology Services and Systems Intellectual Property
- Library
- Transportation and Parking
- University Curriculum Committee for General Education

1.1.9 Council of College Deans

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

1.1.10 Department Heads Council

Inclusive of school directors, 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 (VTCOM) faculty are formally organized in a faculty assembly the composition of which is determined by the school's bylaws.

1.1.12 Faculty Organizations

Faculty organizations may be established by faculty for the purposes of building communities of practice and networking for professional development. These organizations may be comprised of faculty around certain disciplinary interests.

experiences, or towards specific goals. These faculty organizations have constitutions that designate their purposes, membership, officers, election procedures, standing committees and their duties, and other organizational and procedural matters. These faculty organizations do not have a formal role in university governance but are recognized by and supported in their activities, as appropriate, by the office of the Vice Provost for Faculty Affairs.

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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 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

[For more information, consult \[Policies at Virginia Tech\]\(#\)](#). In addition to [the](#) 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-PPMs~~ 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 University 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 Council includes all vice presidents, deans, institute directors and senior leaders reporting to the president. The Council is focused on continuous strategic planning and priorities that support the university's strategic plan, The Virginia Tech Difference, Advancing Beyond Boundaries.

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

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

1.3.2 Executive Vice President and Provost (**Provost**)

The **provost** is an executive level administrator responsible for creating, guiding, and achieving institutional priorities and strategies. The provost provides executive and strategic leadership to academic areas and has multiple vice presidents and /or senior vice presidents within their organizational structure. The provost is a strategic leader within the university and has broad operational, administrative, and financial authority. The 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 (EVPCOO)

The 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 Presidents

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 Presidents

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 provost and are responsible for the academic activities of their 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.

1.4.1.1 College Deans

Deans of the nine colleges are appointed by the provost, approved by the university president and Board of Visitors, and may be reappointed indefinitely.

- [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 College of Veterinary Medicine](#)
- [Virginia Tech Carilion School of Medicine](#)

Virginia Tech is accredited by the [Southern Association of Colleges and Schools Commission on Colleges \(SACSCOC\)](#). For purposes of accreditation, the college 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”](#).

1.4.1.2 Academic Deans

Academic deans are appointed by the provost, approved by the university president and Board of Visitors, and may be reappointed indefinitely.

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 under the supervision of department heads, chairs, and school directors who report to a college dean. 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 of 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 and appointments are under the purview of the Board of Visitors.

2.0.1 Virginia Tech Statement on Freedom of Expression and Inquiry

Virginia Tech unequivocally commits to upholding freedom of speech and academic freedom.

Virginia Tech affirms the rights guaranteed by the First Amendment of the U.S. Constitution, including the right to freedom of speech. The First Amendment requires the university to protect the expression of ideas and opinions, including those that people may find controversial, disagreeable, or offensive. Freedom of speech, like all rights in the Constitution, is not absolute. While most speech is protected by the First Amendment, it does not protect speech or actions that violate the law, such as incitement, defamation, threats, privacy violation, or intellectual property infringement, nor does it protect against unlawful harassment or discrimination. In addition, the First Amendment allows the university to regulate the time, place, and manner of expression. At Virginia Tech, freedom of speech should be exercised in a manner that ensures a learning environment that supports and promotes civil debate and mutual respect across differences.

Academic freedom, free expression, and open inquiry are core principles of higher education. Academic freedom enables scholars to conduct research, teach, speak, and publish within an area of expertise without interference or penalty. Academic freedom is essential to create and disseminate knowledge with the mission of improving the quality of life and the human condition within the Commonwealth of Virginia and throughout the world. Virginia Tech must ensure that all members of the university community can ask questions, listen to others, and learn through exposure to a range of ideas from a diverse community of scholars. Virginia Tech is committed to defending academic freedom and freedom of speech while providing a diverse and inclusive learning and work environment.

2.0.1.2 Annual Evaluation and Salary Adjustments

The Board of Visitors delegates the authority to the president or the president's designee for selected faculty appointments and compensation actions as outlined in the Amended Delegation of Authority for Selected Personnel Actions dated June 11, 2024.

The Board of Visitors annually approves a faculty compensation plan, including the authorization of an annual merit process guided by the university's Faculty Handbook and processes provided by the commonwealth. 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

Commented [RG2]: Addition of statement from recommendations of the Task Force on Free Speech and Academic Freedom endorsed by the Board of Visitors on March 20, 2023

professional (A/P) faculty, and research faculty; salary adjustments within the evaluation period, and the pay structure.

Annual Faculty Activity Report (FAR). 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, school, college, or administrative unit, as appropriate. Submission of a ~~faculty activity report (FAR)~~ may be required for consideration for a merit adjustment.

Virginia Tech uses an electronic faculty activity data system to collect and manage information about research and scholarship, creative works, teaching, Extension, outreach, and service activities. This system automates the production of annual faculty activity reports, promotion and tenure dossiers, and CVs, as well as department, school, college, and university level reports. The system also enables deposit and claiming of scholarly works in the [VTechWorks](#) institutional repository and will feed public web profiles using [VT Experts](#). Training for faculty is available through Virginia Tech's [Professional Development Network](#) and for departments on request. Faculty members should consult with their department head, chair, school director, or supervisor on the use of electronic faculty activity reporting.

2.1 The General Faculty ~~and Faculty Categories~~

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

Appointments to the faculty may be regular or restricted as described in section 2.36 "Appointment Types". 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.

The General Faculty is comprised of Teaching & Research (T&R) faculty, and Administrative and Professional (A/P) faculty, with ~~the General Faculty is also comprised of additional categories including, including~~ University Libraries Faculty with Continued Appointment or on the Continued Appointment Track, Faculty of Health Sciences, Virginia Tech Carilion School of Medicine Faculty with Tenure-to-Title, and Emeritus Faculty.

Teaching and Research Faculty

- Tenure-Track and Tenured Faculty (Chapter 3)
- Instructional Faculty not on the Tenure-Track (Chapter 5)
- Research Faculty (Chapter 6)

Administrative and Professional Faculty

- Administrative Faculty (Chapter 7)
- retiretireProfessional Faculty (Chapter 7)

Additional Categories

- University Libraries Faculty with Continued Appointment or on the Continued Appointment Track (Chapter 4)
- Faculty of Health Sciences (Chapter 3,5,7)
- Virginia Cooperative Extension Faculty (Extension) (Chapters 3, 5)
- Faculty of the Virginia Tech Carilion School of Medicine (VTCSOM) Virginia Tech Carilion School of Medicine Faculty with Tenure to Title (Chapter 3,5,7)
- Emeritus Faculty (Chapter 2)

~~Appointments to the faculty may be regular or restricted. Restricted appointments have start and end dates and should be designated as restricted 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.~~ **2.2 1.1 Teaching and Research (T&R) Faculty (T&R)– College Faculty and Research Faculty**

T&R faculty ~~are teaching~~ are teaching ~~faculty members with substantial responsibilities for undergraduate and graduate instruction, research/creative activities, and service/engagement. include the college faculty and research faculty. Tenure-track, tenured, research, and instructional faculty not on the tenure-track. Tenure-track, tenured, instructional faculty not on the tenure-track, tenure-track or tenured Extension faculty, and research faculty, and University Libraries faculty with continued appointment or on the continued appointment-track are collectively referred to as Teaching and Research (T&R) faculty, although the duties of research and Extension faculty may have a small or no instructional component, and non-tenure-track instructional faculty may have a small or no research component.~~

T&R 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.

~~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.~~

2.21.1.1 Tenure-Track and Tenured Faculty

Ranks: assistant professor, associate professor, professor

~~Tenured and tenure-track faculty are T&R faculty with substantial responsibilities for teaching, scholarship, and service and who hold tenured appointments or who are on the tenure-track, including Extension faculty with tenure or on the tenure-track. College faculty include teaching and research faculty (T&R) who are tenured or on the tenure-track.~~ These faculty appointments typically require a terminal degree and are appointed to regular positions. See chapter three of this handbook.

2.21.1.2 Instructional Faculty not on the Tenure-Track

~~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, school, 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. College faculty may also be instructional faculty not on the tenure track appointed to regular or restricted positions. These faculty are teaching and research faculty (T&R).~~ See chapter five of this handbook.

Commented [RG3]: Moved from Chapter 5.0

Series	Ranks	
Visiting Faculty		
Adjunct Faculty		
Professor of Practice	<ul style="list-style-type: none">Assistant Professor of PracticeAssociate Professor of PracticeProfessor of Practice	
Clinical Faculty	<ul style="list-style-type: none">Clinical InstructorAdvanced Clinical InstructorSenior Clinical Instructor	<ul style="list-style-type: none">Clinical Assistant ProfessorClinical Associate ProfessorClinical Professor

<u>Collegiate Faculty</u>	<ul style="list-style-type: none"> ▪ <u>Collegiate Assistant Professor</u> ▪ <u>Collegiate Associate Professor</u> ▪ <u>Collegiate Professor</u>
<u>Instructor</u>	<ul style="list-style-type: none"> ▪ <u>Instructor</u> ▪ <u>Advanced Instructor</u> ▪ <u>Senior Instructor</u>

2.21.2-1.3 Research Faculty

Research faculty are designated to promote and expedite university research activities. Research faculty are typically employed on sponsored grants and contracts and are on a restricted appointment to carry out research or outreach projects. The duties of research faculty may have a small or no instructional component. Some research faculty may hold full- or part-time positions in academic departments, schools, or colleges.

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.

See chapter six of this handbook.

<u>Track</u>	<u>Ranks</u>
<u>Postdoctoral Associate</u>	
<u>Research Associate</u>	<ul style="list-style-type: none"> ▪ <u>Research Associate</u> ▪ <u>Senior Research Associate</u>
<u>Research Scientist</u>	<ul style="list-style-type: none"> ▪ <u>Research Scientist</u> ▪ <u>Senior Research Scientist</u>
<u>Research Professor</u>	<ul style="list-style-type: none"> ▪ <u>Research Assistant Professor</u> ▪ <u>Research Associate Professor</u> ▪ <u>Research Professor</u>

Commented [RG4]: Moved from Chapter 6.0

Commented [RG5]: Added for clarity and consistency with other faculty categories.

2.31.3 Administrative and Professional (A/P) Faculty

There are two categories of A/P faculty: administrative, and professional faculty. 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 or school for an administrative or professional faculty member are in chapter seven.

University Libraries faculty not on the continued-appointment track are considered A/P faculty. The rank held by a University Libraries faculty member does not imply a particular

rank in any college department or school. University Libraries faculty may hold concurrent adjunct status in a college department or school to formally recognize their contributions to the undergraduate or graduate program.

Employment policies for administrative and professional (A/P) faculty, including those regarding the assignment of a faculty rank in a college department or school for an A/P faculty member, are described in chapter seven of this handbook.

2.31.3.1 Administrative Faculty

Administrative faculty members are referred to as executive or senior administrators to accurately reflect the nature of these appointments. ~~(See chapter one Central Administration and chapter seven Administrative Faculty of this handbook).~~

~~Administrative~~ These faculty may have a rank other than lecturer, may hold an academic rank in a college department or school, and may be tenured. A/P faculty members with academic rank are considered ~~General, College, or T&R~~ faculty. See chapter one and chapter seven of this handbook.

Commented [RG6]: Moved from Section 2.3.3.1

2.31.3.2 Professional Faculty

Rank: lecturer

Professional faculty are administrators with responsibilities in a variety of roles and appointments. The professional A/P faculty include positions with significant managerial, supervisory, and budgetary oversight within a unit, and positions that provide direct services. Professional faculty 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.

Commented [RG7]: Moved from section 2.3.3.2

2.3–2 Additional Faculty Categories — ~~University Libraries Faculty, Virginia Cooperative Extension Faculty, Administrative and Professional (A/P) Faculty~~

2.32.1 University Libraries Faculty on the Continued Appointment Track or with Continued Appointment

Ranks: assistant professor, associate professor, professor

University Libraries faculty with continued appointment or on the continued appointment-track ~~They perform a unique and indispensable function in the educational process and share many of the professional concerns of their college colleagues.~~ are in chapter four of this handbook.

University Libraries faculty may or may not hold an appointment in a college. ~~The rank held by a University Libraries faculty member does not imply a particular rank in any college department or school. University Libraries faculty may hold concurrent adjunct status in a college department or school to formally recognize their contributions to the~~

~~undergraduate or graduate program. 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 or school. University Libraries faculty may hold concurrent adjunct status in a college department or school to formally recognize their contributions to the undergraduate or graduate program.~~ [See chapter four of this handbook.](#)

2.32.2 Virginia Cooperative Extension Faculty (Extension)

Rank: lecturer

Extension faculty [may or may not be tenured or on the tenure-track](#). Those faculty who [are tenured or on the tenure-track](#) are considered T&R faculty and are described in the [prior section](#). Those faculty not on the tenure-track are [considered](#) administrative and professional (A/P) faculty. [Extension faculty disseminate knowledge through 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, and covered by policies in chapter seven.](#)

The rank held by a faculty member in Extension does not imply a particular rank in any college department or school. Extension faculty may hold concurrent adjunct status in a college department or school to formally recognize their contributions to the undergraduate or graduate program. [For A/P Extension faculty see chapter seven of this handbook.](#)

<u>Track</u>	<u>Ranks</u>
<u>Extension Agent</u>	<ul style="list-style-type: none">▪ associate extension agent▪ extension agent▪ senior extension agent
<u>Extension Specialist</u>	<ul style="list-style-type: none">▪ associate extension specialist▪ extension specialist▪ senior extension specialist
<u>4-H Center Program Director</u>	<ul style="list-style-type: none">▪ associate program director▪ program director▪ senior program director

~~2.3.3 Administrative and Professional (A/P) Faculty~~

~~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 or school for an administrative or professional faculty member are in chapter seven.~~

2.3.3.1 Administrative Faculty

~~Administrative faculty members are referred to as executive or senior administrators to accurately reflect the nature of these appointments (See chapter one Central Administration and chapter seven Administrative Faculty of this handbook).~~

~~Administrative faculty may have a rank other than lecturer, may hold an academic rank in a college department or school, and may be tenured. A/P faculty members with academic rank are considered General, College, or T&R faculty.~~

2.3.3.2 Professional Faculty

Rank: lecturer

~~Professional faculty are administrators with responsibilities in a variety of roles and appointments. The professional A/P faculty include positions with significant managerial, supervisory, and budgetary oversight within a unit, and positions that provide direct services. Professional faculty 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.~~

2.3.4 Emeritus or Emerita Designation

~~Consult on the provost's website. The title of emeritus or emerita is conferred on retired members of the Virginia Tech faculty (as defined in chapter two of this handbook) who have made exemplary contributions to the university and are recommended to the Board of Visitors for approval by the provost and president.~~

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

2.32.5-3 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.

2.32.53.1 Leadership of the Faculty of Health Sciences

The ~~executive vice president and provost~~ (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.

2.32.53.2 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.

2.32.5.34 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~~ Virginia Tech 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 or school 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 or school.

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

VTCSOM faculty members employed by the university receive appointments in one of the ranks described in the faculty handbook. VTCSOM faculty members employed by the university and whose appointment is in a college other than the VTCSOM 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 or school 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.

VTCSOM faculty members employed by other entities 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. Faculty (e.g. physician, other clinicians) employed by other entities are not eligible for tenure as described in chapter three.

Commented [RG8]: Revisions through governance, will be brought to BOV for approval in June (CFA 2024-25J)

Commented [RG9]: Revisions through governance, will be brought to BOV for approval in June (CFA 2024-25J)

12.22.2.4.1 VTCSOM 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 (AACCME).

12.52.2.4.2 Additional Policy Obligations

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. ~~Individuals with appointment to the VTCSOM faculty are subject to all relevant and appropriate sections of this handbook and university policies, including chapter two "Professional Responsibilities and Conduct" and chapter three "Imposition of a Severe Sanction or Dismissal for Cause".~~

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12.22.2.4.3 Tenure-to-Title Track Faculty Appointments

General conditions and definitions. Exclusive to the VTCSOM, tenure-to-title is the conferring of a permanent, non-employment, appointment to the 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 to the school (college).

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 only be rescinded for imposition of a severe sanction or dismissal for cause.

Nomination and selection. 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.~~

The tenure-to-title dossier is reviewed by an appropriately charged departmental committee and the department head, and by an appropriately charged VTCSOM-level committee. After review by the appropriate departmental and college committee, the dean makes recommendations to the provost for approval by the Board of Visitors.

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2.32.45 Emeritus or Emerita Designation Faculty

For additional information, ~~c~~Consult on the provost's website **[Emeritus or Emerita Status](#)**. The title of emeritus or emerita is conferred on retired members of the Virginia Tech faculty

(as defined in chapter two of this handbook) who have made exemplary contributions to the university and are recommended to the Board of Visitors for approval by the provost and president.

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

2.63 Appointment Types

2.63.1 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. See chapter six of this handbook for circumstances in which a research faculty member may be on a regular appointment.

2.63.2 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 are designated with 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 of Research and Innovation.

Faculty members on restricted appointments earn sick leave at the rate of five hours per pay period. 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.

2.63.3 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. Payroll information is available on the Controller's website.

Field Code Changed

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.

2.63.4 Research-Extended Appointments for Faculty on Academic Year (AY) 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.

For additional information, ~~Consult the Research-Extended Appointments. Request forms are available at Faculty Forms.~~ page A is 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 provost, or the executive vice president and chief operating officer (or designee).

Field Code Changed

Research-extended appointments are renewed annually with verification of sponsored funding by the department head, chair, school director, or supervisor to support the continuation. A form to continue a research-extended appointment is on the provost's website.

Field Code Changed

2.63.5 Calendar Year Appointments (CY)

Some faculty members are on a calendar year (CY) appointment with work assignments covering 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 provost or executive vice president and chief operating officer. Any exception requires approval by the provost or the executive vice president and chief operating officer.

2.63.6 Summer and Winter Session Appointments

The total of additional compensation earned through all university sources by any faculty member shall not exceed 33 $\frac{1}{3}$ % ~~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 AY appointments may receive additional compensation for engaging in approved sponsored research, Extension activities, summer, and winter session teaching and, as allowable, non-credit, or eligible for-credit instruction conducted by Continuing and Professional Education or teaching an eligible for-credit continuing education course on overload. The total additional compensation earned through all university programs by any faculty member on an academic year appointment shall not exceed 33 $\frac{1}{3}$ percent 33 $\frac{1}{3}$ % of the annual salary for the preceding academic year. For additional information, ~~consult the~~ Continuing and Professional Education site and Policy 6362, "Policy on Continuing and Professional Education".

Field Code Changed

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.

2.63.6.1 Summer Session Appointments

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

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

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

Only AY faculty members who have approved research—extended appointments earn and accrue annual leave proportional to their appointments.

Field Code Changed

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.

2.63.6.2 Winter Session Appointments

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

The faculty member receives overload payment for teaching a Winter Session for-credit course. Compensation for teaching in the session is negotiated by the faculty member and the department head, chair, or school director. Maximum compensation is set at 3.75 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 33 $\frac{1}{3}$ percent % of annual salary from the preceding academic year.

2.63.6.3 Winter and Summer Session Appointments for A/P Faculty

Administrative and professional (A/P) faculty with approved teaching qualifications 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.

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2.3.5.3.1 Faculty Buyout Agreements with Virginia Tech Carilion School of Medicine

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

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

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

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

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

Commented [RG13]: Removed through governance, will be brought to BOV for approval in June (CFA 2024-25J)

2.4 Faculty Search Processes

For more information on faculty recruitment and search processes ~~are available on the~~consult Faculty Recruiting Guidelines. 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 breadth 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 in the University Libraries review and recommendation by the applicable departmental or school 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 or school 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 Civil Rights Compliance and Prevention Education Office for Equity and Accessibility](#).

Virginia Tech is committed to ensuring that all qualified individuals with disabilities can take part in educational and employment programs and services on an equal basis. The aim is to provide this opportunity in an integrated setting that fosters independence and meets the guidelines of the Americans with Disabilities Act (ADA) and the Rehabilitation Act of 1973. Reasonable accommodations are made on an individual ~~and flexible~~ basis.

Virginia Tech ~~does not discriminate against employees, students, or applicants is committed to increasing the number of women and underrepresented faculty and administrators. This commitment is~~ stated and elaborated in the [affirmative action program](#) ~~university's nondiscrimination statement~~, Executive Order ~~11246~~ [14173](#), 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 in a fair and unbiased manner](#).

2.4.2 Terms of Faculty Offer (TOFO)

[For more information, Consult Human Resources Recruiting and Onboarding web](#) ~~consult Human Resources Recruiting and Onboarding~~. New appointments and reappointments are documented in the terms of faculty offer (often referred to as a "TOFO") prepared by the department head, chair, school director, or supervisor and approved according to procedures established by the dean or senior manager, signed by the candidate, and forwarded to Human Resources within the university's recruitment and onboarding system. Templates for the different types of terms of faculty offer are accessed by authorized users of the university's recruitment and onboarding system.

The TOFO documents the category to which the faculty member is appointed, the faculty rank, appointment status (effective date, regular or restricted and, if restricted, an end date), the appointment period academic year (AY) or calendar year (CY), 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. The TOFO documents [the](#) 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 or school 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 of this handbook (Research Faculty) for new appointments and reappointments for research faculty including postdoctoral associates. Research faculty are typically employed on sponsored grants and contracts on a restricted appointment to carry out research or outreach projects. Appointments to postdoctoral associate positions require approval from the Office of Research and Innovation.

2.5 Search and Appointment of Executive and Senior Administrative and Academic Leaders

2.5.1 Search and Appointment of the University 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 Provost, ~~Executive Vice President and Chief Operating Officer~~EVPCOO, 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 College and 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, appropriate 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 making 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 or school 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 or school without national advertisement. Such a decision should be reached only for a department or school 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 or school.

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 of 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. See chapter six of this handbook for circumstances in which a research faculty member may be on a regular appointment.~~

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 are designated with 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 of Research and Innovation.~~

~~Faculty members on restricted appointments earn sick leave at the rate of five hours per pay period. 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. Payroll information is available on the Controller's website.~~

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~~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 (AY) 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.~~

~~Consult the [Research Extended Appointments](#) page. A form to request research extended appointment is 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 provost, or the executive vice president and chief operating officer (or designee).~~

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~~Research extended appointments are renewed annually with verification of sponsored funding by the department head, chair, school director, or supervisor to support the continuation. A form to continue a research extended appointment is on the provost's website.~~

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~~2.6.5 Calendar Year Appointments (CY)~~

~~Some faculty members are on a calendar year (CY) appointment with work assignments covering 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 provost or executive vice president and chief operating officer. Any exception requires approval by the provost or the executive vice president and chief operating officer.~~

~~2.6.6 Summer and Winter Session Appointments~~

~~The total of additional compensation earned through all university courses by any faculty member shall not exceed 33 1/3% 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 AY appointments may receive additional compensation for engaging in approved sponsored research, Extension activities, summer and winter session teaching and, as allowable, non-credit, or eligible for credit instruction conducted by Continuing and Professional Education or teaching an eligible for credit continuing education course on overload. The total additional compensation earned through all university programs by any faculty member on an academic year appointment shall not exceed 33 1/3% of the annual salary for the preceding academic year. Consult the Continuing and Professional Education site and policy 6362 Continuing and Professional Education~~

~~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.~~

~~2.6.6.1 Summer Session Appointments~~

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

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

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~~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 AY faculty members who have approved research extended appointments earn and accrue annual leave proportional to their appointments.~~

Field Code Changed

~~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.~~

2.6.6.2 Winter Session Appointments

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

~~The faculty member receives overload payment for teaching a Winter Session for credit course. Compensation for teaching in the session is negotiated by the faculty member and the department head, chair, or school director. Maximum compensation is set at 3.75% of the faculty member's annual salary for each one-credit semester course taught. An additional incentive grant may be negotiated up to a maximum of one month's salary. Additional compensation, including overload and any incentive grant is considered in the total allowable aggregate compensation of no more than 33%% of annual salary from the preceding academic year.~~

2.6.6.3 Winter and Summer Session Appointments for A/P Faculty

~~Administrative and professional (A/P) faculty with approved teaching qualifications 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.~~

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2.76 Documentation of U.S. Citizenship or Lawful Authorization to Work in the U.S.

In accordance with federal law, on or before the first day of their employment, new employees must provide documentation confirming identity and lawful authorization to work in the United States [by completing the Form I-9, Employment Eligibility Verification](#).

2.87 Conviction and Driving Record Check for Employment

The university conducts a conviction and/or driving record check once a contingent offer is made to and accepted by the selected candidate, according to the provisions in [Policy 4060, "Conviction and Driving Record Investigation for Employment."](#) Human Resources coordinates the conviction and driving record check process.

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

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

2.109 Qualifications for Teaching

~~For more information, consult~~ [Faculty Qualifications for Teaching](#). Virginia Tech uses the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC) teaching credential guidelines to qualify instructors of record.

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.

Department or School Responsibility. The department or school 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 or school may be different than the employing department or school in some cases. Departments or schools are responsible for maintaining up-to-date documentation of teaching credentials for instructors of record. Changes in teaching credentials may occur after initial qualification (usually at employment as a faculty member).

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

2.110 Dual Career Program

~~Consult.~~ 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. [For more information, consult the Dual Career Program.](#) ~~Guidelines that describe procedures for Virginia Tech's hiring of dual career partners are available on the Human Resources and provost's websites.~~

2.121 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.

2.132 Types of Leave and Leave Reporting for all Faculty

~~Consult For leave information, consult Faculty Leave.~~ Several types of approved leave, with or without compensation, are available to faculty members. ~~Unapproved~~ Any absence from assigned duties, which is not covered by an approved or earned leave, ~~may be~~ subject to a subsequent adjustment in pay.

2.143 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 provost or executive vice president and chief operating officer, depending upon the reporting structure, on recommendation of the department head, 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. For more information, contact Faculty Affairs on Special Leave and Research Leaves is available on the provost's website.

2.154 Change of Duty Station

~~Consult provost's Faculty Affairs webpage for a Request for 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 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 provost or the executive vice president and chief operating officer determines whether a change of duty station involving institutional salary support is appropriate. For a request form, visit Faculty Forms. -on the provost's website.

2.165 Geographical Transfer

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 fulfil 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-reasonable~~ expenses ~~as defined in the university Controller's Office Procedure 20345: Moving and Relocation Expenses~~. [Contact Faculty Affairs for additional information](#). 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.

2.176 Continuing and Professional Education Activities

2.176.1 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.

2.176.2 Overload Payment and Compensation for *Non-Credit* Continuing and Professional Education Activities

~~Contact~~ [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 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 or school 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 ~~33 1/3%~~33 1/3 percent of their annual salary during the July 1 - June 30 appointment year. Faculty members on academic year appointments may earn no more than ~~33 1/3%~~33 1/3 percent of their annual salary during the academic year. Payments made to academic year faculty members in the summer period will be included in the ~~33 1/3%~~33 1/3 percent limitation of the previous academic year's salary that is currently imposed on summer payment from all university sources combined.

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

2.176.3 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 or school. To assure equity and appropriateness, the department head, chair, school director, or supervisor, and dean monitor the responsibilities and assignments of faculty earning additional compensation.

Faculty members on calendar year (CY) appointments may earn up to an additional ~~33%~~**33½ 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 ~~33%~~**33½ percent** of their academic year salaries during the academic year through these approved activities. Earnings during the summer from all university

sources, including those cited above, summer or winter session teaching, and sponsored research are capped at ~~33%~~33½ percent of the prior academic year salary.

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

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

2.187 Retirement

There is no mandatory retirement age for university faculty and staff. For more information, consult Human Resources Benefits, ~~See Retirement~~ and Retirees.

2.198 Resignation

Faculty members who wish to resign (including through retirement) 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.

Commented [RG14]: Clarifying language suggested by Human Resources to encourage retirees to disclose sooner so departments can plan for their departure.

2.2019 Non-Reappointment of Faculty Members on Temporary or Restricted Appointment

For faculty members on temporary or restricted appointments 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.

2.24-20 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.

2.2420.1 Notice of Non-Reappointment for Faculty on Probationary, Tenure-Track or University Libraries Continued Appointment Track

Years	Notice
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).

2.2420.2 Notice of Non-Reappointment for Faculty on Regular, Non-Tenure-Track, Instructional Appointments

Years	Notice
Less than two years	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.
Up to five years	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.
Five years or more	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).

2.20240.3 Non-Reappointment for Research Faculty on Regular Appointment

Years	Notice
Less than two years	At least three months for those in regular appointments for less than two years.
Two years or more	At least six months for those in regular appointments for two years or more.
Prior to March 2001	For those research faculty appointed to regular positions before March 2001, the notice of reappointment is 12 months.

2.20240.4 Notice of Non-Reappointment for Administrative and Professional Faculty on Regular Appointment

Years	Notice
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Prior to one year	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).
More than one, but less than two years	At least six months for administrative and professional faculty members employed by the university for more than one year, but less than two years.
Two years or more	At least 12 months for administrative and professional faculty members employed by the university two years or more.

2.22-21 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.

2.23-22 Reduction in Force (RIF)

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

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

A reduction in force is the termination or interruption of employment of a member of the general faculty under conditions of financial exigency or program reduction. Reduction in personnel by attrition, freezes on new hiring, across-the-board reductions of salaries and/or teaching schedules, and the offering of incentives for early retirement, whether at

the program level or institution-wide, are not considered reductions in force. Rather, they are lesser remedies that may be implemented before any reduction in force.

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

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

2.2322.1 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 or school changes) to that which was terminated, each faculty member affected by a reduction in force forfeits all protections afforded by this paragraph.

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

2.2322.2 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 or schools in a way that leads to involuntary terminations or other alterations of appointments of faculty members with tenure or continued appointment. In such circumstances, the policy in this section applies.

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

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

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

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

The provost initiates discussion of a proposed program restructuring or discontinuance with the steering committee, describing the need for the change, the proposed type and

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

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

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

Under specific circumstances approved in advance by the provost and president, the Alternative Severance Option may be available to deans for meeting reduction targets.

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

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

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

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

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

Notice of termination. Faculty members with tenure or continued appointment whose positions are eliminated as part of restructuring are given notice of not less than three years. Administrative and professional faculty members on regular appointments shall be given at least 90 days’ notice. All other faculty members shall complete their current contracts or be given a one-year notice whichever is less. Notice of termination longer than the minimum specified above may be given to selected faculty members whose expertise is essential to closing out an academic program in which students are enrolled.

Written notification. After final approval has been given for specific plans, written notification is provided to all faculty members whose appointments will be terminated or altered. The notification shall include a statement of the basis for its action, a description of the way the decision was reached, a disclosure of the information and data on which the decision was based, and information regarding procedures available for appealing the decision.

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

transition assistance such as clerical support, communications, office space, and outplacement services.

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

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

2.24-23 Severance

2.2423.1 Transitional Severance Benefits

See [Policy 4245, "Severance Benefits Policy for University Employees"](#). Transitional severance benefits shall be provided to eligible salaried university staff and salaried teaching and research and administrative/professional faculty employees on regular appointments, without regard to hire date, who are involuntarily separated due to budget reductions, agency reorganizations, or workforce downsizings, for reasons unrelated to performance or conduct.

2.2423.2 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, schools, or units where personnel reductions will occur. An approved business plan for each participating college or vice-presidential area will describe the specific units and eligibility criteria for participation in the ASO or layoff substitution process. These plans will necessarily differ. Some colleges and senior management areas do not offer the ASO as a means to reach their budget reduction targets. The identification of employees who receive this offer will be based on business need, and, therefore, it is possible not all

employees who are eligible will be selected to participate. For example, more employees may apply than are needed to address the reductions and positions critical to business operations would be excluded. Eligible employees in units with approved business plans are notified if the option is available to them.

2.25-24 Non-Discrimination, Harassment Prevention, Sexual Assault

~~Contact the~~For more information contact the Office for Civil Rights Compliance and Prevention Education-Office for 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-Intimate Relationships.~~ It should be understood by all members of the university community that ~~consensual~~ amorous or sexual relationships (hereinafter referred to as ~~consensual-intimate~~ relationships) that occur in the context of educational or employment supervision and evaluation present serious ethical concerns and potential for bias or the perception thereof. All faculty have an obligation to eliminate any actual or perceived conflict of interest to maintain integrity and credibility for themselves and the university. Intimate relationships between supervisors and employees they directly supervise may violate university policy. ~~Consensual-Intimate~~ relationships between faculty and students enrolled in their classes or students for whom they have professional responsibility as advisor or supervisor contravene the Statement of Principles of Ethical Behavior. ~~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, mentoring, or academic advising duties and supervisors involved in consensual-intimate relationships must remove themselves from any activity or evaluation that may reward or penalize the affected student or employee. To do so, faculty members are expected to disclose such a relationship to their department head, chair, or school director or other direct supervisor and work with them to identify and implement appropriate mitigating measures to change the supervisory structure. Failure to do so may lead to ethical investigations if reported to the Faculty Senate Committee on Ethics, and possible sanctions in accordance with the provisions of the Faculty Handbook governing that faculty member's employment category.

~~Consensual-Intimate~~ relationships between faculty and students are particularly susceptible to exploitation. An objective supervisory evaluation cannot exist if such a relationship exists. Moreover, the respect and trust accorded to a professor by a student, as well as the power exercised by the professor in giving praise or blame, assigning grades, and providing recommendations for further study and future employment, may undermine the voluntary nature of consent by the student-suspect, given the fundamentally asymmetric nature of the relationship.

Faculty and supervisors should be aware that engaging in consensual-intimate 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 to the Faculty Senate Committee on Ethics alleging discrimination and/or harassment, as defined above, may be filed by either party to the consensual-intimate relationship or by an aggrieved a third party outside the relationship.

For any report involving alleged nonconsensual sexual activity between a faculty member and a student, this section—including any process offered through the Faculty Senate Committee on Ethics—is superseded by university policies 1025 and 1026 and the procedures referenced therein. Policy 1025 and Policy 1026 both prohibit sexual harassment—including quid pro quo harassment (i.e., a university employee conditioning educational benefit or service upon a person's participation in sexual conduct) and various forms of sexual violence. Any faculty member who becomes aware of an allegation of nonconsensual sexual activity between a faculty member and a student must report that allegation to the university's Office for Equity and Accessibility as required by university policy.

Commented [RG15]: Revised and updated description of intimate relationships, per resolution approved by BOV on March 25, 2025 (CFA 2024-25D).

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 Civil Rights Compliance and Prevention Education](#) ~~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 Civil Rights Compliance Prevention Education](#) ~~Office 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.

2.26-25 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.

2.27-26 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."](#) This policy prescribes a larger and institution-wide commitment to a safe and secure campus, establishes offices specifically charged with security and safety responsibilities, designates the Incident Leadership Team to provide general oversight and leadership for the university's security, safety, and violence prevention efforts, designates the University Safety and Security Committee as an advisory group on safety and security practices and concerns, and lists responsibilities for department head, chair, or school director, and individuals in supervisory roles.

2.28-27 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. Consult [Virginia Tech Emergency Management](#) and see chapter thirteen of this handbook for information on Emergency Preparedness.

2.29-28 Virginia Tech Principles of Community

The Virginia Tech Principles of Community state: Virginia Tech is a public land-grant university, committed to teaching and learning, research, and outreach to the Commonwealth of Virginia, the nation, and the world community. Learning from the experiences that shape Virginia Tech as an institution, we acknowledge those aspects of

our legacy that reflected bias and exclusion. Therefore, we adopt and practice the following principles as fundamental to our ongoing efforts to increase access and inclusion and to create a community that nurtures learning and growth for all its members:

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

2.30-29 Professional Responsibilities and Conduct

~~For additional information, consult~~ Virginia Tech statement of [Business Conduct Standards](#). All employees are expected to ensure that business activities are conducted properly and in compliance with federal and state laws. Procedures ~~are~~ can be found on ~~websites—webpages~~ of the Controller's Office, Procurement Department, Human Resources, and in university policies.

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

2.3029.1 Policy on Misconduct in Research

~~Consult~~ For more information, consult chapter ten in this handbook, the [Research Integrity Office](#) in Research and Innovation, and ~~the Policy 13020, "Policy on Misconduct in on-Research."~~ Misconduct. 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.

2.3029.2 Statement of Principles of Ethical Behavior

~~Consult~~ For more information, consult the Faculty Senate's [Committee on Faculty Ethics](#).

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.

2.3029.3 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 the relevant chapter of this handbook.

2.3029.3.1 Allegations of Unprofessional or Unethical Conduct against an A/P faculty member

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 vice president of the A/P Senate chooses panel members from among the A/P faculty at large. The A/P Senate vice president 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.

2.34-30 Faculty Senate Standing Committees on Ethics, ~~Reconciliation~~, and Review

External Faculty Senate Standing Committees report to the vice president of the senate and are summarized in the Faculty Senate Constitution. ~~See~~For more information, consult the [Faculty Senate website for information](#).

2.3430.1 Faculty Senate Committee on Ethics

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

2.34-0.3 Faculty Senate Faculty 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.

Field Code Changed

2.34-21 Faculty Senate ~~Committee on Reconciliation~~

The ~~Committee on Reconciliation~~Office of the Vice Provost for Faculty Affairs provides support for the Director of Faculty Reconciliation (DFR). The DFR serves as a private and independent resource to offers advice and counsel to faculty members who seek it, particularly in relation to disputes with immediate supervisors or university administrators. The ~~committee-DFR~~ 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-DFR~~ regarding serious disagreements with colleagues, 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~~The DFR operates informally as a facilitator, similar to the University Ombuds Office. ~~It meets meeting~~ 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. The DFR may consult with the vice provost for faculty affairs but operates independently; any conversations will remain private unless permitted otherwise by the faculty member.

or as required by law. For more information, consult Faculty Reconciliation, or contact Faculty Affairs Contact.

2.31.3 Faculty Senate Faculty 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.~~

Commented [RG16]: Revisions made through governance, will be brought to BOV meeting in June for approval (CFA 2024-25H)

Field Code Changed

2.32-32 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.

2.33-33 Consulting Activities

~~Consult~~ For more information, consult the [Conflicts of Interest and Commitment webpage](#) 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.

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

such as personal or family ownership of the company. Consulting does not involve becoming an employee of the external entity.

Professional service includes service on national commissions, on boards of governmental agencies, on granting agency peer review panels, on visiting committees or advisory groups to other universities, on professional associations, and on analogous bodies. Professional service activities may involve a token honorarium and/or expense reimbursement. These activities are considered part of the faculty member's institutional responsibilities for participation in the larger scholarly academic community. Participation in external professional service activities may require supervisor approval depending on departmental or school 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 Real Property \(Building, Grounds, Infrastructure\) Usage and Events"](#)).

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~~ through the Office of 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 Real Property \(Building, Grounds, Infrastructure\) Usage and Events"](#) ~~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 webpage 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.

2.3333.1 Consulting Activities for Virginia Cooperative Extension Faculty

See chapter seven of this handbook for additional information applicable to Extension faculty members. 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.

2.3333.2 Virginia Tech Continuing and Professional Education Technical Assistance Program (TAP)

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

Proposals for technical assistance are small scale (generally less than \$25,000), short-term, require a rapid response, and do not involve the generation of new knowledge or the development of intellectual property. (Projects involving the generation of knowledge and/or faculty buyouts must be handled as sponsored projects.) Continuing and Professional Education negotiates and administers contracts for technical assistance.

Technical assistance contracts typically identify the faculty member who will provide the needed expertise, the amount of time to be devoted to the project, the scope and estimated cost of the work, timelines for the consulting or project, and any required deliverables.

Payment to the faculty member for such consulting is negotiable and provided through university payroll. Faculty earnings for technical assistance agreements must be within the overall limitation of ~~33 1/3%~~ **33 1/3 percent** of annual income during the academic year for nine-month faculty members; summer earnings from all university sources are also capped at an additional ~~33 1/3%~~ **33 1/3 percent** for academic year faculty members. Faculty members on calendar year appointments may earn ~~33 1/3%~~ **33 1/3 percent** of annual income during the fiscal year. The earnings limitation is for payments from all university sources, including approved non-credit Continuing and Professional Education activities. Similarly, total time involved in technical assistance, other approved consulting, and non-credit teaching must be within the constraints of this policy.

For ~~further more~~ 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.

2.34-34 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.

2.35-35 Conflicts of Commitment

~~Consult For more information and procedures, consult the Conflicts of Interest and Commitment for information and procedures.~~ A conflict of commitment arises when the external activities of a faculty member are so demanding of time, attention, or focus that they interfere with the individual's responsibilities to the university.

Nothing in this policy statement shall be interpreted as interfering with the academic freedom of faculty members, nor with their primary responsibility to direct their own research.

Faculty members have traditionally been allowed wide latitude in defining their professional agendas and their degree of involvement in external activities when those activities advance the mission or prestige of the university. The university encourages active participation by faculty members in external activities that are integral to and/or enhance their professional skills and standing or that constitute substantive outreach and public service activities.

Such activities are usually expected of faculty members to promote academic development, and to enrich their contributions to the institution, their profession, the state, and national and world societies. Additionally, Virginia Tech encourages entrepreneurial activities by faculty, recognizing that such activities are critical to promoting economic development and meeting society's needs, if participation in those activities complies with federal and state laws and policies, the Virginia Tech conflicts of interest policy, and these guidelines.

Faculty members should make the fulfillment of their responsibilities to the university the focal point of their professional effort. They are expected to arrange their external activities so that they do not impede or compromise their university duties and responsibilities. Responsibility for ensuring commitment to the university and for reporting activities that might be perceived as compromising that commitment rests with each faculty member in consultation with the department head, chair, school director, or supervisor and dean, or relevant senior manager.

The university recognizes that the balance of external activities varies among individuals, from discipline to discipline, and from one type of proposed activity to another. That balance is affected by unit goals and changing needs for teaching, research, creative and artistic activities, Extension, service, and outreach. Primary duties and responsibilities may vary from year to year for individual faculty members. Undergraduate and graduate enrollment demands, faculty-staffing levels, and changes in the nature and scope of outreach, teaching, and research within the unit may affect the primary duties and responsibilities of individual faculty. The primary judgment as to whether a faculty member is meeting professional responsibilities to the unit rests with the department head, chair, school director, or supervisor and dean, or relevant senior manager.

If a faculty member is committed to engaging in an external activity that compromises their ability to meet university responsibilities, a leave of absence or a reduction in their percentage of employment may be appropriate or necessary. Approval of a leave request or change in appointment depends on the needs of the unit and college and protection of university interests.

If a department head, chair, school director and/or dean, observes that a faculty member appears to not be fulfilling their primary responsibilities to the university, the administrator shall immediately address these concerns with the faculty member to ensure that these

responsibilities are adequately met. Failure to meet primary departmental or school 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).

2.36-36 Conflicts of Interest

~~Consult the~~For more information, consult [Conflicts of Interest and Commitment](#) and [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 2.33 Consulting Activities](#), ~~and~~ [section 2.34 Outside Employment and External Activities Other than Consulting](#), and [Policy 4070, “Additional/Outside Employment Policy for Salaried Classified and University Staff.”](#)

[Policy 13010, “Conflict 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 webpage](#), maintained by the

Research Conflict of Interest Program for a list of other Virginia Tech policies that touch on conflicts of interest more broadly.

2.3636.1 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 provost (or relevant vice president for a non-academic appointment) prior to submission to the Board of Visitors for approval.

2.3636.2 Conflicts of Interest Training and 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.

2.3636.3 Conflicts of Interest Training and Disclosure Requirements for Certain Employees

[Chapter 31 of Title 2.2 of the Code of Virginia](#) outlines the Commonwealth's State and Local Government Conflict of Interests Act (the Act). 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, "Conflict of Interest"](#) and the Act for additional information.

[Chapter 31 of Title 2.2 of the Code of Virginia](#) outlines the Commonwealth's State and Local Government Conflict of Interests Act (the Act) requires that certain Virginia Tech employees must take training and disclose financial interests to the Commonwealth of Virginia that they or an immediate family member hold. Training for Statement of Economic Interests (SOEI) filers is provided by the Virginia Conflict of Interest and Ethics Advisory Council and is required initially and every two years. Note that this requirement is in addition to the Virginia Tech-specific COI training required for Investigators on sponsored research projects. SOEI filers must continue to disclose financial interests to Virginia Tech and take research COI training, as needed.

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.

2.3636.4 Conflicts of Interest Training and 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.

2.3636.5 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.

2.3636.6 Participation of and Payment to Students in Projects Involving Faculty Owners

[Policy 13010](#) outlines Financial Conflict of Interest Management to Promote Objectivity in Research. The management plan is designed to mitigate the conflict, promote research objectivity, and provide academic and professional protection for graduate and professional students, and postdoctoral scholars respectively. See also the [Graduate Catalog](#) for information for graduate students seeking employment in university employee-owned businesses.

2.37-37 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.

2.3737.1 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.

2.3737.2 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.

2.3737.3 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.

2.3737.4 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.

2.3737.5 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 webpage 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.

2.3737.6 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.

2.3737.7 Use of University Facilities

Consult [Policy 5000 "University Real Property \(Building, Grounds, Infrastructure\) Usage and Events"](#) ~~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 Real Property \(Building, Grounds, Infrastructure\) Usage and Events,"](#) ~~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 or school responsible for the facility or equipment verifies, on the Request to Engage in External Activity Form 13010A, that the proposed use does not interfere with, or have priority over, anticipated university use of the facility or equipment.

In approving the Request to Engage in Outside Activities, the faculty member's department head, chair, school director, or supervisor and dean or vice president (and provost, when appropriate) determine that the consultation is of substantial professional merit and presents no conflict of interest in the use of the facilities or equipment. Particular care is given to the relationship of the consultation with current or potential grants or contracts and to the possibility of unfair competition with local firms and businesses.

If an employee uses equipment of a specialized service center, the employee is charged the “commercial” or “consulting” rate, as determined by the Controller’s Office. The employee is billed based on actual use. The deposit is credited to the appropriate service center account established by the Controller’s Office.

If the faculty member uses facilities such as those of the Virginia Tech athletic department, Moss Arts Center, or Student Engagement and Campus Life venues, the employee is charged at a rate established by the Controller’s Office for such use. The deposit is made to the appropriate venue account.

For facilities other than specialized service centers, or other facilities for which a charge rate has been determined, the use of the facilities must be authorized and reimbursed at a rate determined by the collaboration of the employee’s department head, chair, school director, or supervisor and the Controller’s Office.

The use of University Libraries facilities in connection with consulting is exempt from the above regulations since those facilities are available to the public.

2.3737.7.1 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 hierarches 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.

2.3737.8 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.

2.3737.9 Domestic and International Travel

~~Consult the website of the~~[For more information, consult Travel-Controller’s Office, for information.](#) The university encourages faculty to pursue endeavors that will enhance their professional development and benefit university programs. For details on travel-related business expenses and travel reporting procedures, refer to [Controller’s Office Procedures 20335A: Travel Overview](#), ~~and 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.

2.3737.10 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 Policies for Tenure-Track and Tenured Faculty

3.1 Faculty Ranks

3.1.1 Assistant Professor

An assistant professor is assigned teaching undergraduate courses and may be assigned responsibility for teaching graduate courses, supervising master's theses, and dissertations, and may serve on graduate student committees. The terminal degree appropriate to the field is expected for appointment to this rank.

3.1.2 Associate Professor

In addition to the requirements for assistant professor, a person appointed as an associate professor must have demonstrated substantial professional achievements evidenced by an appropriate combination of outstanding teaching, creative scholarship, and recognized performance in Extension, outreach, University Libraries, or related academic and professional service.

3.1.3 Professor

In addition to the requirements for associate professor, appointment to the rank of professor is contingent upon national or international recognition as an outstanding scholar and educator.

3.2 Honored Faculty Appointments

3.2.1 Endowed Chairs, Professorships, and Fellowships

~~Consult “Endowed Chairs, Professorships, and Fellowships” on the executive vice president and provost’s (provost) Faculty Affairs webpage. 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 regarding renewal.~~

~~The university Faculty Honorifics Committee reviews nominations of Extension and Libraries faculty to endowed chairs, professorships, and fellowships.~~

~~A donor may establish an endowed chair, professorship, or fellowship, by providing an endowment to support the salary and/or operating funds of the professor. Funding levels determine whether the endowed position is a chair, professorship, or fellowship. Contact the Virginia Tech Foundation for further information regarding the establishment of an endowment.~~

Commented [RG17]: There are endowed faculty appointments for non-tenure track faculty as well, so this section is being moved to Chapter 2 to apply to all faculty.

3.2.2.1 Alumni Distinguished Professor

~~Consult For more information, consult [Distinguished Professorships](#) on the provost’s Faculty Affairs webpage.~~

General conditions and definitions. The Alumni Distinguished Professorship (ADP) is a preeminent faculty appointment, reserved by the Board of Visitors for recognition of faculty members who demonstrate extraordinary accomplishments and academic citizenship through substantive scholarly contributions across all three of Virginia Tech’s mission areas of teaching, research, creative activity, and engagement. The provost, in consultation with the president and the Alumni Association, determines the number of Alumni Distinguished Professorships. There is no quota by college, department, or school.

Eligibility and criteria for selection. While no minimum number of years of service is required for eligibility, the selection committee places strong emphasis on the magnitude, character, and quality of each nominee's scholarly accomplishments as they contribute to the global land-grant mission of the university. Nominees must have well-established outstanding records of substantive scholarly accomplishment in teaching, research or creative activities, and engagement at Virginia Tech.

Responsibilities and perquisites. Each Alumni Distinguished Professor shall continue making scholarly contributions in teaching, research, creative activities, and engagement at the same high level evident at the time of appointment. This includes continued contributions to the department or school and college, and may include contributions to other departments, schools, colleges, and units, subject to the professor's interests and the ability of the department head, chair or school director and college dean to accommodate such latitude.

Alumni Distinguished Professors may also elect, in a given term, to divert energies from their usual activities or responsibilities to other valued scholarly pursuits appropriate to this university-level appointment. Alumni Distinguished Professors embody the university's land-grant mission in their scholarly work and are crucial faculty ambassadors within and beyond the university community. As such, they may be called upon from time to time, individually, or as a group, to share their scholarship with university alumni or other interested groups, as well as to render special service or to offer advice to the university at large.

Each Alumni Distinguished Professor receives a base salary supplement from the endowment established by the Alumni Association and operating funds for scholarly support.

Given the high level of performance expected of this select group of faculty members, university and college administrators are cognizant of the needs of each individual Alumni Distinguished Professor for appropriate support personnel and sufficient space, within acknowledged fiscal and physical constraints.

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

Screening procedures at department, school and college levels involve appropriate personnel or executive committees. Nomination dossiers include a current curriculum vitae, letters of nomination, from both the departmental/school and college screening

committees, letters of support, and other evidence attesting to the quality of the nominee's scholarly contributions.

The provost appoints an Alumni Distinguished Professor selection committee that includes two current Alumni Distinguished Professors, one current University Distinguished Professor, and one faculty member recommended by the Commission on Faculty Affairs. The committee reviews the nominations and makes a recommendation to the provost. The provost's subsequent recommendation is sent through the president to the executive committee of the Virginia Tech Alumni Association's Board of Directors for review and recommendation. The president makes the final recommendation to the Board of Visitors for approval.

The Board of Visitors confers upon an individual the rank of Alumni Distinguished Professor for a period of 10 years; the appointment may be renewed.

Renewal of appointments. An Alumni Distinguished Professor may request an appointment renewal at the end of the initial, or any subsequent, 10-year appointment period. A current curriculum vitae and five-page personal statement of accomplishments during the appointment term is requested by the office of the 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.

3.2.3-2 University Distinguished Professor

~~Consult For more information, consult [Distinguished Professorships](#) on the provost's Faculty Affairs webpage.~~

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 or school.

Nomination and selection. The president and provost determine the process for appointments to University Distinguished Professor and issue a call to the academic deans for nominations. The deans, in turn, invite nominations from academic departments or schools. In addition, in special circumstances and in consultation with the appropriate dean, the president or provost may nominate an eligible faculty member for consideration by the University Distinguished Professor selection committee.

Screening procedures at departmental, school, and college levels involve personnel or executive committees in place. Nominations are accompanied by a full dossier of relevant materials including a current curriculum vitae, letters of nomination from both the department or school and college screening committees, and letters of support and other evidence attesting to the scholarly reputation of the nominee(s).

The provost appoints a University Distinguished Professor selection committee that includes one current Alumni Distinguished Professor, two current University Distinguished Professors, and one faculty member recommended by the Commission on Faculty Affairs. The committee reviews the nominations and makes a recommendation to the president. The president makes the final judgment at the university level and, if that judgment so determines, takes the recommendation to the Board of Visitors for approval.

Responsibilities. The rank of University Distinguished Professor is conferred by the university and is considered a university appointment (as distinct from a department, school, or college appointment). While the professor is nominated by department, school, and college colleagues, and continues to serve the discipline and department or school of origin, the perquisites and responsibilities of each University Distinguished Professor are fixed by the university.

The president annually adjusts the salary of University Distinguished Professors after consultation with the provost and dean of the relevant college.

The sole responsibility of the University Distinguished Professors is to continue their professional engagement and development at the same high level evident at the time of appointment. They are free to define the exact nature of their work after consultation with the dean of the college and the professor's head, chair, or school director. They are expected to engage fully with their colleagues in the governance of their departments or schools.

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. On behalf of and at the direction of the President, the administrative aspects of the University Distinguished Professors' appointments are overseen by the provost and managed by the vice provost for faculty affairs.

Commented [RG18]: added language per resolution approved by BOV on March 25, 2025 (CFA 2024-25B).

Term. Incumbents carry the rank of University Distinguished Professor until resignation or retirement from the university, subject to the usual standard of continuous high performance. The rank is conferred only by the university Board of Visitors and is altered by that body alone, on the recommendation of the president.

3.3 Appointments with Tenure

~~Consult~~ For more information, consult [Promotion and Tenure](#) and [Procedures for Faculty Appointments with Tenure](#) on the provost's Faculty Affairs webpage.

A new faculty appointment with tenure may be made with the review and approval of the department head or chair, school director, the department or school 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 or school 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 or school 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 Temporary, Part-time, Tenure-Track and Tenured Appointments

While tenure-track and tenured appointments are usually full-time, Virginia Tech recognizes the importance of allowing flexibility in the percent of employment so that faculty members can better manage the balance between their professional work and family or personal obligations over a defined period, or perhaps permanently. This policy is intended to encourage departments and schools to accommodate reasonable requests for part-time appointments; however, part-time appointments are not an entitlement, and requests may be turned down when the faculty member and the department or school cannot agree upon a workable plan.

When conducting a search for a tenure-track appointment, departments or schools continue to advertise for full-time tenure-track or tenured positions and must have funding for a full-time hire. Advertisements include information about university policies for flexible appointments. If desired, the faculty member requests and negotiates a part-time appointment at or after the point of hire if acceptable to the department or school.

Tenure-track faculty members may request a part-time appointment only for reasons of balancing work and family such as the arrival or care of a child, the care of a family member, or for personal circumstances related to the health of the faculty member. In addition, they may request a term part-time appointment only (with specific starting and ending dates), allowing the issue to be revisited on a defined cycle. While such term appointments can be renewed throughout the probationary period, a permanent part-time appointment may not be granted until tenure is awarded.

If approved by the department head, chair, or school director and dean, and provost, tenured faculty members may request either term or permanent part-time appointments for reasons stated above, or to balance work at Virginia Tech with professional practice or significant community or public service. For example, a professor who wishes to serve as a consultant in addition to an appointment at Virginia Tech; a professor who wishes to engage in entrepreneurial activity outside of university responsibilities; or a professor who runs for public office for a limited term and wishes to reduce the workload at Virginia Tech for that period.

Part-time tenure-track and tenured appointments are either term or permanent. Term part-time appointments are in increments from one semester up to two years. During the duration of a part-time term appointment, terms of the appointment are only changed via the agreement of all parties. A term agreement must specify the date on which the faculty member is expected to return to full-time status. Renewal of a term appointment should be negotiated no less than three months before the end of the current term so that the department or school can plan accordingly. For term part-time appointments, departments and schools can use the salary savings to replace the work of the faculty member on 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 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 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 of this handbook “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.

3.3.2 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

Faculty members should contact the department head, chair or school director for guidance on college and department or school “Expectations Guidelines for Promotion and/or Tenure”. In addition, consult [Promotion and Tenure](#) ~~on the provost’s Faculty Affairs webpage.~~

The university is committed to academic freedom. Virginia Tech 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).

Eligibility. Eligibility for tenure consideration is limited to faculty members with regular faculty appointments of 50 to 100%- percent in an academic department or school in a college. Tenure is not granted to faculty members with temporary appointments or to administrative and professional faculty. Individuals with tenure who are appointed to administrative positions continue to hold tenure in those departments. Full-time administrators with appointments in academic departments or schools who engage in teaching and research may be recommended for tenure in such departments.

Promotion in rank and the granting of tenure are based on contributions made by a faculty member to the university in the areas of teaching, research/creative activities, and service/engagement. Colleges, departments, or schools are responsible for the administration of appropriate policies and procedures for the review and recommendation for promotion and/or tenure within their units.

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

~~Occasionally faculty members are evaluated for a tenured appointment during the probationary period and before the final probationary (mandatory) year. Consult “Promotion and Tenure” and “Non-mandatory P&T” on provost’s Faculty Affairs webpage.~~

~~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.~~

Commented [RG19]: Revised description of appeals process per resolution approved by BOV on March 25, 2025 (CFA 2024-25E).

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.

Confidentiality. To ensure the honest discussion of promotion and/or tenure cases, all parties involved must keep the deliberations strictly confidential to the extent permitted by law. The content of conversations and the results of any votes may be discussed only with individuals with a current role in the promotion and tenure process, such as committee members or administrators. Faculty members serving on promotion and tenure committees who believe that Faculty Handbook procedures are not being followed may bring their concerns to the Faculty Senate Review Committee for a confidential review.

Voting. 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.

Expectations Guidelines. Each department/school and college is required to maintain and make available on-line "Expectations Guidelines for Promotion and/or Tenure" that follow the university template and include departmental or school (and college as appropriate) 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 this Faculty Handbook. If a college adopts guidelines that establish a collegewide standard for promotion and/or tenure, with the dean's approval, departments or schools may maintain a set of guidelines that interpret the college-wide standard within the context of the department and school's disciplines and traditions. All guidelines will be approved by the faculty (through department, school - and/or college-level governance), the college-level committee and the dean, and the provost's office. Revisions to these guidelines must be approved by the faculty, the college, and the provost's office.

3.4.1 Pre-Tenure Probationary Period

~~Consult For more information, consult [Promotion and Tenure](#) and [Non-mandatory P&T](#) on the provost's Faculty Affairs webpage.~~

The pre-tenure probationary period is a succession of regular, full- or part-time term (fixed period) appointments. Decisions about tenure, if not made earlier, is made in the final

year of the probationary period. The final year of the probationary period is also called a mandatory year.

Evaluations for reappointment and an eventual tenured appointment occur during the probation period. The probationary period is typically six years unless approved extensions are granted. The beginning of the probationary period is July 1 (Calendar Year CY) or August 10 (Academic Year AY) of the calendar year in which the faculty member's initial full-time appointment starts, regardless of the month in which employment begins. The probationary period for faculty members who start work in the spring semester begins the following fall even though the spring contract period officially begins December 25.

The initial appointment for assistant professors, associate professors, and professors employed without tenure is ordinarily a period of no less than two years. Multiple-year reappointment may be subsequently recommended.

A faculty member who wishes to request a leave of absence during their probationary period should consult with their department head, chair, or school director about the effect of the leave on the probationary period, taking into account the professional development that the leave promises. The request for leave should address this matter. The provost's approval of the request specifies whether the leave is to be included in the probationary period. If the tenure decision made in the final year is negative, a one-year terminal appointment is offered.

Probationary Period for Part-time Tenure-Track Faculty

Pre-tenure faculty members may request a term part-time appointment as described in chapter three of this handbook, "Part-Time Tenure-Track and Tenured Appointments," for reasons of balancing work and family or personal health issues. In such cases, the probationary period is extended proportionately. For example, two years of service at 50% percent count as one year of full-time service. The term appointment may be renewed. A permanent part-time appointment may be requested and granted following the award of tenure.

In determining the final tenure review year for those with part-time appointments, general equivalency to full-time appointments is expected, so that approximately five years of full-time equivalent service is expected prior to the final tenure review year if no tenure clock extensions are granted, six years if one year of extension is granted, and seven years if two extensions are granted. (In summing partial years of service, a total resulting in a fraction equal to or less than 0.5 is rounded down, and a fraction greater than 0.5 is rounded up.) However, review for tenure must occur no later than the tenth year of service, resulting in somewhat less full-time equivalent service (4.5 years) for a faculty member with 50% percent appointment throughout all nine probationary years prior to review. If a faculty member is denied tenure following a final year review, a one-year terminal appointment is offered.

Faculty members on part-time appointments may request a tenure clock extension in accordance with chapter three of this handbook, “Probationary Period Extensions (Extending the Tenure Clock).” (Extensions are granted in one-year increments, not prorated by the part-time appointment percentage.) However, the extension is not approved if it results in a final review date beyond the tenth year.

3.4.1.1 Reviews of Progress Toward Promotion and/or Tenure

Faculty members should contact the department head, chair or school director for guidance on college and department or school “Expectations Guidelines for Promotion and/or Tenure”.

Under usual circumstances, departmental or school 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 or 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 above. Changes or variations in the standard review cycle must be documented in writing.

Reviews are substantive and thorough. At minimum, departmental or school promotion and tenure committees must review the faculty member’s relevant annual activities, peer evaluations of teaching, authored materials, or other artifacts of research, scholarship and/or creative activity. Promotion and tenure committees and pre-tenure faculty members should use the university’s promotion and tenure dossier format (available ~~on~~ [at the provost’s Promotion and Tenure webpage](#)~~Promotion and Tenure~~) 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 or school file. In addition, the promotion and tenure committee chair and the department head, chair, or school director meet with the faculty member to discuss the review and recommendations. Faculty members are encouraged to seek guidance and mentoring from senior colleagues and the department head, chair, or school director. Pre-tenure faculty members bear responsibility for understanding and meeting the departmental or school “Expectations Guidelines for Promotion and/or Tenure”.

In the fall semester prior to applying for tenure in a non-mandatory year, a candidate must inform the head or chair of their intention to apply, thereby giving the department or school time to conduct an additional review of the candidate’s progress, if such a review is deemed necessary. Each department or school determines the extent of this review.

Reviews for Part-time Tenure-Track Faculty. The initial review for a part-time faculty member in the probationary period should occur no later than the third year of service (regardless of percentage of employment) to give early feedback on their progress. At least two reviews should be conducted for part-time faculty members during their probationary period; more are recommended. The anticipated schedule for such reviews for reappointment and for the final year (mandatory) review for tenure should be documented in writing as part of the agreement for the part-time appointment. Changes should be agreed upon and documented by the faculty member and department 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 or school 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 at provost's~~ [Promotion and Tenure webpage](#)) 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 or school file. In addition, the faculty member may request a meeting with the promotion and tenure committee chair and the department head or chair or school director to discuss the review and recommendations. Faculty members are encouraged to seek guidance and mentoring from senior colleagues and the department head, chair, or school director.

There is no specification for minimum or maximum time of service in the rank of associate professor with tenure. Consideration for promotion to professor may be requested of the department head, chair, or school director by a faculty member at any time. In the fall semester prior to applying for promotion to professor, a candidate must inform the head, chair, or school director of their intention to apply, thereby giving the department or school time to conduct a review of the candidate's progress, if such a review is deemed necessary. Each department or school determines the extent of this review.

3.4.1.2 Guidelines for the Calculation of Prior Service

~~Consult For more information, consult Request for Credit for Prior Service Toward Probationary Period on the Faculty Affairs Forms webpage on provost's website.~~

At the time of a faculty member's initial appointment, the department head, chair, or school director notifies the new faculty member of their standing regarding the tenure system, including when the appointment will be considered for renewal and length of the probationary period until mandatory consideration for tenure.

Credit for prior service toward the probationary period may be granted for appropriate service in another accredited four-year college or university but only if the faculty member requests such credit. In such a request, the faculty member presents all prior service undertaken after the completion of the terminal degree appropriate to the field. A maximum of three years may be credited toward probationary service at Virginia Tech. The request must be made in writing within one year of the initial appointment. The specification of credit for prior service toward the probationary period is subject to the approval of the provost on the recommendation of the department head, chair, or school director and the dean.

3.4.1.3 Extension of Pre-Tenure Probationary Period (Extending the Tenure Clock)

~~Consult~~ For more information, consult [Request to Extend the Probationary Period \(Tenure Clock Extension\)](#) on the provost's Faculty Affairs Faculty Forms webpage.

A one-year probationary period extension is automatically granted to either parent (or both if both parents are tenure-track faculty members) in recognition of the demands of caring for a newborn child or a child under five newly placed by adoption or foster care. The request should be made within a year of the child's arrival in the family.

An extension of the probationary period may also be approved on a discretionary basis for other extenuating non-professional circumstances that have a significant impact on the faculty member's productivity, such as a serious personal illness or major illness of a member of the immediate family. In rare cases, extraordinary professional circumstances not of the faculty member's own making may be acceptable justification for a probationary period extension, for example exceptional delays in providing critical equipment, laboratory renovations, or other elements of the committed start-up package essential to establishing a viable research program.

Faculty members who benefit from this policy are expected to fulfill their usual responsibilities during the probationary period extension unless they are also granted a period of modified duties or other arrangements are made. ~~Consult~~ For more information, consult [Work-Life Resources](#) on provost's Faculty Affairs webpage.

A probationary period extension is granted in one-year increments. A cumulative total of two years is usually the maximum probationary period extension for any combination of reasons. Requests should be made within a year of the qualifying event (such as the arrival of a child in the family) or extenuating circumstances (such as an illness). The provost may approve exceptions to these limitations.

Faculty members may only be evaluated two times for promotion and tenure or continued appointment. The two evaluations may each be in a non-mandatory year, but in the case of a second non-mandatory negative decision, the faculty member will not be allowed a third evaluation. If the second evaluation results in a negative decision, a one-year terminal appointment is offered.

Requests for a [probationary period extension](#) are submitted in writing to the department head, chair, or school director. (A form is available on the provost's website.) Approval is automatic for new parents. Documentation of medical reasons (other than childbirth or adoption) is required prior to approval; documentation of other extenuating circumstances may also be required. Approvals by the department head, chair, or school director, and dean, and provost are required for probationary period extensions. The faculty member may appeal denial of the request to the next higher level in their organizational reporting structure.

It is very important that all individuals and committees participating in tenure reviews understand that any individual who receives a probationary period extension must be held to the same standard—not a higher or more stringent one—to which other candidates without such an extension are held. This is also true in the case where the candidate's dossier is considered on the original schedule for review. However, in this instance where an approved extension was granted but not utilized, the tenure review is not considered mandatory and can be conducted again in the subsequent year without penalty. A probationary extension usually extends the time frame for each subsequent review and reappointment during the probationary period. For example, an extension granted prior to the fourth-year review and reappointment typically delays that review by one year.

3.4.2 General Expectations for Promotion and Tenure

Faculty members should contact the department head, chair or school director for guidance on college, department or school "Expectations Guidelines for Promotion and/or Tenure". In addition, consult [Promotion and Tenure](#)—on the provost's Faculty Affairs webpage.

In accordance with their assignments and as outlined in the [Guidelines, Templates, and Cover Pages for Tenure Track Faculty](#) available on the provost's Faculty Affairs webpage, candidates for promotion and/or tenure will be evaluated in the following categories: teaching, scholarship, and service. While candidates are not expected to have equal levels of commitment or equal responsibilities in all these areas, scholarship is expected of all tenure-track faculty members to a degree and in a discipline appropriate for their assignment.

Teaching (Includes advising/mentoring). Teaching is a multifaceted activity that includes formal and informal advising/mentoring. In any assessment of a candidate for promotion and/or tenure, both the quality and the quantity of the individual's achievements

in teaching and advising/mentoring should be considered. Those evaluating candidates for promotion and/or tenure should give special consideration to teaching effectiveness: faculty members must demonstrate the ability to evaluate scholarship applicable to their field and effectively teach their discipline to students. If applicable to the candidate's appointment, teaching may include didactic lecture classes and laboratory settings as well as integrated component of clinical practice.

Scholarship (Includes research, creative activities, and Extension activities).

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

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

Required Department or School (or College) "Expectations Guidelines for Promotion and/or Tenure". 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 or school 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 or school 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.

~~Consult~~ For more information, consult the [“Guidelines, Templates, and Cover Pages for Tenure Track Faculty”](#) ~~on at the provost’s Promotion and Tenure~~. All candidate dossiers must be submitted to the University Promotion and Tenure Committee according to the guidelines and ~~timeline~~ ~~timelinetime~~ ~~on the provost’s Faculty Affairs Promotion and Tenure webpage~~ [the Important Dates calendar](#). The department head, chair, or school director or the department or school committee is responsible for ensuring that the dossier conforms to these guidelines.

The criteria by which faculty with part-time appointments are evaluated for tenure are the same as the criteria by which full-time faculty are evaluated. Promotion and tenure committees consider years of full-time equivalent service when reaching decisions, excluding any approved probationary period extensions granted under the extending the tenure clock policy.

3.4.3 Departmental or School Evaluation for Promotion and Tenure

Determination of Candidates. In their promotion and/or tenure guidelines, each department or school 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.

If there is disagreement between the faculty member and the department/school about whether the faculty member should be considered for promotion and/or tenure, the faculty member may appeal the department/school decision to the dean of the college if they have at least four years in rank at Virginia Tech and they have requested consideration in writing in the prior year. The appeal must be based on achievement of the department/school and/or college "Expectations Guidelines for Promotion and/or Tenure." If the dean sustains the department/school negative decision, the faculty member may request a review of the decision by the properly constituted college committee on promotion and tenure. If either the dean or the college committee approve the faculty member's appeal prior to the completion of the fall term, then their case will be processed in the next promotion and tenure cycle. If the appeal is approved after the fall term, then their case will be processed in the year after the next promotion and tenure cycle.

Department or School Committee Composition: Each department or school 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, chair, or school director. Voting members for promotion and/or tenure for tenure-track faculty must be tenured. While the process of selecting committees may vary between departments or schools, significant elements of faculty choice, as determined through departmental or school 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, chair, or school director to appoint the committee from the slate; or a committee elected by the faculty. A minimum committee size of five members is most appropriate to achieve adequate representation and effectiveness of committee operations.

Department or School Committee Evaluation of Candidate. The committee chair or department head, chair, or school director furnishes the committee with a dossier for each candidate. After evaluating each candidate's dossier based on criteria established in the department or school's "Expectations Guidelines for Promotion and/or Tenure", 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.

Commented [RG20]: Revised description of appeals process per resolution approved by BOV on March 25, 2025 (CFA 2024-25E).

Given their responsibility to make a separate and independent recommendation on each case, department heads, chairs, or school directors 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, chair, or school director evaluates each candidate's dossier, including the committee's letter, based on criteria established in the department or school's "Expectations Guidelines for Promotion and/or Tenure" 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 at provost's~~ [Promotion and Tenure webpage](#). If the recommendation for promotion and/or tenure varies from the recommendation of the department or school committee, the reasons for that variance must be specified, including references to the department or school's "Expectations Guidelines for Promotion and/or Tenure". The department head, chair, or school director will share their letter with the department or school promotion and tenure committee as soon as it is available.

In all cases of a tenure decision in the final year of probationary service, the head, chair, or school director sends the dossier of every candidate to the dean, even when both the head, chair, school director and the committee have made negative recommendations.

In all other cases, the head, chair, or school director sends the dossier of every candidate to the dean, except if the committee's recommendation is negative and the head or chair concurs. Under those circumstances, the head, chair, or school director declares a final decision and no further review is carried out.

The dossiers that the head or chair sends to the dean are accompanied by a statement describing the formation and procedures of the department or school 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 or school committee's vote must be added to the dossier, but otherwise remains confidential.

3.4.4 College Evaluation for Promotion and Tenure

College Committee Composition. Each college must have a committee with appropriate faculty representation to review the recommendations on promotion and tenure sent by the department head, chair, or school director. Voting members for promotion and/or tenure for tenure-track faculty must be tenured. While the process of selecting committees may vary between colleges, rules governing eligibility and selection of college committee members and the committee chair, as well as operating guidelines for the committee's deliberations, must be documented and formally approved by the faculty. Significant elements of faculty choice must be part of the selection process. Some possible methods for committee selection include election by the college faculty; appointment by an elected college executive committee; a combination of elected and appointed (by the dean or college executive committee) representatives; or an elected slate significantly larger than the required committee size, thus allowing the dean or college executive committee to appoint the committee from the elected slate approved by the faculty. However, given their responsibility to make a separate and independent recommendation on each case, the dean may not serve as chair of the committee.

As far as possible, each department or school 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 or 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.

The committee may include department heads, chairs, school directors, or department-level promotion and tenure committee members. If department heads or chairs or school directors serve on college committees, their total number must be less than that of other faculty members and they may not vote on cases from their department/school, since each has already had an opportunity to vote or make a recommendation on those candidates.

The appointments of faculty members on the committee should be staggered to assure continuity from one year's deliberation to the next. If possible, members should not serve more than two successive terms (three-year terms are typical).

The college faculty representatives to the University Promotion and Tenure Committee must attend college promotion and tenure deliberations as non-voting observers but should not participate or attempt to influence college-level recommendations.

College Committee Evaluation of Candidate. The committee reviews the cases of all candidates recommended by the department or school committee and/or head or chair

Commented [RG21]: Revised description of appeals process per resolution approved by BOV on March 25, 2025 (CFA 2024-25E).

or school director as well as cases in their final year that receive negative recommendations by both a department or school committee and a head or chair.

The purpose of the review is to verify that the department or school's 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 or school committee or the department head, chair, or school director, reasons for that variance must be specified, including references to the relevant departmental or school "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 or schools, 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, chair, or school director, the candidate, and/or a representative(s) of the department or school committee to appear before the college committee to present additional information or clarify recommendations.

The dean may participate in committee discussions and serve in an advisory capacity to the committee to ensure compliance with college and university procedures. However, after the discussions with the dean, the committee must discuss the merits of the candidates, frame its recommendations, and take the final vote without the dean or other college-level personnel in attendance and without influence by the dean.

Dean's Evaluation of Candidate. The dean reviews the cases of all candidates considered by the college committee. The purpose of the dean's review is to verify that the department or school and college committee recommendations for promotion and/or tenure are consistent with the evidence, reflect college-wide standards, and conform to the college's expectations of the candidate's future success.

The dean writes a separate recommendation letter for every case sent to the provost. If the dean's recommendation for promotion and/or tenure varies from the recommendation made by the college committee, the reasons for that variance must be specified, including references to the relevant departmental or school "Expectations Guidelines for Promotion

and/or Tenure". Whenever the dean does not concur with the committee's recommendation, the committee is so notified. In instances of concurrence, the dean's letter may include additional points not raised in earlier evaluations. The dean may share their letter with the committee and will add it to the dossier.

For every promotion and/or tenure case whether in the final year of probation (mandatory), non-mandatory-year tenure, and/or promotion, if either the college committee's or the dean's recommendation is positive, the dossier is sent to the provost. If the college committee's recommendation is negative and the dean concurs, the dean declares a final decision and no further review is conducted.

The dossiers that the dean sends to the provost must be accompanied by a statement describing the formation and procedures of the college committee and a summary of the number of candidates considered by the committee in each category (mandatory tenure, non-mandatory-year tenure, and promotion at each rank). The division of the college committee's vote must be added to the dossier, but otherwise remains confidential.

3.4.5 University Evaluation for Promotion and Tenure

~~Consult~~ [For more information, consult Promotion and Tenure.](#)

University Promotion and Tenure Committee Composition. The University Promotion and Tenure Committee is appointed and chaired by the provost. The committee is composed of the college deans, a tenured faculty representative from each college, a tenured faculty member at-large, and the provost. The faculty subcommittee of the University Promotion and Tenure Committee includes the college faculty representatives plus the faculty member-at-large. The provost, who is a non-voting member, chairs both the full committee and faculty subcommittee. The vice provost for faculty affairs serves as resource and scribe for committee deliberations.

Significant elements of faculty choice must be part of the selection of the faculty subcommittee; therefore, each college faculty, through means deemed suitable by them, nominates two faculty members for each vacancy, from which the provost selects one. The Faculty Senate nominates two faculty members for the at-large appointment, from which the provost selects one. The selection of the faculty members should be based on demonstrated professional excellence. The faculty members of the committee hold rotating terms of three years. Regardless of the size of the committee, the faculty must always have a majority of the potential votes.

University Promotion and Tenure Committee Evaluation of Candidate. The committee reviews the qualifications of each candidate recommended for promotion and/or tenure by the college committee and/or the dean.

The purpose of the review is to verify that the recommendations for promotion and/or tenure are consistent with the evidence, reflect university-wide standards, and conform to the university's expectations of the candidate's future success.

The faculty sub-committee initially discusses all the cases with the provost in attendance. Committee members provide a brief summary of the cases from their college to begin the committee discussion, though they are not expected to champion or defend cases. After the discussions with the provost, the faculty subcommittee must be given a period of time to discuss the cases in the absence of the provost and all other university-level personnel. The provost then rejoins the subcommittee and asks the faculty to rate the cases to identify those they would like to discuss further with the deans. Deans are informed of which cases the faculty subcommittee would like to discuss further and the specific concerns the subcommittee has in each case.

The full committee then convenes. The deans present information based on faculty subcommittee concerns. The committee then rates the cases to clarify which cases require further discussion. Deans abstain from rating the candidates in their colleges, as the dean's statement, which is included in the dossier, serves as their estimation of the case's strength. The provost shares the result of the rating, after which the full committee discusses the cases. The committee adjourns and reflects upon the group discussion.

Upon reconvening, the provost invites committee members to comment on any case. The full committee then votes, with deans abstaining from voting on any candidates from their colleges. Similarly, faculty members serving on the committee do not vote on any case on which they previously voted.

The vote must occur using a secret ballot. Though the provost shares the result of the vote with the committee, committee members must keep the results confidential. The majority vote of the committee reflects either a positive or negative recommendation to the provost. A tie vote is considered a negative recommendation.

Following the committee's recommendation on each candidate to the provost, the provost makes recommendations to the president, informing the committee of those recommendations, including the basis for any non-concurrence with committee recommendations. The provost informs the president of any variation between the provost's recommendations and those of the committee.

The president makes recommendations to the Board of Visitors from among those candidates reported by the provost, with the Board of Visitors being responsible for the final decision.

The provost notifies the appropriate dean of any negative decision reached by the provost, the president, or the Board of Visitors. The dean, when notifying the faculty member in writing, notes appeal options.

3.4.6 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 or school 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, school, and/or college "Expectations Guidelines for Promotion and/or Tenure". Notification of a negative recommendation will occur within ten university business days after the completion of committee and administrator deliberations. Notification must include options for appeal. Exceptions to the time frame must be agreed upon by all parties. In cases with a negative recommendation from the provost, the provost does not forward the case to the president until the candidate has been notified and has had time to appeal. In cases with a final positive recommendation by the president, the provost notifies the appropriate dean who informs the candidate in writing of the reasons for the decision.

3.5 Appeals of Decisions on Non-Reappointment, Tenure, or Promotion

(for *grievances* see Faculty Grievance Policy and Procedures in this chapter of the faculty handbook)

Appeal. A faculty member who is notified of a negative decision following an evaluation for a term reappointment during the probationary period, for a tenured appointment, or for promotion may appeal for review of the decision under conditions and procedures specified in this section. The appellant has a right to an explanation of the reasons for the denial.

An appeal must be filed, in writing, within 10 university business days of formal notification of the decision, which shall explain the appeal procedures.

An appeal must be based on the following claims only: department or school criteria established in the relevant department or school's promotion and/or tenure guidelines were not appropriately applied; material from a dossier was unavailable to, or disregarded by, reviewers through no fault of the candidate; or information in the dossier was not considered, or that the decision was influenced by improper consideration.

Administrators and committees hearing an appeal must limit the scope of their recommendations to the claims presented above: in particular, they must not substitute their own judgment on the merits of the case for that of the body or individual responsible

for the decision under appeal. The recommendations should address the allegations in the appeal with specificity and cite appropriate evidence.

A faculty member can appeal the decision at more than one level. There is no appeal of the president's recommendation to the Board of Visitors or the board's final decision. Appeals should be resolved as quickly as possible without compromising thoroughness of review. Whenever possible, the appeal should be resolved in time to be reviewed at the first meeting of the Board of Visitors in the fall semester.

A faculty member with questions or concerns about the appeal process or who believes that the procedures described in this section have been improperly followed may, at any point, seek advice from the [Faculty Senate Committee on Reconciliation Director of Faculty Reconciliation](#).

Grievance. ~~Consult For more information, consult the Faculty Forms webpage for the grievance form~~ [Tenured, Tenure-Track, Continued Appointment, Continued Appointment-Track, and Non-Tenure-Track Instructional Faculty Grievance Form](#). Additionally, faculty have the option to grieve procedural violations of the promotion and tenure process—including violations of the appeal process presented in this section—after a negative decision on an appeal or instead of filing an appeal in the first place. Since the grievance procedures allow the grievant to state the grievance, they believe they have experienced and the relief they seek, it has a wider range of possible outcomes than the appeal process. However, because it is a slower process that may not be completed until the promotion and/or tenure cases in a given year have been decided, and because faculty cannot grieve “items falling within the jurisdiction of other university policies and procedures,” a grievance should be thought of as a means for faculty to seek an outcome they cannot seek through the appeal process. The grievance process is described in chapter three of this handbook below, “Faculty Grievance Policy and Procedures.”

3.5.1 Appeal of Probationary Non-Reappointment Decision

Faculty members on probationary term appointments should make no presumption of reappointment. The department head, chair, or school director with the advice of the department/school personnel committee or the faculty development committee determines non-reappointment. Notice of non-reappointment is furnished according to the schedule in chapter two of this handbook, “Retirement, Resignation, and Non-Reappointment.”

If the negative decision is based on evaluation of the faculty member's performance, including perceived lack of potential for further professional development, the faculty member may appeal the decision to the dean of the college. If the dean sustains the departmental or school 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 of this handbook, “Appeals of Decisions on Reappointment, Tenure, or Promotion.” The faculty member has the right to appear before the committee to present arguments. The college committee makes a recommendation to the dean, who informs the faculty member of the committee’s recommendation and the dean’s subsequent decision. The dean’s decision closes the appeal process, unless it varies from the college committee’s recommendation, in which case the faculty member may appeal to the provost for a final decision. The provost’s decision cannot be appealed.

3.5.2 Appeal of Promotion and/or Tenure Decision (and summary table)

For the purposes of appeal, tenure cases receiving their second review prior to the final year of probation (mandatory year) are treated like mandatory year cases.

Appeal of negative department or school ~~or college~~ decisions. Because all tenure cases evaluated in the final year of probation (mandatory year), even those given a negative recommendation by the department or school 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 or school 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.~~

Promotion-only cases and tenure cases in non-mandatory years given a negative recommendation by the department or school committee and the head or chair or school director may appeal to the dean.

~~Cases reviewed a second time within the probationary period whether promotion and/or tenure, if the committee and the relevant administrator both make negative recommendations, the candidate may appeal that negative decision to the next level in the process.~~ The faculty member appealing a departmental decision has the right to appear before the college committee considering the appeal and present arguments. If either the college committee or the dean grants the appeal of a negative department or school decision, the case resumes ~~normal~~ consideration, beginning with the college committee and dean.

If the college committee and the dean both make negative decisions, the appeal is denied and no further appeal is provided.

Appeal of negative college decisions. Promotion and/or tenure cases given a negative recommendation by the college committee and the dean may appeal to the provost.

The faculty member appealing a college decision has the right to appear before the University Promotion and Tenure Committee and present arguments. 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

Commented [RG22]: Revised description of appeals process per resolution approved by BOV on March 25, 2025 (CFA 2024-25E).

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 by the provost to the~~ Faculty Senate Review Committee. The faculty member has the right to appear before the committee to present arguments. The Faculty Review Committee investigates the case and makes a recommendation to the president. ~~The Faculty Senate Review Committee makes a recommendation to the president.~~ The president makes a recommendation to the Board of Visitors whose decision is final and cannot be appealed.

Table of appeal options. 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. ~~References to departments are inclusive of schools and references to department heads or chairs are inclusive of school directors. The table is for reference only.~~

DECISION / RECOMMENDATION	NEXT STEP
<u>Positive by department committee and by the department head or chair</u>	<u>Moves to college committee and dean</u>
<u>Negative by department committee; positive by department head or chair</u>	<u>Moves to college committee and dean</u>
<u>Positive by department committee; negative by department head or chair</u>	<u>Moves to college committee and dean</u>
<u>Negative by department committee and by department head or chair</u>	<u>Mandatory year: Automatically moves to college committee and dean</u>
	<u>All other cases: May appeal to the dean</u>
<u><i>Appeal granted by the dean and/or the college committee</i></u>	<u><i>Resumes review process in the college</i></u>
<u><i>Appeal denied by both the dean and the college committee</i></u>	<u><i>Process complete</i></u>
<u>Positive by college committee and by the dean</u>	<u>Moves to University Promotion and Tenure Committee and provost</u>

<u>Negative by college committee; positive by dean</u>	<u>Moves to University Promotion and Tenure Committee and provost</u>
<u>Positive by college committee; negative by dean</u>	<u>Moves to University Promotion and Tenure Committee and provost</u>
<u>Negative by college committee and the dean</u>	<u>May appeal to University Promotion and Tenure Committee (via the provost)</u>
<u><i>Appeal granted by the University P&T Committee or provost</i></u>	<u><i>Resumes review process at the university level</i></u>
<u><i>Appeal denied by the University P&T Committee and provost</i></u>	<u><i>Process complete</i></u>
<u>Negative by the provost</u>	<u>May appeal to Faculty Review Committee</u>
<u><i>Faculty Review Committee makes recommendation to president</i></u>	<u><i>President makes recommendation to Board of Visitors</i></u>
<u>Negative by president</u>	<u>No appeal</u>
<u>Negative by the Board of Visitors</u>	<u>No appeal</u>

3.6 Annual Evaluation and Salary Adjustments

The Board of Visitors delegates the authority to the president or the president's designee for selected faculty appointments and compensation actions as outlined in the Amended Delegation of Authority for Selected Personnel Actions dated June 11, 2024.

The Board of Visitors annually approves a faculty compensation plan, including the authorization of an annual merit process guided by the university's Faculty Handbook and processes provided by the commonwealth. 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.

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.

3.6.1 Required Department or School (or College) Expectations Guidelines for Promotion and/or Tenure

All departments or schools 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.

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-tenured 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 of this handbook, "Probationary Period."

Faculty members with part-time appointments are reviewed on the annual review cycle used for all faculty members in the department or school. 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.

3.6.2 Annual Faculty Activity Report (FAR)

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, school, college, or administrative unit,

as appropriate. Submission of a faculty activity report (FAR) may be required for consideration for a merit adjustment.

Virginia Tech uses an electronic faculty activity data system to collect and manage information about research and scholarship, creative works, teaching, Extension, outreach, and service activities. This system automates the production of annual faculty activity reports, promotion and tenure dossiers, and CVs, as well as department, school, college, and university level reports. The system also enables deposit and claiming of scholarly works in the [VTechWorks](#) institutional repository and will feed public web profiles using [VT Experts](#). Training for faculty is available through Virginia Tech's [Professional Development Network](#) and for departments on request. Faculty members should consult with their department head, chair, school director, or supervisor on the use of electronic faculty activity reporting.

3.6.3 Unsatisfactory Performance

For tenured and pre-tenured faculty members, failure to meet the minimum “Expectations Guidelines for Promotion and/or Tenure” 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.

3.7 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 of this handbook, “Dismissal for Cause,” or the right of individual faculty members to pursue existing mechanisms of reconciliation and redress.

A post-tenure review is mandatory whenever a faculty member with tenure receives two consecutive annual evaluations of unsatisfactory performance. Annual reviews for years spent on leave without pay are disregarded for the purpose of this calculation. The departmental/school promotion and tenure committee conducts the review unless the same committee participated in the original unsatisfactory annual evaluations. In this case, the department or school elects a committee to conduct the review.

Upon recommendation of the head, chair, or school director and with the approval of the dean, a post-tenure review may be waived or postponed if there are extenuating circumstances (such as health problems).

The purpose of a post-tenure review is to focus the perspective of faculty peers on the full scope of a faculty member's professional competence, performance, and contributions to the department or school, 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 or school, 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 or school's minimum "Expectations Guidelines for Promotion and/or Tenure" 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 or school's minimum "Expectations Guidelines for Promotion and/or Tenure". 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 of this handbook, "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 or school and college committees satisfy the requirement in step two in chapter three of this handbook, "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 of this handbook, "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 of this handbook, "Dismissal for Cause," begin immediately. The committee review satisfies the requirement in chapter three of this handbook for an informal inquiry by a standing personnel committee.

3.8 Annual and Periodic Review of Academic Administrators. College and Academic Deans, 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 ~~and vice presidents who report to the provost, the dean of University Libraries, the dean of the Honors College, dean of graduate education, and academic vice presidents~~ are subject to ~~reviews-periodic evaluations~~ 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~~

~~dean or vice president and any relevant college or unit constituents (such as the unit leadership team and/or college faculty association), as appropriate, with 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 teaching and research (T&R) 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 evaluation, the dean or vice president and any relevant college or unit constituents (such as the unit leadership team and/or college faculty association) will be notified of the review, and the those constituent groups may request a association may schedule a faculty meeting with the provost to discuss the upcoming review.~~

Commented [RG23]: Updated for consistency with changes to Policy 6105

3.9 Annual and Periodic Review of Department Heads, Chairs, and School Directors
Policy 6100, "Department Head, Chair, or School Director Appointment and Review," 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.

3.10 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).

3.10.1 Adequate Cause

Adequate cause for imposition of a severe sanction or dismissal is related, directly, and substantially, to the fitness of faculty members in their professional capacity as teachers and scholars. Imposition of a severe sanction or dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights.

Adequate cause includes: violation of professional ethics (see chapter two of this handbook "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.

3.10.2 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 this 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.

3.10.3 Dismissal for Cause

The following procedures apply to faculty members with tenure or for dismissal of a tenure-track faculty member before the end of their current contract. Dismissal is preceded by:

Step one. Discussions between the faculty member, department head, chair, or school director, dean, and/or provost, looking toward a mutual settlement.

Step two. Informal inquiry by a standing (or, if necessary, ad hoc) faculty committee having concern for personnel matters. This committee attempts to affect an adjustment and, failing to do so, determines whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the president's decision whether to proceed.

Step three. The furnishing by the president (in what follows, the president may delegate the provost to serve instead) of a statement of specific charges, in consultation with the department head, chair, or school director and dean. The statement of charges is included in a letter to the faculty member indicating the intention to dismiss, with notification of the right to a formal hearing. The faculty member is given a specified reasonable time limit to request a hearing; that time limit is no less than 10 days.

Procedures for conducting a formal hearing, if requested. If a hearing committee is to be established, the president asks the Faculty Senate, through its president, to nominate nine faculty members to serve on the hearing committee. These faculty members are nominated based on their objectivity, competence, and regard. They must have no bias or untoward interest in the case and be available at the anticipated time of the hearing. The faculty member and the president each have a maximum of two challenges from among the nominees without stated cause. The president then names a five-member hearing committee from the remaining names on the nominated slate. The hearing committee elects its chair.

Pending a final decision on the dismissal, the faculty member is suspended only if immediate harm to him or herself or to others is threatened by continuance. If the president believes such suspension is warranted, consultation takes place with the ~~Faculty Senate Committee on Reconciliation~~[Director of Faculty Reconciliation](#) concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.

Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the charges or asserting that the charges do not support a finding of adequate cause. In such a case, the hearing committee evaluates all available evidence and makes its recommendation based on the evidence in the record.

The committee, in consultation with the president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentation or other evidence. The administration cooperates with the hearing committee in securing witnesses and evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements from unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The president and the faculty member are notified of the recommendation in writing and are given a written copy of the recording of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity to respond.

Appeal to the Board of Visitors. If the president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board).

The board's review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the committee with specific objections. The committee then reconsiders, taking into account the stated objections and receiving new evidence if necessary. The board makes a final decision only after studying the committee's reconsideration.

Notice of termination/dismissal. In cases where gross misconduct is decided, termination is usually immediate. The standard for gross misconduct is behavior so egregious that it evokes condemnation by the academic community generally and is so utterly blameworthy as to make it inappropriate to offer additional notice or severance pay.

The first faculty committee that considers the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty member with tenure receives up to one year of salary or notice, and (b) a probationary faculty member receives up to three months' salary or notice. These terms of dismissal begin on the date of final notification of dismissal.

3.11 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.

3.11.1 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 university community member may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The Ombuds listen and explore options for addressing and resolving concerns or complaints. The Ombuds Office has no authority to make or reverse any decision made or actions taken by university authorities. It supplements, but does not replace, the university's existing conflict resolution resources and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Office will not accept legal notice on behalf of the university, and information provided to it does not constitute such notice. However, if someone wishes to make the university formally aware of a particular problem, the Office can provide instructions on how to do so. The only exception to this pledge of confidentiality is when the 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 and does not keep permanent records of confidential communications.

University Ombuds: Any member of the university community may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE), the university Ombuds Office. The Ombuds listens and explores options for addressing and resolving concerns

Commented [RG24]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

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 Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Faculty members may also contact the provost's office of Faculty Affairs regarding options for reconciliation support. Contacting the Faculty Senate Committee on Reconciliation DFR 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 DFR 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 grievance process. If the grievant requests assistance from the Faculty Senate Committee on Reconciliation DFR, ~~that committee~~ they requests a postponement of the time limits involved in the formal grievance procedure while ~~it~~ they deals with the case. The request is submitted in writing to the vice provost for faculty affairs and the vice president of the faculty senate by the chair of the Faculty Senate Committee on Reconciliation DFR. ~~Also~~ In addition, the grievant should reach an understanding with the Faculty Senate Committee on Reconciliation DFR of the time frame planned for ~~that committee's working~~ on the case, with such time not to exceed 60 calendar days.

Faculty members may also consult the ~~Faculty Senate Committee on Reconciliation~~ DFR about serious disagreements with colleagues, immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the ~~committee~~ DFR 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 provost.

Commented [RG25]: Revisions made through governance, will be brought to BOV for approval in June (CFA 2024-25H)

Mediation and Other Conflict Resolution Services: The Office for Civil Rights Compliance and Prevention Education (OCRCPE) offers a range of conflict resolution services, including conflict coaching, mediation, and group facilitations. In general, OCRCPE's conflict resolution services are available in matters related to the office's work to maintain working environments free from discrimination.

Mediation is a voluntary process through which one or more trained facilitators assist employees in expressing concerns and developing solutions to a conflict in a structured environment. Mediation differs from faculty reconciliation in that mediation facilitators do not conduct fact-finding or evaluate decisions. Mediation may be available prior to or after filing a grievance. Any party to a grievance process may request mediation prior to step three of the process. If both parties voluntarily agree to try mediation and the university, usually through the OCRCPE, appoints a facilitator, then the grievance is placed on administrative hold until the mediation process is complete. If a resolution is reached through mediation, then the parties are responsible to each other for ensuring that the provisions of the resolution agreement are followed. If any party withdraws from mediation or the facilitator terminates the process without agreement, then the grievant may request that the grievance be reactivated and the process continues.

A/P faculty members and supervisors are encouraged to consider using conflict resolution services like mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

Mediation. Conflict resolution and mediation are provided by the Office for Civil Rights Compliance and Prevention Education. Mediation is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of mediators: Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting mediation: Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. In the event that the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

3.11.2 The Formal Grievance Procedure

~~Visit the Faculty Forms on the provost's Faculty Affairs webpage for the grievance form.~~

If the assistance of the ~~Faculty Senate Committee on Reconciliation~~DFR is not desired or is not requested; or if ~~that committee~~ DFR determines that ~~it-they~~ cannot provide assistance in the matter; or if the grievant finds that the length of time the ~~Committee on Reconciliation~~DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of ~~that committee~~the DFR, 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. For more information, consult the Tenured, Tenure-Track, Continued Appointment, Continued Appointment-Track, and Non-Tenure-Track Instructional Faculty Grievance Form.

Step one. The grievant must meet with the immediate supervisor (usually the department head, chair, or school director) within 30 calendar days of the date that grievant knew or should have known of the event or action that is the basis for the grievance and orally identifies the grievance and the grievant's concerns. The supervisor provides an oral response to the grievant within five weekdays following the meeting. If the supervisor's response is satisfactory to the grievant, that ends the matter.

Step two. If a satisfactory resolution of the grievance is not achieved by the immediate supervisor's oral response, the grievant may submit a written statement of the grievance and the relief requested to the immediate supervisor. This statement must be on the faculty grievance form, must define the grievance and the relief requested specifically and precisely, and must be submitted to the immediate supervisor within five weekdays of the time when the grievant received the immediate supervisor's oral response to the first step meeting. Faculty grievance forms are available ~~on-at~~ the ~~provost's Faculty Forms-Faculty~~

Commented [RG26]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

[Forms page](#). Within five weekdays of receiving the written statement of the grievance, the immediate supervisor, in turn, gives the grievant a written response on the faculty grievance form, citing reasons for action taken or not taken. If the written response of the immediate supervisor is satisfactory to the grievant, that ends the matter.

Step three. If the resolution of the grievance proposed in the written response by the immediate supervisor is not acceptable, the grievant may advance the grievance to the next level of university administration by checking the appropriate place on the faculty grievance form, signing and sending the form to the next level administrator within five weekdays of receiving the written response from the immediate supervisor. The next level of administration for college faculty is usually the college dean. The administrator involved at this next level is hereafter referred to as the second-level administrator. Following receipt of the faculty grievance form, the second-level administrator, or designated representative, meets with the grievant within five weekdays. The second-level administrator may request the immediate supervisor of the grievant be present; the grievant may similarly request that a representative chosen from among the university faculty be present. Unless the grievant is represented by a member of the faculty who is also a lawyer, the second-level administrator does not have legal counsel present. The second-level administrator gives the grievant a written decision on the faculty grievance form within five weekdays after the meeting, citing reasons for the decision. If the second-level administrator's written response to the grievance is satisfactory to the grievant it ends the matter.

Step four. If the resolution of the grievance proposed in the written response from the second-level administrator is not acceptable, the grievant may advance the grievance within five weekdays to the level of the provost, including consideration by an impartial hearing panel of the Faculty Senate Review Committee.

Upon receiving the faculty grievance form requesting step four review, the provost, or appropriate designated representative, acknowledges receipt of the grievance within five weekdays and forwards a copy of the ["Procedures of the Faculty Senate Review Committee"](#) to parties in the grievance process. The provost immediately forwards a copy of the grievance to the president of the Faculty Senate, who also writes to the grievant to acknowledge receipt of the grievance within five weekdays of receipt of the faculty grievance form from the provost.

The grievant may petition the provost to bypass the Faculty Senate Review Committee and rule on the grievance. If the provost accepts the request, there is no subsequent opportunity for the grievance to be heard by a hearing panel. The provost's decision, however, may be appealed to the president, as described in step five. If the provost does not accept the petition, the Faculty Senate Review Committee hears the grievance as outlined in these procedures.

The Faculty Senate Review Committee does not normally consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

Hearing panel. A hearing panel consists of five faculty members appointed by the chair of the Faculty Senate Review Committee from among the members of the Faculty Senate Review Committee. The chair of the Faculty Senate Review Committee polls all appointees to ensure that they have no conflict of interest in the case. Both parties to the grievance may challenge one of the appointments, if they so desire, without need to state cause, and the chair of the Faculty Senate Review Committee appoints the needed replacement or replacements. Other replacements are made only for cause. The chair of the Faculty Senate Review Committee rules on issues of cause.

To ensure uniformity in practice, the chair of the Faculty Senate Review Committee or their designee serves as the non-voting chair of each hearing panel. If the chair of the Faculty Senate Review Committee has a conflict of interest concerning a case, the chair appoints a disinterested third party from among the members of the Faculty Senate Review Committee not already appointed to the hearing panel for the case to serve as chair of the hearing panel.

Hearing. After a hearing panel is appointed, the chair of the Faculty Senate Review Committee requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Faculty Senate president. If the panel feels it needs to investigate the case further, or requires more information, or desires to hear witnesses, the hearing is adjourned until the panel completes the necessary work or scheduling. The hearing is then reconvened as appropriate.

Each party to the grievance may have a representative present during the sessions of the hearing at which testimony is presented. The representative may speak on their behalf if so requested. Representatives may be legal counsel, if both parties are so represented, but if the grievant does not wish to have legal counsel at a hearing, neither party to the grievance may have legal counsel present.

These impartial panel hearings are administrative functions, not adversarial proceedings. Therefore, if legal counsels are present, they must understand that the proceedings do not follow courtroom or trial procedures and rules. Participation by legal counsel is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel.

Findings and recommendations. The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Faculty Senate president. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding disposition of the grievance and forwards copies to the provost, the grievant, and the chair of the Faculty Senate Review Committee.

Provost's action. The provost meets with the grievant within 10 weekdays after receiving the findings and recommendations of the hearing panel to discuss the case and advise the grievant about the prospects for disposition of the case. Within 10 weekdays of that meeting, the provost sends to the grievant the decision in writing concerning the disposition of the grievance. If the provost's decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel that ends the matter.

Step five. If the provost's decision is not acceptable to the grievant and not consonant with the recommendations of the hearing panel, the grievant may appeal in writing to the president within 20 calendar days. The president's decision is final.

3.11.3 Timeliness of Grievance and Procedural Compliance (see chart below)

A grievance must be brought forward in a timely manner. It is the responsibility of the grievant to initiate the grievance process within 30 calendar days of the time when the event or action should have been known and is the basis for the grievance. The university administration is not required to accept a grievance for processing if the grievant does not meet the 30-day deadline, except in cases of demonstrated good cause.

Scheduled commitments made prior to the time of filing or advancement of a grievance that preclude action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution was accepted as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the chair of the Faculty Senate Review Committee in writing, and the chair of the Faculty Senate Review Committee determines if there was good cause for the delay. If so, the grievance proceeds. If not, the process ends with the enforcement of the most recently proposed resolution. The finding on the matter by the chair of the Faculty Review Senate Committee is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations other than time limit issues, a special committee of the president of the Faculty Senate, the chair of the Faculty Senate Committee on ~~Reconciliation~~Ethics, 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.

3.11.4 Valid Issues for Grievance

For this process, a grievance is defined as a complaint by a faculty member alleging a violation, misinterpretation, or incorrect application of a policy, procedure, or practice of the university that directly affects the grievant. Some examples of valid issues for filing a grievance are: improperly or unfairly determined personnel decisions that result in an unsatisfactory annual performance evaluation; unreasonable merit adjustment or salary level; excessive teaching load/work assignments; substantive violations of promotion and tenure procedures including the appeal process (see appeal process in chapter three of this handbook “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, appeals of non-reappointment, promotion and/or tenure decisions); the contents of personnel and other 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~~[Ethics](#), 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.

3.11.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. Visit ~~the provost's Faculty Forms webpage~~[Faculty Forms](#) for the ["Agreement to Extend the Deadline for Grievance Response" form](#)~~form~~ ~~Grievance: Agreement to Extend Deadline for Response~~.

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from the assigned work location at the time the event or action is discovered and is the basis for a grievance, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

"Weekdays," as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such a time as the grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers there is a grievance about actions by an administrator above the level of immediate supervisor that directly involve the faculty member, or with actions by an administrator not in the department or school 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 an 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.

3.11.6 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 of this handbook for “The Formal Grievance Procedure”.

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

Step One

Timing	Step Number and Description
Within 30 days of the event	1a. Grievant meets with immediate department head, chair, school director, or supervisor.

Within 5 weekdays of 1a.	<p>1b. Department head, chair, or school director provides verbal response.</p> <p>1c. If department head, chair, or school director's response is satisfactory to grievant, that ends the matter.</p> <p>1d. If department head, chair, or school director's response is not satisfactory to grievant, move to step two within 5 weekdays.</p>
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Step Two

Timing	Step Number and Description
Within 5 weekdays of 1d.	2a. Grievant submits written grievance to department head, chair, or school director.
Within 5 weekdays of 2a.	<p>2b. Department head, chair, or school director responds in writing on grievance form.</p> <p>2c. If department head, chair, or school director's response is satisfactory to grievant, that ends the matter.</p> <p>2d. If department head, chair, or school director's response is not satisfactory to grievant, move to step three within 5 weekdays.</p>

Step Three

Timing	Step Number and Description
Within 5 weekdays of 2d.	3a. Grievant advances grievance form to the second-level administrator (usually dean).
Within 5 weekdays of 3a.	3b. Dean meets with grievant; dean may request department head, chair, or school director to be present.
Within 5 weekdays of 3b.	<p>3c. Dean responds in writing on grievance form.</p> <p>3d. If the dean's written response is satisfactory to grievant, that ends the matter.</p> <p>3e. If the dean's written response is not satisfactory to grievant, move to step four within 5 weekdays.</p>

Step Four

Timing	Step Number and Description
Within 5 weekdays of 3e.	4a. Grievant advances grievance form to the provost.

Within 5 weekdays of 4a.	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.
Within 5 weekdays of 4b.	4c. Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.
Within 15 weekdays of 4b.	4d. Faculty Senate Review Committee chair appoints hearing panel from among Faculty Senate Review Committee members; panel holds its initial meeting with both principals.
Within 45 weekdays of 4d.	4e. The hearing panel concludes its work and makes recommendations to the provost and grievant.
Within 10 weekdays of 4e.	4f. The provost meets with grievant.
Within 10 weekdays of 4f.	4g. The provost notifies grievant, in writing, of the decision.
	4h. If the provost's decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendation of the hearing panel, that ends the matter.
	4i. If the provost's decision is not acceptable to the grievant and not consonant with the recommendation of the hearing panel, move to step five within 20 calendar days.

Step Five

Timing	Step Number and Description
Within 20 calendar days of 4i.	5a. Grievant appeals in writing to the president. 5b. The president's decision is final.

3.12 Research Leaves for Tenured Faculty

For more information, consult ~~Information on faculty research leaves is on the Research Leaves webpage on the provost's Faculty Affairs website.~~

Study-Research Leave. Study-research leave may be granted to faculty members for research and/or advanced study necessary to enhance the competencies of those faculty members to conduct their obligations to the university.

Full-time tenured faculty members with the rank of associate professor or higher, having accrued a minimum of six years of service, are eligible for study-research leave. Requests may be submitted prior to completion of six years of service, but faculty members must have tenure and have completed the sixth year before the leave period begins.

Following a period of study-research leave, an additional six years of full-time service are necessary before a faculty member is eligible for another leave. Time spent on study-research leave, educational leave, or leave without pay is not considered in compiling minimum service requirements for further leaves.

As part of the commonwealth's educational leave program, recipients of study-research leaves are provided with partial salary (not to exceed one-half salary). Full employee benefits remain in force while faculty members are on study-research leaves. Calendar year faculty on study-research leave earn annual leave at a rate of half their usual annual leave earnings.

Instead of a proposal for leave of a full academic or calendar year, faculty members may propose a sequence of semester leave periods at half-salary over several years, not to exceed in total one academic year (for a faculty member on academic year appointment) or 12 months (for a faculty member on calendar year appointment). If such a sequence of leaves is undertaken, all intervening periods of full-time appointment at Virginia Tech accrue toward the six-year minimum service required before eligibility for another study-research leave or sequence of leaves.

Alternatively, following completion of any study-research leave, faculty members may propose a single semester of study-research leave at half-salary following three years of full-time service to the university.

Recipients of a study-research leave may receive additional compensation from other approved sources up to a total equal to their annual salary from the university. Faculty members may receive the additional half salary from sponsored grants or contracts, resulting in a one-year period at full salary from university sources; the appropriate level of effort must be expended on grant-related activities. They may also obtain additional funds from external sources to cover expenses for travel, research, administrative assistance, and the purchase of relevant materials. Documentation of all external earnings and expected payments is required and must be reviewed and approved by the department head, chair, or school director and provost. Engagement in consulting activities must be consonant with existing university policy.

The request for study-research leave is made in the fall and, if approved, is taken the following academic year. Requests for study-research leave should be submitted to the department head, chair, or school director by November 1 for processing through the college, provost, for consideration by the Board of Visitors at their spring meeting (usually

March). 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 or school's program. [Deadlines](#) ~~Deadlines~~ are established annually and available on ~~the provost's Faculty Affairs Research Leaves webpage~~ [Research Leaves](#) and on the [Important Dates calendar](#).

Changes not requiring approval by the Board of Visitors. Listed below are changes to an approved study research leave that require department or school, college and provost approval but do not require additional review by the Board of Visitors:

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

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave or repay the university the salary received plus interest. If less than this required period of service is met, repayment is required proportional to the compensation provided by the university during the leave period. The faculty member, before undertaking the leave, must sign a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and department head, chair, or school director summarizing accomplishments.

Research Assignment. [For more information, information on faculty research leaves is on the consult Research Leaves webpage on the provost's Faculty Affairs website.](#)

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, dean 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, library 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. 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 reviews and 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. [Deadlines](#) are established annually and available ~~on the provost's Faculty Affairs Research Leaves webpage at~~ [Research Leaves](#).

Changes not requiring approval by the Board of Visitors. Listed below are changes to an approved research assignment that require department or school, college and provost approval but do not require additional review by the Board of Visitors:

- Postponement of research assignment for up to 1 year;
- Change from a full year research assignment to a half-year leave (or vice versa);

- Change in the location of research assignment;
- Cancellation of the research assignment.

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave. If less than this required period of service is met, repayment is required of a proportion of the compensation provided by the university during the leave period. The faculty member, before undertaking the research assignment, must sign a memorandum of agreement to this effect.

Within 60 days of returning to full-time status, the faculty member must send a letter to the provost, dean, and department head, chair, or school director summarizing accomplishments.

3.13 Work-Life Resources for Tenure Track and Tenured Faculty

~~Consult~~ [Consult Work-Life Resources](#) on the provost's Faculty Affairs webpage including for information on dual career program, tenure clock extension, modified duties, caregiving, part-time employment, retirement transition and other university resources.

3.13.1 Dual Career

Virginia Tech recognizes that meeting the needs of today's professional couples is a key factor in recruiting and retaining new faculty, and that many prospective candidates for faculty positions have spouses or partners who are also seeking employment. Given limited funding, priority will be given to individuals with outstanding faculty credentials where the primary candidate is being recruited for a tenure-track faculty or senior administrative position. ~~Guidelines for department heads, chairs, and school directors~~ [Dual career guidelines for department heads, chairs, and school directors](#) are available ~~on the~~ [provost's Dual Career Program](#). ~~The Human Resources Dual Career Program page provides additional support for faculty spouses and partners seeking employment in the New River Valley.~~ [Consult chapter 2 of this handbook, "Dual Career Program" for additional information.](#)

3.13.2 Modified Duties

~~Consult~~ [For more information, consult the vice provost for faculty affairs memo "Faculty Support Programs for Birth or Adoption of a Child" Guidance on Paid Parental Leave and Modified Duties on the](#) [provost's Vice Provost Memos](#).

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.

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 [at on the provost's Faculty Forms page](#). The plan of proposed activities is developed in consultation with the department head, chair, or school director and the dean. The duties can be department-based, college-based, or a combination.

Subject to available funding, the ~~Office-provost's office of the Executive Vice President and Provost~~ provides an allotment to the faculty member's unit to replace teaching (or to use in other ways relevant to the modification of duties) that is lost through the granting of a term of modified duties. Additional support from departments, schools, and colleges is strongly encouraged, and should be noted in the request.

Approval of the department head, chair, school director, dean, and provost is required. If the department head, chair, or school director does not support the request, the reasons for denial are provided in writing, and the request is automatically forwarded to the dean for further review. The decision of the dean is final.

3.13.3 Voluntary Transitional Retirement Program (VTRP)

[Policy 4410, "Voluntary Transitional Retirement Program for Tenured Faculty"](#) ~~Voluntary Transitional Retirement Program~~ outlines a program to assist the university's tenured and continued appointment faculty in their transition from full-time active service to retirement and, in some cases, to facilitate their subsequent part-time re-employment to address staffing needs or to support research efforts. Consult "Retirement Transition" ~~on the provost's Faculty Affairs at Work-Life Resources~~.

CHAPTER FOUR: UNIVERSITY 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 Continued Appointment or Continued Appointment-Track

The policies applicable to faculty members with continued appointment or on the continued appointment-track are covered in this chapter of the faculty handbook. Policies are in chapter seven of this handbook for University Libraries faculty who are not on the continued appointment track or on a continued appointment.

~~Consult For more information, consult University Libraries employment website University Libraries eEmployment for information.~~

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.

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 the 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 the college faculty may be tenured or on the tenure-track. 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.

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 for [promotion and continued appointment](#), to instill the highest professional standards in the University Libraries faculty. These procedures are contained in Procedures on Promotion and Continued Appointment in University Libraries.

Information on promotion and continued appointment is available ~~on the provost's Promotion and Tenure webpage~~. The University Promotion and Continued Appointment Committee reviews and makes recommendations to the ~~executive vice president and provost~~ (provost).

The University Promotion and Continued Appointment Committee is comprised of representatives from the libraries and colleges who serve in staggered terms. The schedule of these appointments can be found on the provost's Promotion & Tenure page.

4.2 Faculty Ranks for Continued Appointment Track and Continued Appointment

Ranks: assistant professor, associate professor, professor

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.

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 of continued appointment 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 of this handbook, "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. [For more information, consult ~~Information on Faculty Qualifications for Teaching~~is on the provost's Faculty Affairs.](#)

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.

4.3 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. Final approval rests with the Board of Visitors.

The dean forwards to the provost and president for their consideration and decision: the candidate's application package, including cover letter, curriculum vitae, and at least two letters of reference which address the appointment of rank and continued appointment; documentation of the library Promotion and Continued Appointment committee's approval of rank and continued appointment and concurrence of the dean with as much supporting evidence as deemed appropriate; and a brief overview of the search itself including how many candidates applied, were interviewed, and what is the compelling case for the candidate.

In general, faculty recruited from a comparable university should be recommended for a position at Virginia Tech at a similar level to continued appointment. If the recommended appointment involves a promotion or the initial awarding of a continued appointment, the case must be strongly justified. If an individual is coming from a university with a less extensive research mission, the case must be strongly justified.

4.3.1 Temporary, Part-Time, Continued Appointment and Continued Appointment-Track

Part-time continued appointment and continued appointment-track appointments are either term or permanent. Term part-time appointments are in increments from one semester up to two years. During the duration of a part-time term appointment, terms of the appointment are only changed via the agreement of all parties. A term agreement must specify the date on which the faculty member is expected to return to full-time status. Renewal of a term appointment should be negotiated no less than three months before the end of the current term so that the department can plan accordingly. For term part-

time appointments, departments can use the salary savings to replace the work of the faculty member on the part-time appointment.

Only the faculty member may initiate a request for conversion from full-time to part-time appointment. The reasons for the request for a change in the percentage of the appointment should be clearly stated. The appropriate supervisor should make a careful assessment of the needs of the department and works with the faculty member requesting a part-time appointment to facilitate the request whenever possible. The period for which this part-time appointment is granted shall be clearly stated (renewable terms from one semester up to two years, or permanent). The written agreement should include a careful and thorough statement of work expectations for the part-time appointment. Generally, faculty members continue to contribute to all areas of responsibility, but with reduced expectations for accomplishment proportional to the fractional appointment. Service responsibilities for faculty members on part-time appointments are proportional to their appointments. Faculty members on part-time appointments are not excused from 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.

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.

4.3.2 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 Reappointment, Promotion and/or Continued Appointment

Faculty members should contact the department head or supervisor for guidance on department and University Libraries expectations for promotion and continued appointment. For more information, consult the University Libraries [procedures for promotion and continued appointment](#) webpage. ~~or In addition, consult the provost's "Promotion and Tenure" webpage.~~

The university is committed to academic freedom. Virginia Tech 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).

Eligibility. 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.

4.4.1 Probationary Period and Progress Reviews (pre-continued appointment).

The term "probationary period" 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.

Evaluations of University Libraries faculty during the probationary period are of two sorts: (1) annual evaluation of all library faculty by their supervisors and (2) reappointment review by the Library Promotion and Continued Appointment (L-P&CA) Committee in the candidate's second and fourth year, in which the committee makes a recommendation to the dean of university libraries.

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 (CY) or academic year (AY) 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 faculty 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 of this handbook "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 of this handbook "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 an accredited American four-year college or university may be credited toward the six-year probationary period, as specified in chapter four of this handbook "Guidelines for the Calculation of Prior Service."

A faculty member on probationary appointment who wishes to request a leave of absence consults with the dean about the effect of the leave on the probationary period, considering the professional development that the leave promises. The request for leave addresses this matter and the provost's approval of the leave request specifies whether the leave is to be included in the probationary period.

4.4.1.1 Guidelines for the Calculation of Credit for Prior Faculty Service

For more information, consult the Request for Credit for Prior Service Toward Probationary Period form. Consult "Request for Credit for Prior Service Toward Probationary Period" on the Faculty Affairs Forms webpage on provost's website.

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 appointee is given clear notice of when their appointment 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. ~~A Request for Prior Credit form is available on the Faculty Affairs Faculty Forms webpage.~~

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.

4.4.1.2 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 by 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 of this handbook "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 of this handbook, "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.

4.4.2 Guidelines and Evaluation for Promotion and Continued Appointment

~~Faculty members should contact the department head or supervisor for guidance on~~ Consult University Libraries Employment for more information on "Procedures on

~~Promotion and Continued Appointment” is on the libraries website, and as well as on the provost’s Promotion and Tenure webpage~~[Promotion and Tenure](#).

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 faculty members in the colleges): first by the University Libraries promotion and continued appointment committee and dean of University Libraries, and second by the University Promotion and Continued Appointment Committee and the provost.

Although some participants in the review process may serve at more than one level, participants may only vote once on a case. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Because the job descriptions and responsibilities of the candidates being considered do not conform to a single pattern or norm, it is not possible to set forth a statement of criteria with reference to which all recommendations for promotion or continued appointment must be made. Nevertheless, members of the general faculty seeking continued appointment or promotion in faculty rank are generally expected to have records of outstanding accomplishment in an appropriate combination of the following categories:

Professional responsibilities: Fulfilling the responsibilities of the position within the organizational unit by effective staff work, display of leadership, and a high degree of initiative.

Research and scholarly activities: Publishing in journals, presenting papers at professional meetings, developing other works of creative scholarship, organizing or chairing sessions at professional meetings, and fulfilling instructional responsibilities or graduate student advising.

University activities: Participating in the conduct of the activities of the administrative unit and the university. Such service takes innumerable forms, including serving on committees or in faculty governance positions, or participating in seminars or conferences.

External activities: Participating in local, state, regional, and national professional associations. Such participation includes activities such as holding office, serving on committees, conducting workshops, serving on panels, and attending conferences, conventions, or meetings.

Awards and honors: Receiving awards, grants, and honorary titles or being selected for membership in honorary societies.

Activities and accomplishments in other appropriate areas, beyond these five, may be included in dossiers and are considered.

University Libraries faculty are expected to develop within this framework the performance criteria that are most relevant to the responsibilities of those units. These criteria serve both as an aid to faculty development and as a set of measures that the University Promotion and Continued Appointment Committee may apply.

The criteria by which faculty with part-time appointments are evaluated for continued appointment is the same as the criteria by which full-time faculty are evaluated. Promotion and continued appointment committees consider years of full-time equivalent service when reaching decisions, excluding any approved probationary period extensions granted under the extending the tenure or continued appointment clock policy.

Besides consideration of specific professional criteria, evaluation for promotion or continued appointment should consider the candidate's integrity, professional conduct, and ethics. To the extent that such considerations are significant factors in reaching a negative recommendation, they should be documented as part of the formal review process.

4.4.3 Evaluation for Promotion and/or Continued Appointment by University Libraries Promotion and Continued Appointment Committee (Review Committee)

The University Libraries has a committee with appropriate faculty representation to evaluate candidates for promotion and/or continued appointment. [Consult University Libraries Employment for more information on "Procedures on Promotion and Continued Appointment".](#) ~~University Libraries Faculty Promotion and Continued Appointment information.~~

The University Libraries review 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. The review 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.

Rules governing eligibility and selection of members to serve on the 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 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.

4.4.5 The University-level Committee Evaluation for Promotion and Continued Appointment

The University Promotion and Continued Appointment Committee (university-level committee) is appointed and chaired by the provost or the provost's designee. The university-level committee reviews the qualifications of the candidates recommended for promotion and/or continued appointment by the dean of University Libraries. It also reviews those cases in which the dean does not concur with positive recommendations of the library promotion and continued appointment (review committee's). (A university-level committee review of a case with differing recommendations by the library dean and the review committee is automatic and does not require an appeal.) The purpose of the review is to verify that the recommendations are consistent with the evidence, reflecting university standards, and that they are consistent with university objectives, programmatic plans, and budgetary constraints.

The university-level committee makes a recommendation on each candidate to the provost. The provost makes recommendations to the president, informing the university-level committee of those recommendations, including the basis for any non-concurrence with the university-level committee's recommendations. The provost informs the president of any variation between the provost's recommendations and those of the university-level committee.

The president makes recommendations to the Board of Visitors. The Board of Visitors makes the final decision.

The provost notifies the dean of any negative decision reached by the provost, the president, or the Board of Visitors. The dean notifies the faculty member, in writing, and notes appeal options.

The University Promotion and Continued Appointment Committee (university-level committee) consists of the dean of the University Libraries; three University Library faculty members with continued appointment; and two faculty members at the associate or professor level with tenure in one of the colleges. The provost asks for nominations to the university-level committee from the University Libraries faculty. Where possible, some significant element of faculty choice should be part of the selection procedure.

All members of the university-level committee hold voting privileges. Regardless of the size of the committee, the faculty must always have at least a majority of the potential votes. Consistent with the principle that participants at all levels of the promotion and continued appointment review process vote only once on an individual case, the dean does not vote on cases from the University Libraries. Similarly, faculty members serving on the university-level committee do not vote on any case they previously voted on, should this circumstance occur.

Members of the university-level committee with continued appointment in the University Libraries hold staggered terms of three years; university-level committee members with tenure in a college hold staggered terms of two years; the provost makes the committee appointments. The provost or designee chairs the committee but does not vote.

All voting within the committee should be by written secret ballot; the division of any ballot must remain confidential.

4.4.6 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 of this handbook, "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.

4.4.7 Promotion Consideration and Decision

There is no specification for minimum or maximum time of service in any rank. A faculty member may request at any time consideration for promotion in rank if the library promotion and continued appointment committee (review committee) has not chosen to undertake such an evaluation.

However, appeal of a negative promotion decision is provided only if the faculty member has been in rank for at least six years and if the faculty member has formally requested, in writing, consideration for promotion in a previous year. Candidates for promotion who have been denied by both the review committee and the dean of University Libraries may appeal to the provost, who asks the University-level Promotion and Continued Appointment Committee to consider the appeal. The faculty member presents the appeal in writing as specified in chapter four of this handbook, "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.

4.4.8 Review of Progress Toward Promotion to Professor

Faculty awarded continued appointment at the rank of assistant or associate professor are required to go through at least one review of progress toward promotion. The review is required for faculty members promoted and awarded continued appointment during 2019-2020 and thereafter.

This review will take place by the fifth year after continued appointment, or the last promotion was awarded. The faculty member can elect to submit a review prior to the fifth-year deadline; otherwise by the fifth year the faculty member will receive a notice to submit a review. All reviews of progress towards promotion will be conducted by the library promotion and continued appointment committee (review committee). The review committee will provide a recommendation letter to the candidate prior to the next promotion and continued appointment review cycle.

Candidates undergoing a review of progress towards promotion will submit to the library promotion and continued appointment committee (review committee) documentation

based on [University Libraries policies](#) highlighting the contributions and service since continued appointment or the last promotion was awarded. The review committee will provide feedback focusing on the faculty member's progress toward promotion. The developmental guidance should focus on recommended future activities and plans that will position the faculty member for promotion. Review committee recommendation letters will be in writing; the faculty member will acknowledge receipt by signing and returning a copy of the letter to the personnel officer for departmental file. In addition, the faculty member may request a meeting with the review committee to discuss the review and recommendations. Individual faculty members are also encouraged to seek guidance and mentoring from senior colleagues and/or supervisor(s).

4.4.9 Appeals of Decisions on Reappointment, Continued Appointment, or Promotion

A faculty member who is notified of a negative decision following evaluation for a term reappointment during the probationary period, for continued appointment, or for promotion may appeal for review of the decision under conditions and procedures specified in this section. The appellant has a right to an explanation of the reasons contributing to the denial.

Such an appeal must be filed, in writing, within 14 calendar days of formal notification of the decision, which shall refer to appeal procedures. The appeal can only be based on the grounds that certain relevant information was not provided or considered in the decision, or that the decision was influenced by improper consideration.

In their recommendations, administrators and committees hearing an appeal should address the standards outlined in the previous paragraph. In particular, they shall not substitute their own judgment on the merits for that of the body or individual that made the decision under appeal. The recommendations should address the allegations in the appeal with specificity and cite appropriate evidence.

Appeals should be resolved as quickly as possible without compromising fairness or thoroughness of review. Whenever possible, the goal should be to achieve a final resolution in time to accommodate the first meeting of the Board of Visitors in the fall semester.

A faculty member who believes that the appeal procedures described in this section have been improperly followed may, at any point, seek advice from the [Faculty Senate Committee on Reconciliation](#) [Director of Faculty Reconciliation](#) and/or file a grievance in accordance with the grievance procedure in chapter four of this handbook, "Faculty Grievance Policy and Procedures."

4.5 Annual Evaluation and Post-Continued Appointment Review

4.5.1 Annual Evaluation and Salary Adjustments

The Board of Visitors delegates the authority to the president or the president's designee for selected faculty appointments and compensation actions as outlined in the Amended Delegation of Authority for Selected Personnel Actions dated June 11, 2024.

The Board of Visitors annually approves a faculty compensation plan, including the authorization of an annual merit process guided by the university's Faculty Handbook and processes provided by the commonwealth. 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.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the department head or supervisor 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.

Annual Faculty Activity Report (FAR). 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 head, supervisor, or administrative unit, as appropriate. Submission of a faculty activity report (FAR) may be required for consideration for a merit adjustment.

Virginia Tech uses an electronic faculty activity data system to collect and manage information about research and scholarship, creative works, teaching, Extension, outreach, and service activities. This system automates the production of annual faculty activity reports, promotion and continued appointment dossiers, and CVs, as well as department or other administrative unit and university level reports. The system also enables deposit and claiming of scholarly works in the [VTechWorks](#) institutional repository and will feed public web profiles using [VT Experts](#). Training for faculty is available through Virginia Tech's [Professional Development Network](#) and for departments on request. Faculty members should consult with their department or supervisor on the use of electronic faculty activity reporting.

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 University Libraries 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.

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.

4.5.2 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 ~~periodic evaluations~~reviews every five years. If the review cannot be conducted in the fifth year as would usually be the case, the provost informs the dean or vice president and any relevant college or unit constituents (such as the unit leadership team and/or college faculty association), as appropriate, with~~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 teaching and research (T&R) faculty in the University Libraries~~continued appointment faculty~~. In the semester prior to a periodic ~~review~~evaluation, the dean and any relevant college or unit constituents (such as the unit leadership team and/or the faculty association) will be notified of the review and those constituent groups may request~~the association may schedule~~ a meeting with the provost to discuss the upcoming review.

Commented [RG27]: Updated for consistency with changes made to Policy 6105.

Policy 6100, "Department Head, Chair or School Director Appointment and Review," outlines the review process for department heads or their equivalent 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 University Libraries for those serving in 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.

4.5.3 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 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.

4.5.5 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 of this handbook, "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. [For more information, consult Information is located on the University Libraries eEmployment webpage.](#) 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 of this handbook "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 of this handbook, "Dismissal for Cause," begin immediately.

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 of this handbook, "Professional Responsibilities and Conduct"); incompetence as determined through post-continued appointment review; willful failure to carry out professional obligations or assigned responsibilities; willful violation of university and/or government policies; falsification of information relating to professional qualifications; inability to perform assigned duties satisfactorily because of incarceration; or personal deficiencies that prevent the satisfactory performance of responsibilities (e.g., dependence on drugs or alcohol).

Reason to consider the imposition of a severe sanction or dismissal for cause is usually determined by a thorough and careful investigation by an appropriately charged faculty committee (as in the case of allegations of ethical or scholarly misconduct, or through a post-continued appointment review) or by the relevant administrator (for example, the dean, compliance and conflict resolution officer, internal auditor, or Virginia Tech Police). Generally, these investigations result in a report of findings; some reports also include a recommendation for sanctions. The report is directed to the relevant administrator for action; it is also shared with the faculty member. Imposition of a severe sanction or

initiation of dismissal for cause proceedings, if warranted, follows the procedures set forth below.

4.6.2 Imposition of a Severe Sanction

Definition and examples. A severe sanction generally involves a significant loss or penalty to a faculty member such as, but not limited to, a demotion in rank and/or a reduction in salary or suspension without pay for a period not to exceed one year, imposed for unacceptable conduct and/or a serious breach of university policy.

Routine personnel actions such as a recommendation for a below average or no merit increase, conversion from a calendar year to an academic year appointment, reassignment, or removal of an administrative stipend do not constitute “sanctions” within the meaning of this policy. A personnel action such as these may be a valid issue for grievance under procedures defined in the Faculty Handbook.

Process for Imposing a Severe Sanction. The conduct of a faculty member, although not constituting adequate cause for dismissal, may be sufficiently grave to justify imposition of a severe sanction. Imposition of a severe sanction follows the same procedures as dismissal for cause beginning with step one. If the matter is not resolved at the first step, a standing or ad hoc faculty committee conducts an informal inquiry (step two). The requirement for such an informal inquiry is satisfied if the investigation was conducted by an appropriately charged faculty committee (as would be the case with an alleged violation of the ethics or scholarly misconduct policies) and, having determined that in its opinion there is adequate cause for imposing a severe sanction, refers the matter to the administration.

4.6.3 Dismissal for Cause

The following procedures apply to faculty members with continued appointment, or for dismissal of a continued appointment-track faculty member before the end of the current appointment.

Dismissal is preceded by:

Step one: Discussions between the faculty member, dean, and/or provost, looking toward a mutual settlement.

Step two: Informal inquiry by a standing (or, if necessary, ad hoc) faculty committee having concern for personnel matters. This committee attempts to affect an adjustment and, failing to do so, determines whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the president’s decision whether to proceed.

Step three: The furnishing by the president (in what follows, the president may delegate the provost to serve instead) of a statement of particular charges, in consultation with the dean. The statement of charges is included in a letter to the faculty member indicating the intention to dismiss, with notification of the right to a formal hearing. The faculty member

is given a specified reasonable time limit to request a hearing, that time limit is no less than 10 days.

Procedures for conducting a formal hearing, if requested: If a hearing committee is to be established, the president asks the Faculty Senate, through its president, to nominate nine faculty members to serve on the hearing committee. These faculty members should be nominated on the basis of their objectivity, competence, and regard in which they are held in the academic community. They must have no bias or untoward interest in the case and are available at the anticipated time of hearing. The faculty member and the president each have a maximum of two challenges from among the nominees without stated cause. The president then names a five-member hearing committee from the remaining names on the nominated slate. The hearing committee elects its chair.

Pending a final decision on the dismissal, the faculty member is suspended only if immediate harm to him or herself or to others is threatened by continuance. If the president believes such suspension is warranted, consultation takes place with the Faculty Senate Committee on

Reconciliation concerning the propriety, the length, and other conditions of the suspension. Ordinarily, salary continues during such a period of suspension.

The hearing committee may hold joint pre-hearing meetings with both parties to simplify the issues, effect stipulations of facts, provide for the exchange of documentary or other information, and achieve such other appropriate pre-hearing objectives as will make the hearing fair and expeditious.

Notice of hearing of at least 20 days is made in writing. The faculty member may waive appearance at the hearing, instead responding to the charges in writing or otherwise denying the charges or asserting that the charges do not support a finding of adequate cause. In such a case, the hearing committee evaluates all available evidence and rests its recommendation on the evidence in the record.

The committee, in consultation with the president and the faculty member, exercises its judgment as to whether the hearing is public or private. During the proceedings, the faculty member is permitted to have an academic advisor and legal counsel. At the request of either party or on the initiative of the hearing committee, a representative of an appropriate educational association is permitted to attend the hearing as an observer.

A verbatim record of the hearing is taken.

The burden of proof that adequate cause exists rests with the university.

The hearing committee grants adjournment to enable either party to investigate evidence about which a valid claim of surprise is made. The faculty member is afforded an opportunity to obtain necessary witnesses and documentary or other evidence. The administration cooperates with the hearing committee in securing witnesses and

evidence. The faculty member and administration have the right to confront and cross-examine all witnesses. The committee determines the admissibility of statements of unavailable witnesses and, if possible, provides for interrogatories.

The hearing committee is not bound by strict rules of legal evidence and may admit any evidence that is of probative value in determining the issues involved. Every effort is made to obtain the most reliable evidence available.

The findings of fact and the recommendation are based solely on the hearing record. The university president and the faculty member are notified of the recommendation in writing and are given a written copy of the record of the hearing.

If the hearing committee concludes that adequate cause for dismissal has not been established, it so reports to the university president. In such a case, the committee may recommend sanctions short of outright dismissal or may recommend no sanctions. If the university president rejects the recommendation, the hearing committee and the faculty member are so informed in writing, with reasons, and each is given an opportunity for response.

Appeal to the Board of Visitors. If the university president decides to impose dismissal or other severe sanction, whether that is the recommendation of the hearing committee, the faculty member may request that the full record of the case be submitted to the Board of Visitors (or a duly constituted committee of the board). The board's review is based on the record of the committee hearing, and it provides opportunity for argument, written or oral or both, by the principals at the hearing or their representatives. If the recommendation of the hearing committee is not sustained, the proceeding returns to the hearing committee with specific objections. The hearing committee then reconsiders, taking into account the stated objections and receiving new evidence if necessary. The board makes a final decision only after studying the hearing committee's reconsideration.

Notice of Dismissal. In cases where gross misconduct is decided, dismissal is usually immediate. The standard for gross misconduct is behavior so egregious that it evokes condemnation by the academic community generally and is so utterly blameworthy as to make it inappropriate to offer additional notice or severance pay. The first faculty committee that considers the case determines gross misconduct. In cases not involving gross misconduct: (a) a faculty member with continued appointment receives up to one year of salary or notice, and (b) a probationary faculty member receives up to three months' salary or notice. These terms of dismissal begin at the date of final notification of dismissal.

4.7 Faculty Grievance Policy and Procedures

The following procedure is provided as the means for resolution of grievances against a supervisor or member(s) of the university administration brought by members of the University Libraries faculty with continued appointment or on the continued appointment-track. ~~The Faculty Senate Review Committee~~The Faculty Senate Review Committee conducts the step four hearing if requested.

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 university community member may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The Ombuds listen and explore options for addressing and resolving concerns or complaints. The Ombuds Office has no authority to make or reverse any decision made or actions taken by university authorities. It supplements, but does not replace, the university's existing conflict resolution resources and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Office will not accept legal notice on behalf of the university, and information provided to it does not constitute such notice. However, if someone wishes to make the university formally aware of a particular problem, the Office can provide instructions on how to do so. The only exception to this pledge of confidentiality is when the 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 and does not keep permanent records of confidential communications.

~~University Ombuds. Any member of the university community may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE) 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.~~

Commented [RG28]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

Faculty Reconciliation. At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Contacting the DFR 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, the grievant must contact the DFR 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 grievance process. If the grievant requests assistance from the DFR, they request a postponement of the time limits involved in the formal grievance procedure while they deal with the case. The request is submitted in writing to the vice provost for faculty affairs and the vice president of the faculty senate by the DFR. In addition, the grievant should reach an understanding with the DFR of the time frame planned for working on the case, with such time not to exceed 60 calendar days.

Faculty members may also consult the DFR about serious disagreements with colleagues, immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the DFR 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 provost. **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. Contact Faculty Affairs in the provost's office for information on Reconciliation. Contact Faculty Affairs in the provost's office for information on Reconciliation.

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 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

Commented [RG29]: Revisions made through governance, will be brought to BOV for approval in June (CFA 2024-25H)

~~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 provost. Information on the Faculty Senate Committee on Reconciliation is on the Faculty Senate website.~~

Mediation and Other Conflict Resolution Services: The Office for Civil Rights Compliance and Prevention Education (OCRCPE) offers a range of conflict resolution services, including conflict coaching, mediation, and group facilitations. In general, OCRCPE's conflict resolution services are available in matters related to the office's work to maintain working environments free from discrimination.

Mediation is a voluntary process through which one or more trained facilitators assist employees in expressing concerns and developing solutions to a conflict in a structured environment. Mediation differs from faculty reconciliation in that mediation facilitators do not conduct fact-finding or evaluate decisions. Mediation may be available prior to or after filing a grievance. Any party to a grievance process may request mediation prior to step three of the process. If both parties voluntarily agree to try mediation and the university, usually through the OCRCPE, appoints a facilitator, then the grievance is placed on administrative hold until the mediation process is complete. If a resolution is reached through mediation, then the parties are responsible to each other for ensuring that the provisions of the resolution agreement are followed. If any party withdraws from mediation or the facilitator terminates the process without agreement, then the grievant may request that the grievance be reactivated and the process continues.

A/P faculty members and supervisors are encouraged to consider using conflict resolution services like mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

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 the Office for Civil Rights Compliance and Prevention EducationOffice for Civil Rights Compliance and Prevention EducationOffice for Equity and Accessibility. 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

Commented [RG30]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting Mediation. Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from reconciliation in that mediators do not engage in fact-finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

4.7.2 The Formal Grievance Procedure

If the assistance of the DFR is not desired or is not requested; or if the DFR determines that they cannot provide assistance in the matter; or if the grievant finds that the length of time the DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of the DFR, 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. For more information, consult the Tenured, Tenure-Track, Continued Appointment, Continued Appointment-Track, and Non-Tenure-Track Instructional Faculty Grievance Form.

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. A grievance form is available on the Faculty For more information, consult the Tenured, Tenure Track, Continued Appointment, Continued Appointment Track, and Non-Tenure Track Instructional Faculty Grievance Form. Affairs Faculty Forms webpage.

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

Commented [RG31]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

Commented [RG32]: Updated for consistency with changes to made to other section through governance process (CFA 2024-25H) . See Section 3.11.2 for detailed changes. Will be brought to BOV meeting in June for approval.

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~~ [at Faculty Forms](#).

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 Director of Faculty~~ 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 of this handbook, "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, appeals of non-reappointment, promotion and/or tenure/continued appointment decisions); the contents of personnel and other 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 ~~Director of Faculty chair of the Faculty Senate Committee on~~ Reconciliation, and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

4.7.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. [Visit Faculty Forms for the “Agreement to Extend the Deadline for Grievance Response” form.](#) ~~(An agreement ble on the provost’s Faculty Forms page.)~~

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from the assigned work location at the time of discovery the event or action is the basis for a grievance, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the

grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg, and he or she is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers he or she has a grievance about actions by an administrator above the level of the immediate supervisor that directly involve the faculty member, or with actions by an administrator not in the department or unit that directly involve the faculty member, the grievant initiates the grievance process by seeking the intervention of the immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in the usual fashion.

A grievance filed by a faculty member concerning an action of the provost is managed by the chair of the Faculty Senate Review Committee and a 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 of this handbook "The Formal Grievance Procedure," for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an

agreement. [Visit Faculty Forms for the “Agreement to Extend the Deadline for Grievance Response” form.](#) (An agreement -)

Step One

Timing	Step Number and Description
Within 30 days of event	1a. Grievant meets with immediate supervisor.
Within 5 weekdays	1b. Supervisor provides verbal response. 1c. If the supervisor’s response is satisfactory to the grievant, that ends the matter. 1d. If supervisor’s response is not satisfactory to grievant, move to step two within 5 weekdays.

Step Two

Timing	Step Number and Description
Within 5 weekdays	2a. Grievant submits written grievance to immediate supervisor.
Within 5 weekdays	2b. Supervisor responds in writing on grievance form. 2c. If the supervisor’s response is satisfactory to the grievant, that ends the matter. 2d. If the supervisor’s response is not satisfactory to the grievant, move to step three within 5 weekdays.

Step Three

Timing	Step Number and Description
Within 5 weekdays	3a. Grievant advances grievance form to the second-level administrator (usually dean of University Libraries).
Within 5 weekdays	3b. Dean meets with grievant; dean may request department to be present.
Within 5 weekdays	3c. Dean responds in writing on grievance form. 3d. If the dean’s written response is satisfactory to the grievant, that ends the matter. 3e. If the dean’s written response is not satisfactory to the grievant, move to step four within 5 weekdays.

Step Four

Timing	Step Number and Description
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Within 5 weekdays	4a. Grievant advances grievance form to the provost.
Within 5 weekdays	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.
Within 5 weekdays	4c. Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.
Within 15 weekdays	4d. Faculty Senate Review Committee chair appoints hearing panel from among Faculty Senate Review Committee members; panel holds its initial meeting with both principals.
Within 45 weekdays	4e. The hearing panel concludes its work and makes recommendations to the provost and the grievant.
Within 10 weekdays	4f. Provost meets with grievant.
Within 10 weekdays	4g. The provost notifies the grievant in writing of the decision. 4h. If the provost's decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if it is satisfactory to the grievant even if it differs from the recommendation of the hearing panel that ends the matter. 4i. If the provost's decision is not acceptable to the grievant and not consonant with the recommendation of the hearing panel, move to step five within 20 calendar days.

Step Five

Timing	Description
Within 20 calendar days	5a. Grievant appeals in writing to university president. 5b. The university president's decision is final.

4.8 Research Leaves

For more information, consult ~~Information on faculty research leaves is on the Research Leaves webpage on the provost's Faculty Affairs website.~~

Study-Research Leave. Study-research leave may be granted to faculty members for research and/or advanced study necessary to enhance the competencies of those faculty members to conduct their obligations to the university. ~~(At other universities, this program~~

~~is often called “sabbatical.”) [Research leave request form is available on the provost's webpage.](#)~~

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. Requests may be submitted prior to completion of six years of service, but faculty members must have continued appointment and have completed the sixth year before the leave period begins.

Following such a 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 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 University Libraries, provost, and consideration by the Board of Visitors at their spring (usually March). 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. [Deadlines](#) are established annually and available ~~on the provost's Faculty Affairs Research Leaves webpage at~~ [Research Leaves](#).

Changes not requiring approval by the Board of Visitors. Listed below are changes to an approved study research leave that require department or school, college and provost approval but do not require additional review by the Board of Visitors:

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

The faculty member 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.

Research Assignment. ~~For more information, consult Information on faculty research leaves is on the~~ [Research Leaves webpage on the provost's Faculty Affairs website](#).

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.

Full-time faculty members holding continued appointment with the rank of assistant associate professor or higher and having accrued a minimum of six years of service, are eligible for research assignment. 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. Documentation of all external earnings and expected payments is required and must be reviewed and approved by the department head, supervisor, dean, 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 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 department head or supervisor by November 1 of the academic year preceding that in which the research assignment will be made. 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 department head or supervisor reviews the application and forwards it with a recommendation to the dean by mid-November 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 dean reviews and forwards research assignment requests to the provost by mid-December. The provost reviews the recommendations, communicates with the dean, and announces the results to each candidate following approval by the Board of Visitors. [Deadlines](#) are established annually and available ~~on the provost's Faculty Affairs Research Leaves webpage at~~ [Research Leaves](#).

Changes not requiring approval by the Board of Visitors. Listed below are changes to an approved research assignment that require department or school, college and provost approval but do not require additional review by the Board of Visitors:

- Postponement of research assignment for up to 1 year;
- Change from a full year research assignment to a half-year leave (or vice versa);

- Change in the location of research assignment;
- Cancellation of the research assignment.

The faculty member must return to full-time service with the university for a minimum of at least one academic year at the end of the approved leave. If less than this required period of service is met, repayment is required of 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.

4.40-9 Work-Life Resources for Continued Appointment Track and Continued Appointment Faculty

Consult Work-Life Resources for information on dual career program, tenure clock extension, modified duties, caregiving, part-time employment, retirement transition and other university resources.

4.409.1 Dual Career

Virginia Tech recognizes that meeting the needs of today's professional couples is a key factor in recruiting and retaining new faculty, and that many prospective candidates for faculty positions have spouses or partners who are also seeking employment. Given limited funding, priority will be given to individuals with outstanding faculty credentials where the primary candidate is being recruited for a tenure-track faculty or senior administrative position. Dual career guidelines for department heads, chairs, and school directors are available at Dual Career Program. Consult chapter 2 of this handbook, "Dual Career Program" for additional information.

~~The Human Resources Dual Career Program page provides additional support for faculty spouses and partners seeking employment in the New River Valley.~~

4.409.2 Modified Duties

For more information, consult the vice provost for faculty affairs memo "Faculty Support Programs for Birth or Adoption of a Child" at Vice Provost Memos.

Consult Guidance on Paid Parental Leave and Modified Duties on the provost's Faculty Affairs Work-Life Resources webpage. The modified duties program recognizes the need for tenured and tenure track faculty members with special family circumstances to construct a modified workload and flexible schedule for a defined period of time. The faculty member works with the department head, chair, or school director on a modified schedule usually for one semester. In some cases, the Provost's Office may provide funding to allow the buyout of a faculty member's teaching to facilitate the modified schedule.

4.109.3 ~~Tenure Clock Extension~~ Extension of the Probationary Period

For more information, consult ~~the~~ ["Tenure Clock Extension" section of the Provost's Faculty Affairs Work-Life Resources](#). A one-year probationary period extension shall be automatically granted to either parent (or both, if both parents are tenure-track or continued appointment-track faculty members). 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. The request should be made within a year of the child's arrival in the family. A probationary period extension is granted in one-year increments.

4.109.4 Voluntary Transitional Retirement Program (VTRP)

[Policy 4410, "Voluntary Transitional Retirement Program for Tenured Faculty"](#) outlines a program to assist the university's tenured and continued appointment faculty in their transition from full-time active service to retirement and, in some cases, to facilitate their subsequent part-time re-employment to address staffing needs or to support research efforts. Consult ["Retirement Transition"](#) at [Work-Life Resources](#).

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, school, 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 an 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.

Commented [RG33]: Moved to 2.2.1.2 for consistency and clarity

Authority for use of non-tenure-track positions. Academic departments and schools retain the authority and responsibility to decide whether to employ non-tenure-track faculty members to deliver aspects of their instructional program. An appropriate standing departmental or school committee, such as a promotion and tenure or executive/personnel committee, establishes the policies and practices related to the use of non-tenure-track ranks. The department head, chair, or school director and dean review and approve the policies and practices.

Graduate or Professional Degree Required. 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 of this handbook “Faculty Search Processes” and the [Human Resources Faculty Recruiting Guidelines](#).)

Teaching Qualifications. Non-tenure-track faculty must present credentials appropriate to the level of the course they are teaching. It is the responsibility of the department or school to verify documentation of appropriate teaching credentials prior to the start of the course. (~~For more information, consult Faculty Qualifications for Teaching~~~~See Faculty Qualifications for Teaching page~~). Any appointment without the relevant terminal degree in the field must be certified by the department or school as appropriately credentialed for the faculty member’s particular instructional assignment in accordance with guidelines for regional accreditation and university policy and procedures.

Not Eligible for Tenure. Tenure cannot be awarded to individuals with non-tenure-track appointments.

Wage Employees. Non-tenure-track faculty can be employed as wage employees using the university’s P14 form found ~~on the~~ [Adjunct Faculty \(P14\)](#). The titles in these series may be used for wage faculty appointments if appropriate for the assignment and credentials of the individuals.

Full or part-time employment. The non-tenure-track faculty tracks provide for short- or long-term, full or part-time appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty.

Participation in 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 or school graduate program, department head, chair, or school director and graduate school. A terminal degree, active involvement in research, and approval by the department or school and the graduate school is required to chair a graduate committee. Instructors may not chair a graduate committee.

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 head, chair, school director, the dean, and the Office of Research and Innovation. A written request for authorization (PI Status Request) may be submitted by the department or school with the approval of the dean to the Office of Research and Innovation.

Participation in Department, School, University Service and Governance. Salaried non-tenure-track instructional faculty members are eligible to participate in departmental, school, college, and university committees as appropriate for their assignments. Non-tenure-track faculty members should have meaningful engagement in program planning at the department or school 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 or school faculty in accordance with the policy set by individual departmental or school governance.

5.1 Non-Tenure-Track Instructional Faculty Series

5.1.1 Visiting Professor Faculty

Appointment to ~~the rank of visiting~~ **assistant, associate, or professor** ~~faculty positions~~ is for a restricted period to conduct learning, discovery, and engagement responsibilities within an academic department or school. A visiting faculty member may not serve in such a position beyond six years.

Service. 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 Faculty

Appointment to ~~the rank of~~ adjunct ~~assistant, associate, or professor~~ faculty positions is reserved for persons whose primary employment is with another agency, organization, educational institution, or with a non-instructional unit of the university. Appointments may be renewed annually.

Adjunct professors are usually compensated as wage employees using the university's P14 form found ~~on the~~ Adjunct Faculty (P14).

Commented [RG34]: Resolution for these changes is going to BOV June Meeting (CFA 2024-25J)

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 or school 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

For disciplines where professional preparation of students is a major goal, the involvement of experienced practitioners in teaching the skills and values of the profession, overseeing internships and project experiences, and career advising, for example, are a vital aspect of a successful program. Professional programs often have a deep commitment to the on-going continuing education of practitioners in the field, resulting in a greater commitment to delivery of outreach programs than is typical of a tenure-track appointment outside of Virginia Cooperative Extension. Programs in the arts may wish to attract resident artists or performers for a period of time to contribute to the program. The professor of practice rank series may be appropriate in these and other roles that typically do not reflect the same range of responsibilities required for tenure-track faculty members.

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.

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 or school committee and head, chair, or school director. 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. 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.

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

Faculty members with responsibilities primarily in instruction and/or service in a clinical setting such as veterinary or human medicine are considered clinical faculty. Clinical faculty appointments are intended to promote and retain clinical educators and to complement the clinical activities of the university. The clinical faculty ~~track-series~~ 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.

Clinical faculty with distinctive assignments and work schedules will have these responsibilities conveyed upon their initial 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 Promotion and Tenure departmental committee and head, chair, or school director.

Promotion in rank is neither a requirement of continued employment, nor an entitlement for continued years of service. Tenure is not awarded at any of these ranks and all service at any clinical instructor or professor 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 clinical instructor ranks may not chair a graduate committee.

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. Time spent in one of these ranks is not applicable toward pre-tenure probationary tenure-track faculty service.

The responsibilities of a person appointed to one of the clinical instructor ranks in an academic department are focused on service and professional instruction in a clinical setting, with no expectation for development of an independent program of research or scholarship. Clinical instructors may have additional instructional duties in classroom and laboratory settings, typically related to clinical practice. A professional degree is the usual minimum educational credential for an appointment to the clinical instructor ranks. Clinical instructor series faculty are generally appointed to 1-, 3-, or 5- year renewable contracts depending on their rank.

The clinical instructor ranks include clinical instructor, advanced clinical instructor, and senior clinical instructor.

5.1.4.1 Clinical Instructor Track

Clinical Instructor: Persons appointed to this rank must have the appropriate professional degree. Primary responsibilities are to clinical service and the clinical instructional program, but assignments vary depending on the faculty member's expertise and experience and departmental needs. Duties may include clinical service, teaching professional and graduate students in clinical settings, advising clinical interns and residents, and lecturing in professional courses. Appointments at this rank are typically for one year and are renewable. A minimum of five years at the clinical instructor rank is required before consideration for promotion to advanced clinical instructor. 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.

Advanced Clinical Instructor: In addition to the requirements for Clinical Instructor, persons appointed or promoted to this rank must demonstrate significant evidence of related professional growth such as advanced clinical training and continued professional development. Advanced clinical instructors are expected to demonstrate mastery in experiential education with significant impact on student learning in a clinical setting. Promotion to the advanced clinical instructor rank is generally accompanied by a renewable three-year contract. A minimum of five years at the advanced clinical instructor rank is required before consideration for promotion to senior clinical instructor.

Senior Clinical Instructor: Senior clinical instructor is the capstone rank in the clinical instructor series and promotion to this rank denotes exemplary clinical service and instruction. Senior clinical instructors may have considerable responsibility in mentoring colleagues or professional clinical trainees, overseeing clinical service activities, or other

responsibilities reflecting their role as clinical service and instructional leaders. Promotion to the rank of senior clinical instructor is generally accompanied by a renewable five-year contract.

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 or schools and approved by an appropriate college-level committee and the dean and shared with the faculty member upon their initial appointment.

5.1.4.2 Clinical Professor Track

Clinical Professor Series. The clinical professor ~~series-track~~ 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. Persons appointed in the clinical professor ranks are expected to conduct engage in scholarship and research and present their findings in professional venues, though there are no expectations for of an extensive research program as is typical of tenure-track faculty appointments. 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).

A record of significant professional achievement is expected for appointment at the clinical associate professor or clinical professor level; initial appointments at such ranks require approval of the appropriate departmental or school committee and head, chair, or school director. The clinical professor ranks include clinical assistant professor, clinical associate professor, and clinical professor.

Clinical Assistant Professor: Persons appointed to this rank must have the appropriate professional or terminal degree evidence of related professional qualifications or activities (including but not limited to activities or certification by a relevant professional organization 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 a tenure-track assistant professor, with an expectation for primary commitment to the instructional and clinical teaching setting. Duties may include clinical service, teaching professional and graduate students in clinical settings, advising clinical interns and residents, and lecturing in professional courses. Clinical assistant professors are expected to engage in scholarship and research and present their findings in professional venues, though there is no expectation of an extensive research program as is typical of tenure-track faculty appointments.

Clinical Associate Professor: Persons appointed to this rank must have the appropriate professional or terminal degree and continued evidence of related professional qualifications or activities, including but not limited to activities or certification by a relevant professional organization and, when relevant to their discipline, 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. Duties may include a caseload at or above the average for assistant professors within the same clinical service, mentoring colleagues or clinical residents, student advising, course or curriculum development, and/or exemplary service or outreach. Clinical associate professors are expected to engage in scholarship and research and present their findings in professional venues, though there is no expectation of an extensive research program as is typical of tenure-track faculty appointments. Distinguished professional achievement and evidence that their scholarly activities enhance their clinical discipline is expected. This evidence should include activities and accomplishments demonstrating a trajectory towards national reputation and impact.

Clinical Professor: Persons appointed to this rank must have the appropriate professional or terminal degree and continued evidence of related professional qualifications or activities, including but not limited to activities or certification by a relevant professional organization and, when relevant to their discipline, 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. Clinical professors may have considerable responsibility in mentoring colleagues or professional clinical trainees, overseeing clinical service activities, or other responsibilities reflecting their role as clinical service and instructional leaders. Clinical professors are expected to engage in scholarship and research and present their findings in professional venues, though there is no expectation of an extensive research program as is typical of tenure-track faculty appointments. Distinguished professional achievement and evidence that their scholarly activities enhance their clinical discipline is expected. This evidence should include activities and accomplishments demonstrating achievement of a national or international reputation and impact.

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 department or school and approved by an appropriate college-level committee and the dean and shared with the faculty member upon their initial appointment.

5.1.5 Collegiate Faculty Series

Collegiate professors must have a major commitment to the instructional missions of the department or school. 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 or school's faculty, collegiate faculty may take a lead role in enhancing the curricula and promoting teaching excellence.

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

Commented [RG35]: Updates to this section to include a Clinical Instructor Track (5.1.4.1) in addition to the Clinical Professor Track (5.1.4.2), per resolution approved by BOV on March 25, 2025 (CFA 2024-25A).

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 and professions in ways that contribute to their assignment—teaching, consulting, or outreach, serving in technical and professional societies and associations, and similar activities.

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, chair, or school director.

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 or school committee and head, chair, or school director. Appointment to one of these ranks is for a specified number of years and is renewable without limit. Performance and promotion evaluations of collegiate professors are performed by department or school 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.

Service at these ranks is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position.

Commented [RG36]: Sentence referencing exclusion of service was unintentionally deleted from 2023-24 handbook.

Collegiate Assistant Professor: Persons appointed at this rank have a terminal graduate or professional degree in the discipline (or a related discipline) and professional certification(s), if relevant. Experience and demonstrated competence in teaching are expected. Appointment to this rank is for three years and is renewable without limit.

Collegiate Associate Professor: Persons appointed at the collegiate associate professor rank have a terminal graduate or professional degree in the discipline (or a related discipline) and professional certification(s), if relevant. Credentials for appointment or promotion to this rank must document a record of significant instructional experience and accomplishments relevant to the field and type of assignment. The appointment to this rank is for five years and is renewable without limit.

Collegiate Professor: Collegiate professor is the capstone rank in the series. Appointment to this rank denotes distinguished professional achievement, and regional, national, or international prominence in the field. Credentials for appointment or promotion to this rank must document a record of significant instructional experience and scholarly accomplishments relevant to the field and type of assignment.

External evaluation of such accomplishments and leadership in the field is expected at the time of appointment or promotion. Appointment to this rank is for seven years and is renewable without limit.

5.1.6 Instructor Ranks

Instructors 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. Instructors with distinctive assignments and work schedules will have these responsibilities conveyed in the Terms of Faculty Offer (TOFO) 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 or school committee and head, chair, or school director. 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.

Service at these ranks 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.

Commented [RG37]: Reinstated sentence referencing exclusion of service was unintentionally deleted from 2023-24 handbook.

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 or school 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 or school 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 or school. Advanced instructors are expected

to demonstrate mastery in teaching with significant impact on student learning and the department or school'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

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.

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, restricted, for either a calendar year (CY) or academic year (AY), and full or part-time depending on responsibilities and available funding.

Appointments may be regular, which are renewable term appointments with a presumption or consideration of reappointment.

Restricted appointments may be made for which there is no presumption or consideration of renewal. Restricted appointments are designated with start and end dates in the terms of faculty offer (TOFO).

Visiting and adjunct appointments are intended to be temporary in nature and are almost always restricted.

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 of this handbook "Retirement, Resignation, and Non-Reappointment."

5.2.3 Annual Evaluation and Salary Adjustments

The Board of Visitors delegates the authority to the president or the president's designee for selected faculty appointments and compensation actions as outlined in the Amended Delegation of Authority for Selected Personnel Actions dated June 11, 2024.

The Board of Visitors annually approves a faculty compensation plan, including the authorization of an annual merit process guided by the university's Faculty Handbook and processes provided by the commonwealth. 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.

Annual Faculty Activity Report (FAR). 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, school, college, or administrative unit, as appropriate. Submission of a faculty activity report (FAR) may be required for consideration for a merit adjustment.

Virginia Tech uses an electronic faculty activity data system to collect and manage information about research and scholarship, creative works, teaching, Extension, outreach, and service activities. This system automates the production of annual faculty activity reports, promotion and tenure dossiers, and CVs, as well as department, school, college, and university level reports. The system also enables deposit and claiming of scholarly works in the VTechWorks institutional repository and will feed public web profiles using VT Experts. Training for faculty is available through Virginia Tech's Professional Development Network and for departments on request.

Faculty members should consult with their department head, chair, school director, or supervisor on the use of electronic faculty activity reporting. Continuing faculty members must submit an annual faculty activity report in accordance with departmental or school 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, school director, 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 faculty members.

5.2.4 Promotion Guidelines

Non-tenure-track faculty members are eligible for promotion in rank in accordance with guidelines established by academic departments or schools 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, school, and college documents related to promotion. Faculty members in a regular or restricted appointment may 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.

For more information, consult ~~See provost's Promotion and Tenure resources~~ [Promotion and Tenure](#). Consideration for promotion in rank includes preparation of a dossier using a common university format. Typically, such a dossier includes a statement of professional direction and accomplishment, a complete curriculum vitae, and documentation of contributions associated with the appointment. Colleges and departments or schools may request supplemental materials. The appropriate college committee and dean approve guidelines for dossier development and departmental or school policies and procedures for the promotion process. External review of credentials is required for some –but not all– promotions in non-tenure-track ranks.

The promotion dossier is reviewed at three levels: (1) by an appropriately charged departmental or school committee and the department head, chair, or school director, (2) by an appropriately charged college-level committee and the dean, and (3) by the provost. The department head, chair, or school director 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, school and college committees. For example, departments or schools with significant numbers of instructors, the committee charged with reviews would consist of a majority representation of advanced and senior instructors. In departments or schools with very few such appointments, the existing departmental or school promotion and tenure committee may review the dossier(s) and make recommendations. Similarly, at the college level either a special committee may be formed to review promotions of non-tenure-track instructional faculty with majority representation of those in the advanced level of such ranks, or the

existing promotion and tenure committees may be assigned such review and recommendation responsibilities.

While the procedures vary to recognize practical issues and varying numbers, the guidelines for review should be in writing and adhered to for consistency and fair treatment of all candidates. A faculty member may not serve on any committee that is evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Given that promotion decisions do not carry the same “up or out” decision associated with tenure decisions, a negative recommendation on a promotion request need not translate into termination of employment. Indeed, a faculty member may remain at the initial rank if their performance warrants continued employment and serves departmental or school 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.

A positive recommendation from either or both the departmental or school committee and the department head, chair, or school director automatically advances the dossier 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 for consideration by the provost. The decision of the provost is final and cannot be appealed.

Faculty members should be provided with written feedback in the case of a negative recommendation at either the department, school or college 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 or school committee and department head, chair, or school director, 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 this chapter “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 of this handbook “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, chair, or school director 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, chair, or school director must again write the faculty member with an evaluation of their 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 dean: 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.

Appeal to the provost: 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, chairs, or school directors 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 will follow the schedule outlined in chapter two of this handbook "Retirement, Resignation, and Non-Reappointment". 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 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](#) conducts the step four hearing if requested.

5.4.1 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 university community member may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The Ombuds listen and explore options for addressing and resolving concerns or complaints. The Ombuds Office has no authority to make or reverse any decision made or actions taken by university authorities. It supplements, but does not replace, the university's existing conflict resolution resources and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Office will not accept legal notice on behalf of the university, and information provided to it does not constitute such notice. However, if someone wishes to make the university formally aware of a particular problem, the Office can provide instructions on how to do so. The only exception to this pledge of confidentiality is when the 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 and does not keep permanent records of confidential communications.

~~University Ombuds. Any member of the university community may visit Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The Ombuds listens~~

Commented [RG38]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

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 Reconciliation. At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Contacting the DFR 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, the grievant must contact the DFR 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 grievance process. If the grievant requests assistance from the DFR, they request a postponement of the time limits involved in the formal grievance procedure while they deal with the case. The request is submitted in writing to the vice provost for faculty affairs and the vice president of the faculty senate by the DFR. In addition, the grievant should reach an understanding with the DFR of the time frame planned for working on the case, with such time not to exceed 60 calendar days.

Faculty members may also consult the DFR about serious disagreements with colleagues, immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the DFR 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 provost.

Commented [RG39]: Revisions made through governance, will be brought to BOV for approval in June (CFA 2024-25H)

Commented [RG40]: Updated for consistency with changes to made to other section through governance process (CFA 2024-25H). See Section 3.11.1 for detailed changes. Will be brought to BOV meeting in June for approval.

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. Contact Faculty Affairs in the provost's office for information on Reconciliation. Faculty Affairs in the provost's office for information on Reconciliation in the provost's office for information on Reconciliation.~~

~~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 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 provost.~~

~~Information on the Faculty Senate Reconciliation Committee is in chapter two of this handbook and on the Faculty Senate website.~~

Mediation and Other Conflict Resolution Services: The Office for Civil Rights Compliance and Prevention Education (OCRCPE) offers a range of conflict resolution services, including conflict coaching, mediation, and group facilitations. In general, OCRCPE's conflict resolution services are available in matters related to the office's work to maintain working environments free from discrimination.

Mediation is a voluntary process through which one or more trained facilitators assist employees in expressing concerns and developing solutions to a conflict in a structured environment. Mediation differs from faculty reconciliation in that mediation facilitators do not conduct fact-finding or evaluate decisions. Mediation may be available prior to or after filing a grievance. Any party to a grievance process may request mediation prior to step three of the process. If both parties voluntarily agree to try mediation and the university,

usually through the OCRCPPE, appoints a facilitator, then the grievance is placed on administrative hold until the mediation process is complete. If a resolution is reached through mediation, then the parties are responsible to each other for ensuring that the provisions of the resolution agreement are followed. If any party withdraws from mediation or the facilitator terminates the process without agreement, then the grievant may request that the grievance be reactivated and the process continues.

A/P faculty members and supervisors are encouraged to consider using conflict resolution services like mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

Mediation. Conflict resolution 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 the Office for Civil Rights Compliance and Prevention Education Office for Equity and Accessibility. Because mediation is voluntary, both parties must agree to participate for mediation to occur. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of mediators. Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting mediation. Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

5.4.2 The Formal Grievance Procedure

If the assistance of the DFR is not desired or is not requested; or if the DFR determines that they cannot provide assistance in the matter; or if the grievant finds that the length of time the DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of the DFR, the grievant may pursue the issue as a formal grievance through the following procedure. Department heads, chairs, or school directors,

Commented [RG41]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

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. For more information, consult the Tenured, Tenure-Track, Continued Appointment, Continued Appointment-Track, and Non-Tenure-Track Instructional Faculty Grievance Form.

~~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. A grievance form is available on the provost's webpage. A grievance form is available at Faculty Forms. Department heads, chairs, school directors, deans, 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.~~

Commented [RG42]: Updated for consistency with changes to made to other section through governance process (CFA 2024-25H). See Section 3.11.2 for detailed changes.

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 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.

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 their 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.

5.4.3 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 [Director of Faculty](#) ~~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.

5.4.4 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 “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, appeals of non-reappointment or promotion decisions); the contents of personnel and other 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 ~~Director of Faculty 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.

5.4.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement.

~~Visit Faculty Forms for the “Agreement to Extend the Deadline for Grievance Response” form. (An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)~~

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits. In case of disagreement, the Faculty Senate president rules on time extension and procedure questions, which might include a hearing conducted by three rather than five panel

members, or other recommendations designed to expedite the proceedings while providing peer review of the grievance.

If a faculty member is away from the assigned work location at the time of discovery of the event or action that is the basis for a grievance, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

“Weekdays,” as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the grievant is able to resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

In the event that a faculty member discovers a grievance about actions by an administrator above the level of the immediate supervisor that directly involves the faculty member, or with actions by an administrator not in the department or school 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 an impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the president for ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of

the president of the university is dealt with by a special panel appointed by the provost in consultation with the president of the Faculty Senate.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations, or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.

5.4.6 Overview of the Formal Grievance Process for Non-Tenure-Track Instructional Faculty

Below is an abbreviated overview of the grievance process and deadlines.

Step One

Timing	Step Number and Description
Within 30 days of event	1a. Grievant meets with immediate supervisor (usually department head).
Within 5 weekdays	1b. Department head provides verbal response.
	1c. If the department head's response is satisfactory to the grievant, that ends the matter.
	1d. If the department head's response is not satisfactory to grievant, move to step two within 5 weekdays.

Step Two

Timing	Step Number and Description
Within 5 weekdays	2a. Grievant submits written grievance to department head.
Within 5 weekdays	2b. Department head responds in writing on grievance form.
	2c. If the department head's response is satisfactory to the grievant, that ends the matter.
	2d. If the department head's response is not satisfactory to grievant, move to step three within 5 weekdays.

Step Three

Timing	Step Number and Description
Within 5 weekdays	3a. Grievant advances grievance form to the second-level administrator (usually dean).

Within 5 weekdays	3b. Dean meets with grievant; dean may request department head to be present.
Within 5 weekdays	3a. Dean responds in writing on grievance form. 3b. If the dean's written response is satisfactory to grievant, that ends the matter. 3c. If the dean's written response is not satisfactory to grievant, move to step four within 5 weekdays.

Step Four

Timing	Step Number and Description
Within 5 weekdays	4a. Grievant advances grievance form to the provost.
Within 5 weekdays	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.
Within 5 weekdays	4c. Faculty Senate president acknowledges in writing to grievant that copy of grievance has been received from provost.
Within 15 weekdays	4d. Faculty Senate Review Committee chair appoints hearing panel from among Faculty Senate Review Committee members; panel holds its initial meeting with both principals.
Within 45 weekdays	4e. The hearing panel concludes its work and make recommendations to provost and grievant.
Within 10 weekdays	4f. The provost meets with grievant. 4g. The provost notifies grievant in writing of the decision.
Within 10 weekdays	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

Timing	Step Number and Description
Within 20 calendar days	5a. The grievant appeals in writing to president. 5b. The president's decision is final.

CHAPTER SIX-: RESEARCH FACULTY

6.0 Employment Policies for Research Faculty

~~Research faculty are general, teaching and research (T&R) faculty. The following policies address specific aspects for research faculty appointments. Research faculty are designated to promote and expedite university research activities. Research faculty are typically employed on sponsored grants and contracts and are on a restricted appointment to carry out research or outreach projects. The duties of research faculty may have a small or no instructional component.~~ Research faculty are supported by the Office of Research and Innovation.

~~See “Restricted Appointments” in chapter two of this handbook.~~ Appointments to the faculty may be made for which there is no presumption or consideration of renewal. Such appointments are called “restricted” and are designated with start and end dates in the terms of faculty offer (TOFO). See “Restricted Appointments” in chapter two of this handbook.

See “Regular Appointments” in this chapter for circumstances in which a research faculty member may be on a regular appointment.

~~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 resources on research faculty including [Principal Investigator Eligibility](#).

Track	Ranks
Postdoctoral Associate	postdoctoral associate
Research Associate	research associate, senior research associate
Research Scientist	research scientist, senior research scientist
Research Professor	research assistant professor, research associate professor, research professor

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 can be found ~~on at the Research and Innovation~~ [Research Faculty Ranks](#).

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, chair, school director 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 ~~with a terminal degree~~ 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 mentors. 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 ~~always on restricted~~ ~~not appropriate for regular~~ appointments. [Consult section 2.3.2 for additional information on restricted appointments.](#)

~~Individuals are eligible to be postdoctoral associates for a~~ [The maximum cumulative allowable duration of employment for a postdoctoral associate held by a single individual, even at multiple institutions, will be five years, including prior experience in a postdoc position at another institution. Generally, eligibility is calculated from the date of conferral of a terminal degree. Appointment to this faculty rank is usually 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.](#) ~~The maximum allowable time an individual may be employed in the rank of postdoctoral associate at Virginia Tech is five years. continued~~ [Continued](#) appointment beyond five years ~~would require~~ a promotion in rank. [Exceptions for extenuating circumstances may be made by the Office of Research and Innovation.](#)

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 head, chair, or school director, 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. Review by the Office of Research and Innovation is required before an offer is made.

Commented [RG43]: Changes made through governance, will be brought to BOV meeting in June for approval (COR 2024-25A)

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 Research and Innovation.

6.1.3.1 Research Associate

The research associate rank is the entry, or most junior, rank for research faculty members involved in sponsored projects. However, the work may vary from that which is appropriate for a relatively new professional to broader or more significant responsibilities expected of more experienced research faculty personnel. Research associates generally conduct research under supervision. They may provide input into the preparation of proposals or supervise staff or student personnel, but typically they have limited responsibility and authority in these areas.

A master's degree in a relevant field is the minimum qualification for appointment as a research associate. The Office of Research and Innovation must approve requests for exceptions for individuals with a bachelor's degree and significant related experience before an offer is extended.

6.1.3.2 Senior Research Associate

The rank of senior research associate requires greater qualifications than the research associate either in education, experience, or both. Senior research associates conduct research under limited supervision.

Typically, they have some significant supervisory responsibility for lower-level personnel and may contribute to the conceptualization and preparation of research proposals, reports, and resource acquisition.

A doctorate or a terminal degree in the field and some experience are required. The Office of Research and Innovation must approve an appointment or promotion to this rank for

individuals with a lesser degree and substantial related experience before an offer is extended.

6.1.4 Research Scientist Ranks

6.1.4.1 Research Scientist

Research scientists fulfill a senior role in the university's research program. They conduct independent research under limited supervision. By virtue of their expertise and experience, research scientists make significant contributions to the conceptualization and conduct of the research. They may be involved in the preparation of proposals, reports, and publications, presentation of research results, and development of patents. The rank of research scientist is parallel to that of research assistant or research associate professor. A doctorate or terminal degree in the field and significant experience are expected.

6.1.4.2 Senior Research Scientist

The senior research scientist is the highest rank in the research faculty series for those who are not involved in a graduate program. As experienced research faculty members, senior research scientists are often responsible for the design and execution of a project and interpretation of research results. Typically, they have significant responsibility for supervision of personnel, budget preparation and execution, and organization and management of the research project. Guidelines and information regarding Principal Investigators is located in chapter ten of this handbook and on the Office for Sponsored Programs Principal Investigator Resources page.

The rank of senior research scientist is parallel to that of research associate professor or research professor. A doctorate or terminal degree in the field and a considerable record of research are expected.

6.1.5 Research Professor Ranks

The research professor ranks are designed for research faculty members whose appointments are expected to last more than one year and whose credentials are comparable to those of the tenured and tenure-track faculty of similar rank. This track is parallel to research scientist and senior research scientist, not necessarily above it. Appointment to research professor ranks is not appropriate for those with short-term or limited appointments since this would disadvantage the graduate or professional students with whom they might work. Research faculty members with appropriate credentials and approvals whose primary appointment is in a research unit not affiliated with a degree-granting academic department or school 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 or school, 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. [For more information, consult Information on Faculty Qualifications for Teaching is on the provost's Faculty Affairs webpage.](#) 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, chair, or school director, 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 or school 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, school, or college committees that will be reviewing a family member (spouse or dependent immediate family member) or an individual with whom they have a close personal relationship such as partner or extended family member.

6.1.5.1 Research Assistant Professor

Persons appointed as research assistant professors are required to have a doctoral degree or terminal degree appropriate to the field and credentials consistent with those for appointment to the rank of assistant professor. Research assistant professors are equivalent to research scientists in terms of their credentials; however, appointment to this rank indicates actual or anticipated involvement with the academic program.

Research assistant professors are expected to contribute significantly to the design and execution of research projects. They conduct independent research in their field of specialization under general supervision. They may have supervisory responsibility for project personnel and contribute to project management.

The approval of the department head, chair, school director and 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 or school procedures for tenured and tenure-track faculty appointments. Typically, this involves approval by the appropriate departmental/unit/school committee, followed by approval of the department/unit head or chair, school director, and 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 the disciplinary field, contribution to research or creative activity supported through grants and contracts, and at least regional recognition. The promotion review and approval process is described in this chapter “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 or school procedures for tenured and tenure-track faculty appointments. Typically, this involves approval by the appropriate departmental/unit/school committee, followed by approval of the department/unit head or chair, school director, 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. The promotion review and approval process is described in this chapter “Research Faculty Promotions: Professorial Ranks”.

6.2 Policies Related to Research Faculty Appointments

For additional information, consult the [Office of Research and Innovation Human Resources website](#). Research faculty members may be assigned a functional title in addition to their official faculty rank to facilitate their work or clarify their role to internal or external constituencies. (A functional title may not be an official faculty rank other than that held by the research faculty member.) In some cases, increased responsibilities lead

to a change in functional title and possibly a salary adjustment rather than a promotion in faculty rank.

Appointments to research faculty ranks, except the rank of postdoctoral associate, are indefinitely renewable. However, tenure cannot be earned in any of the research faculty ranks and service is not applicable toward the pre-tenure probationary period if the employee is subsequently appointed to a tenure-track position.

The source of funds is not the determining factor as to whether a position carries a research faculty rank, but rather the nature and purpose of the assignment. Thus, a research faculty member may be funded by sponsored projects, facilities and administrative funds, state dollars, or other sources. Policies related to research faculty apply, regardless of the source of funding.

Research faculty may participate in activities outside of their direct source of funding, such as providing significant contributions to the conceptualization or writing of new proposals, or teaching. 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 to the development of position descriptions where funding is limited to only sponsored funding. [For further information, consult the Office of Research and Innovation Financial Compliance.](#) ~~See Effort Reporting on the Research and Innovation website.~~

Original appointments and reappointments, including rank, salary, and other conditions, require the approval of the department head, chair, school director and 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, school director and dean must approve exceptions. The academic department or school provides instructional funding for the teaching appointment and research duties are adjusted accordingly. A three-credit course equates to 0.25 FTE during an academic semester; this is the usual basis for salary charges to the instructional budget.

Research faculty members may receive additional compensation to teach a class that exceeds their normal research assignment. To qualify for additional compensation, the research faculty member may not be 100% ~~percent~~ supported from sponsored funds, must be the instructor of record, and must usually be assigned to teach for the entire semester. For courses with block teaching, the research faculty member must have a formal teaching assignment for a specified portion of the course. The academic department or school 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 department, school, and college, and by the Office of Research and Innovation.

For more information, consult ~~Faculty Qualifications for Teaching~~ ~~Consult Faculty Qualifications for Teaching~~. It is the responsibility of the hiring department/unit or school to obtain and verify documentation of credentials of all faculty prior to employment.

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 or school. Those with appointment to the research professor ranks may chair a committee, if approved by the degree-granting department or school. 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 or school and by the supervisor.

6.2.2 Research Faculty Promotions: Research Associate, Research Scientist

For additional information, ~~Consult Research Faculty Promotion Guidelines~~ ~~Consult Research Faculty Promotion Guidelines~~. While there is logic to the progression between and among ranks, employees may change ranks as appropriate or necessary to reflect a change in role or project that aligns best with the essential responsibilities of the position. A promotion from one rank to another may be recommended by the supervisor to recognize a faculty member's increased responsibilities, credentials, and/or contributions to the program over time.

Recommendations for promotions within the non-professorial ranks (such as research associates and research scientists) may be requested at any time during the year in recognition of significant increases in responsibilities, credentials, or contributions. The promotions require approval by the department head, chair, school director, 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, chair, or school director 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 or school committee and the head, chair, or school director; (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 Senior Vice President of 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 and schools. 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 schools 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 academic credentials, but who has not found appropriate employment opportunities.

Appointments in departments, schools, colleges, or by the provost, are approved at the department or school 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 department head, chair, or school director 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 or school for that discipline. The appointment is initiated by the host department or school 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 or school, approved by the department head, chair, or school director, 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~~ broad 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-proactive~~ recruitment practices to attract the broadest possible pool of applicants ~~a diverse workforce~~.

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. A search is not required to fill a postdoctoral associate position (though review by the Office of Research and Innovation is required before an offer is made) 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.

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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, chair, or school director. 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.” TOFOs refer to additional terms and conditions of employment contained in the Faculty Handbook.

The terms of faculty offer for a restricted appointment clearly defines the length of the appointment. In cases where there is no expected opportunity for continuation, the document also serves as a notice of termination. The terms of faculty offer makes clear that continuation of appointment, even during the initial year, is subject to the availability of funds, the need for services, and satisfactory performance. Related letters of offer or appointment should not contain promises that the hiring unit may not be able to keep; the university looks to the department or school to make good on defaults. Approval of the department head, chair, or school director and dean, and the Office of Research and Innovation are required before an offer is extended.

It is the responsibility of the hiring department or school to obtain and verify documentation of credentials on all faculty prior to employment.

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. 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 or school 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 this chapter, "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 or schools intending to support specific research faculty members on applicable state funds, whether or not those individuals participate in a "program" or "center" may also seek approval to appoint a research faculty member to a regular position using the same process.

The criteria and expectations for such approval are as follows:

- The unit must have a documented record of substantial past funding, usually from diversified sources, generally over more than five years. In the case of a new center with multi-year funding, documentation of the new funding supported by the history of funding for the principal researchers may be considered. Research programs supported in full or in part by state funds are eligible for consideration for regular positions.
- The unit must have documented prospects for continued funding at a level equal to or greater than its current funding.
- The unit must be able to guarantee payment of salary and fringe benefits from sponsored grants or contracts (or other appropriate sources) for a minimum of three years to advertise a research faculty position as a regular appointment.
- The unit must be able to guarantee funding of annual leave, sick leave, and salary following non- reappointment in the case of insufficient grant funds. The source of such payouts or salary support must be non-sponsored funds, such as indirect or state funds.

- The unit will advertise and conduct a national search for regular positions. Search exemptions may be approved only under certain very limited conditions, such as unique qualifications or unit restructuring. However, a search must be conducted if there is an intention of supporting an international candidate for permanent residency. In such a case, the hiring unit should work closely with the International Support Services Office to ensure compliance with current Immigration and Naturalization Service (INS) regulations.

Appropriate documentation of the search process and selection is a critical element in supporting an application for permanent residency.

In supporting the request for a regular faculty appointment, the approving department/unit or school is thereby committing itself to covering shortfalls in funding between grants, or whenever there is insufficient funding for the salary, from other sources. Should this occur, duties may be reassigned to match the available source of funds.

The Office of Research and Innovation may grant approval to the unit to conduct searches for regular positions for a period of three to five years at which time the financial capabilities and commitments of the unit are reviewed, and authorization is granted for another three-to five-year period, if appropriate.

Approval for the unit to advertise and fill some research faculty positions as regular appointments does not in any way suggest that all positions in the unit should be so designated. Indeed, careful thought should go into the shaping of such positions, the identification of talents and skills needed in the research group, and the availability of qualified individuals that may necessitate this more generous commitment of resources.

Postdoctoral associates are considered temporary or short-term appointments by definition and are not appropriate for regular appointments.

Research faculty members on regular appointments are entitled to notice of non-reappointment, as specified in chapter two of this handbook.

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. Information on faculty sick leave is ~~on the at~~ [Human Resources Faculty Leave webpage](#).

Research faculty members on academic year appointments may accept summer research wage (P14) or summer or winter session teaching employment in the same department, school, or program, or elsewhere in the university. Research faculty on H1-B visas qualify for summer wage employment only in very limited cases. Contact [Global Strategic 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 of this handbook "Research-Extended Appointments for Faculty on Academic Year Appointments," and "Effort Certification Compliance Issues for Research Faculty" in this chapter, and "Effort Certification and Salary Charges to Sponsored Grants and Contracts" in chapter 10 of this handbook.

6.6 Position Descriptions

Every research faculty member must have an up-to-date position description that forms the basis for initial hiring and assignment of duties and, through subsequent updates, for annual evaluation. Position descriptions should include a detailed list or narrative description of assigned responsibilities and expectations for performance. A position description should be created and entered into the university's online position description system.

6.7 Annual Evaluations

Supervisors, usually principal investigators, are responsible for conducting an annual evaluation for any and all research faculty. The annual performance review must be shared with the appointee and documented in writing. This documentation supports the request for annual merit and/or special adjustments. Giving regular and constructive feedback is essential to the development of employees, and it is the responsibility of the department head, chair, or school director 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 the department head, chair, or school director who, in turn, makes 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 of this handbook.

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 of this handbook.

6.10.1 Dismissal for Cause

Research faculty members may be dismissed for just cause. Stated causes for dismissal shall include but are not limited to professional incompetence; unacceptable or unsatisfactory performance after due notice; unethical conduct or misconduct that interferes with the capacity of the employee to effectively perform the requirements of the position; violation of university policy; falsification of credentials, experience, leave reports, or other official employment documents. Filing a grievance does not constitute just cause for termination.

When it becomes necessary to terminate a member of the research faculty for unsatisfactory performance prior to the end of the appointment period, the following procedures apply:

When the faculty supervisor determines that performance is unsatisfactory, the supervisor writes a letter to the individual detailing the areas of performance that are deficient. This letter should indicate specific expectations of improvement by the employee during a specified period of not less than 30 calendar days. The department head, chair, or school director 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, chair, or school director 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, chair, or school director. 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, chair, or school director has a conflict of interest, the head refers the matter to the college dean.)

The department head, chair, or school director (or dean) must respond in writing within 10 working days. If the recommendations of the department head, chair, or school director (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, chair, or school director and college dean of the faculty supervisor are copied on all correspondence.

6.10.2 Non-Reappointment of Research Faculty

The terms of faculty offer for a restricted appointment clearly defines the length of the appointment and serves as a notice of termination. The terms of faculty offer makes clear that continuation of appointment, even during the initial year, is subject to the availability of funds, the need for services, and satisfactory performance.

Research faculty members with regular appointment receive written notice of non-reappointment as described in chapter two of this handbook 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 of this handbook. A proposed notice of termination because of insufficient funds or lack of need for services requires the approval of the department head, chair, or school director, 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 of this handbook, "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 university community member may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The Ombuds listen and explore options for addressing and resolving concerns or complaints. The Ombuds Office has no authority to make or reverse any decision made or actions taken by university authorities. It supplements, but does not replace, the university's existing conflict resolution resources and its systems of review and adjudication.

Communications with the Ombuds Office are considered confidential. The Office will not accept legal notice on behalf of the university, and information provided to it does not constitute such notice. However, if someone wishes to make the university formally aware of a particular problem, the Office can provide instructions on how to do so. The only exception to this pledge of confidentiality is when the 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 and does not keep permanent records of confidential communications.

~~**University Ombuds.** Any member of the university community may visit the Virginia Tech Office of Interactive Communication and Empowerment (VOICE). The university 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.~~

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~~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.~~

Faculty Reconciliation. At the initiation of the grievance procedure, or at any earlier time, the grievant may request the assistance of the Director of Faculty Reconciliation (DFR) in fashioning an equitable solution. Contacting the DFR 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.

Commented [RG45]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

For a potential grievance issue to qualify for consideration, the grievant must contact the DFR 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 grievance process. If the grievant requests assistance from the DFR, they request a postponement of the time limits involved in the formal grievance procedure while they deal with the case. The request is submitted in writing to the vice provost for faculty affairs and the vice president of the faculty senate by the DFR. In addition, the grievant should reach an understanding with the DFR of the time frame planned for working on the case, with such time not to exceed 60 calendar days.

Faculty members may also consult the DFR about serious disagreements with colleagues, immediate supervisors or other university administrators concerning issues that may not be eligible for consideration within the grievance process. In such instances, the DFR 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 provost.

~~**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. Contact Faculty Affairs in the provost's office for information on Reconciliation. Contact Faculty Affairs in the provost's office for information on Reconciliation.~~

~~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~~

Commented [RG46]: Revisions made through governance, will be brought to BOV for approval in June (CFA 2024-25H)

Commented [RG47]: Updated for consistency with changes to made to other section through governance process (CFA 2024-25H). See Section 3.11.1 for detailed changes. Will be brought to BOV meeting in June for approval.

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 provost. Information on the Faculty Senate Committee on Reconciliation is in chapter two of this handbook and on the Faculty Senate website.

Mediation and Other Conflict Resolution Services: The Office for Civil Rights Compliance and Prevention Education (OCRCPE) offers a range of conflict resolution services, including conflict coaching, mediation, and group facilitations. In general, OCRCPE's conflict resolution services are available in matters related to the office's work to maintain working environments free from discrimination.

Mediation is a voluntary process through which one or more trained facilitators assist employees in expressing concerns and developing solutions to a conflict in a structured environment. Mediation differs from faculty reconciliation in that mediation facilitators do not conduct fact-finding or evaluate decisions. Mediation may be available prior to or after filing a grievance. Any party to a grievance process may request mediation prior to step three of the process. If both parties voluntarily agree to try mediation and the university, usually through the OCRCPE, appoints a facilitator, then the grievance is placed on administrative hold until the mediation process is complete. If a resolution is reached through mediation, then the parties are responsible to each other for ensuring that the provisions of the resolution agreement are followed. If any party withdraws from mediation or the facilitator terminates the process without agreement, then the grievant may request that the grievance be reactivated and the process continues.

A/P faculty members and supervisors are encouraged to consider using conflict resolution services like mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

Mediation. Mediation is available through the Office for Civil Rights Compliance and Prevention Education Office for Equity and Accessibility and is a voluntary, confidential process through which trained neutral third persons (mediators) assist people to express their concerns and develop solutions to the dispute in a safe and structured environment. Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate. Faculty members and supervisors are encouraged to consider using mediation to resolve disputes or to help address a conflict between a faculty member and another member of the Virginia Tech community.

Role of Mediators. Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting Mediation: Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step four. If, after the initiation of a formal grievance, both parties agree to participate

~~in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.~~

~~Mediation differs from faculty reconciliation in that mediators do not engage in fact finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.~~

6.12.2 The Formal Grievance Procedure

~~If the assistance of the DFR is not desired or is not requested; or if the DFR determines that they cannot provide assistance in the matter; or if the grievant finds that the length of time the DFR plans or takes with the case is excessive; or if the grievant is not satisfied with the recommendations of the DFR, 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. For more information, consult the Tenured, Tenure-Track, Continued Appointment, Continued Appointment-Track, and Non-Tenure-Track Instructional Faculty Grievance Form.~~

~~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. A grievance form is available on the provost's webpage. The department head, chair, or school director, dean, 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. For more information, consult the Tenured, Tenure-Track, Continued Appointment, Continued Appointment-Track, and Non-Tenure-Track Instructional Faculty Grievance Form.~~

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~~ Research faculty grievance forms are available ~~on provost's~~ at Faculty Forms page.

The supervisor meets with the grievant and provides a written response within five weekdays to the grievant citing reasons for action taken or not taken and the final decision. If the supervisor's response is satisfactory to the grievant, that ends the matter.

Commented [RG48]: Updated for consistency with changes to this language in Chapter 7 through governance process (CAPFA 2024-25A). See Section 7.8.1 for detailed changes made. Will be brought to BOV meeting in June for approval.

Commented [RG49]: Updated for consistency with changes to made to other section through governance process (CFA 2024-25H) through governance process. See Section 3.11.2 for detailed changes. Will be brought to BOV meeting in June for approval.

If the response is not satisfactory to the grievant or the supervisor does not respond within five weekdays, the grievant will indicate “no resolution” on the faculty grievance form, return a copy of the form to the immediate supervisor and proceed to step two.

Step two: The grievant advances the written description of the event or action, relevant supporting documentation, research faculty grievance form and the written response of the immediate supervisor (or statement of non-response if the supervisor did not respond within five the weekdays at step one) to the next level administrator within five weekdays of receipt of the decision. The next level administrator is the department head, chair, or school director. If the department head, chair, or school director 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 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, chair, or school director 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 Senior 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; 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, appeals of non-reappointment, and/or promotion decisions); the contents of personnel and other 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 ~~Director of Faculty~~ [chair of the Faculty Senate Committee on Reconciliation](#),

and the chair of the Faculty Senate Review Committee. The special committee considers the matter (including consultations with both parties if deemed necessary) and rules by majority vote on the admissibility of the matter to the grievance process. This special committee is called together by the chair of the Faculty Senate Review Committee, who also sends a written report of the results of the deliberations of the committee to all parties concerned.

6.12.5 Particular Concerns and Definitions

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an agreement. [Visit Faculty Forms for the "Agreement to Extend the Deadline for Grievance Response" form.](#) ~~An agreement form to extend the grievance response time is available on the provost's Faculty Forms webpage.~~

Grievances that advance to step four during or close to the summer and/or teaching breaks during the academic year may require some extension of the stipulated time limits. The principals and the chair of the Faculty Senate Review Committee negotiate such an extension. Every effort is made, however, to stay within the stipulated time limits.

If a faculty member is away from the assigned work location at the time the event or action that is the basis for a grievance is discovered, the 30-day period during which the grievant must meet with the immediate supervisor to initiate the grievance process begins when the faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the grievance in writing to the immediate supervisor (step two), omitting personal meetings until such time as the faculty member returns to the assigned work location.

"Weekdays," as used in this procedure, include Monday through Friday only and only when those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave the grievance process stops until such time as the grievant can resume duties. Exceptions to this provision are made at the request of the grievant, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not be harmful to the health of the grievant or exacerbate the ailment that required taking sick leave.

All costs of legal counsel employed by a grievant are borne by the grievant.

If a grievant is employed away from Blacksburg and is required to travel away from their duty station in resolution of their grievance, the university pays all travel costs permitted under state regulations.

If a faculty member discovers there is a grievance about actions by an administrator above the level of the immediate supervisor that directly involve the faculty member, or with actions by an administrator not in the department or school that directly involve the

faculty member, the grievant initiates the grievance process by seeking the mediation of the immediate supervisor within 30 calendar days of the discovery of the event or action that is the basis for the grievance. If that effort does not resolve the grievance satisfactorily, the grievant, after consulting the immediate supervisor, may file the faculty grievance form at the appropriate level or with the appropriate administrative office to initiate response from the administrator perceived as the source of the action causing the grievance. The grievance process then proceeds from that level onward in usual fashion.

A grievance filed by a faculty member concerning an action of the provost is managed by the chair of the Faculty Senate Review Committee and a regular impartial hearing panel, but the findings and recommendations of the hearing panel are sent to the university president for ruling, rather than to the provost. A grievance filed by a faculty member concerning an action of the president of the university is dealt with by a special panel appointed by the provost in consultation with the president of the Faculty Senate.

Any final resolution of a grievance must be consonant with the laws of the Commonwealth of Virginia and university policy.

Once a grievance is resolved, either to the satisfaction of the grievant, or if not to the satisfaction of the grievant, by the action of the provost in consonance with the hearing panel recommendations or by the ruling of the president, that specific grievance is closed and may not be made the subject of another grievance.

6.12.6 Overview of the Formal Grievance Process for Research Faculty

Below is an abbreviated overview of the grievance process and deadlines. Refer to “The Formal Grievance Procedure” in this chapter for specific details and options available in each step of the grievance process.

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion are the makers of such an agreement. [Visit Faculty Forms for the “Agreement to Extend the Deadline for Grievance Response” form.](#) ~~(An agreement form to extend the grievance response time is available on the provost’s Faculty Forms page.)~~

Step One

Timing	Step Number and Description
Within 30 days of event	1a. Grievant submits written grievance to supervisor.
Within 5 weekdays	1b. The supervisor meets with the grievant and provides written response. 1c. If the supervisor’s response is satisfactory to the grievant, that ends the matter. 1d. If supervisor’s response is not satisfactory to grievant, move to step two within 5 weekdays.

Step Two

Timing	Step Number and Description
Within 5 weekdays	2a. Grievant advances grievance form to the next-level administrator referred to as the second-level administrator.
Within 5 weekdays	2b. Second-level administrator provides written response. 2c. If the second-level administrator's written response is satisfactory to the grievant, that ends the matter. 2d. If the second-level administrator's written response is not satisfactory to grievant, move to step four within 5 weekdays.

Step Three

Timing	Step Number and Description
Within 5 weekdays	3a. Grievant advances grievance form to the dean or equivalent senior-level manager.
Within 5 weekdays	3b. The dean or equivalent senior-level manager meets with grievant; dean or senior-level manager may request immediate supervisor to be present. 3c. The dean or senior-level manager provides a written response. 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 five within 5 weekdays.

Step Four

Timing	Step Number and Description
Within 5 weekdays	4a. The grievant advances grievance form to the provost.
Within 5 weekdays	4b. The provost may consult faculty members unfamiliar with the grievance for their opinion and provides a response in writing. The provost's decision is final.

CHAPTER SEVEN: ADMINISTRATIVE AND PROFESSIONAL FACULTY INCLUDING VIRGINIA COOPERATIVE EXTENSION 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 education, 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 administrators and professionals.

7.1.1 Administrative Faculty – Executive and Senior Administrators

Administrative faculty members are referred to as executive or senior administrators to accurately reflect the nature of these appointments. See [Central Administration in chapter one and chapter seven](#) of this handbook.

Executive or 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.

Administrative faculty may have a rank other than lecturer, may hold an academic rank in a college department or school, and may be tenured. [A/P faculty members with academic rank are considered T&R faculty.](#)

Qualifications. Executive and 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 executive and senior administrators in academic leadership roles, may require a terminal degree. Executive and senior administrators regularly exercise discretionary actions.

7.1.2 Professional Faculty

Professional faculty are administrators with responsibilities in a variety of roles and appointments. The professional A/P faculty include positions with significant managerial, supervisory, and budgetary oversight within a unit, and positions that provide direct services. Professional faculty 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.

Professional A/P faculty typically have responsibility for supervision and evaluation of a significant number of university staff and/or other 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.

~~Professional A/P faculty include employees who 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 or support vital university roles such as information technology, budget or finance, human resources, public relations, development, and architectural or engineering functions.~~

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Professional A/P faculty regularly exercise discretion and judgment on matters of significance and take initiative in conducting their primary roles and assignments. Professionals include, but are not limited to, Extension faculty, librarians (not on continued appointment-track appointment), 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. A master's degree is the typical entry qualification; however, exceptions can be made to include individuals with a bachelor's degree and significant 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.

7.2 Administrative and Professional Faculty Rank and Title

Lecturer. The rank of lecturer is generally reserved for A/P faculty appointments. A master's degree or bachelor's degree with 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/career track level rather than promotion in faculty rank. Appointments are considered term and are renewable annually.

Position Description and Performance. 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.

Administrative faculty. Administrative faculty usually have a rank other than lecturer, may hold an academic rank in a college department or school, and may be tenured.

Professional faculty. Professional faculty have the nominal faculty rank of lecturer and a functional title appropriate to the position (e.g., lecturer and director, or assistant dean of students). Professional advancement is recognized by salary adjustment and/or functional title advancement not in faculty rank.

Administrative and professional faculty to whom initial ranks other than lecturer were assigned prior to July 1, 1983, retain such ranks.

Faculty Rank in an Academic Department or School. Executive and senior administrators who achieve tenure in an academic department or school retain their tenure. Members of the administrative and professional faculty with appropriate credentials and responsibilities in an academic department or school may be assigned a faculty 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 the approval of a 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 or school 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 or school and with the individual A/P faculty member so that the appropriate materials are submitted for committee consideration. Appeal of a negative promotion decision is managed in accordance with appeal procedures outlined in chapter three of this handbook "Appeals of Decisions on Non-Reappointment, Tenure, or Promotion." The assignment of, or change in, a standard faculty rank carries no aspect of tenure.

7.2.1 University Libraries Faculty

University Libraries faculty are A/P faculty. Policies for libraries faculty with continued appointment and continued appointment-track are described in chapter four of this handbook. Consult [~~the University Libraries Employment webpage for information on promotion and continued appointment~~](#) information on promotion and continued appointment.

7.2.2 Virginia Cooperation Extension faculty (Extension Faculty)

The policies in this chapter apply to Extension faculty. However, Extension faculty who are on the tenure-track or are tenured are not A/P faculty members and are covered in chapter three of this handbook. [Consult Careers in Extension for information](#) on Extension faculty positions ~~is on the Virginia Cooperative Extension website.~~

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 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.~~

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

Tenure awarded to any member of the Virginia Cooperative Extension faculty before July 1, 1983, continues to be recognized. Continued appointment awarded to any member of the Virginia Cooperative Extension faculty before August 10, 2024, continues to be recognized.

7.3 Policies Related to Administrative and Professional Faculty Appointments

7.3.1 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.

Virginia Cooperative Extension Faculty are 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.

7.3.2 Initial Appointment and Appointment Term

Search. Faculty search resources are available ~~on the~~ [Human Resources-Faculty Recruiting Guidelines page](#). Further guidance for searches involving senior administrative faculty positions (e.g., dean, vice president, or president) is included in other sections of this handbook.

Restricted. 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 of this handbook “Restricted Appointments.”

Appointment term. Initial appointments to an administrative or professional faculty position are usually for a minimum of one calendar year (CY) or academic year (AY), as appropriate. If the annual evaluation is positive, the faculty member can typically expect to continue employment. Important determinants in any reappointment decision is a productive and effective job performance and the continued need of the university for the scope and level of services being provided.

To address budget reductions, and with a six-month written notice to the employee, the university is authorized to convert administrative and professional faculty on calendar year appointments to the traditional academic year appointment period, or to an alternate 9, 10, or 11-month appointment.

Appointment with tenure in an academic department or school. On occasion, requests are made by outside candidates, particularly for executive or senior administrative appointments or administrative appointments in academic areas, for an appointment with tenure and rank in an academic department or school 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, chair, or school director and the departmental or school promotion and tenure committee (or the University Libraries 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 in the University Libraries to a senior academic administrator. Review and approval by the department or school promotion and tenure committee or University Libraries 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 member.

7.3.3 Degree Verification and Qualifications for Teaching

Prior to employment, Human Resources verifies the highest degree earned for salaried administrative and professional faculty members. Verification is conducted by a 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 or school for verification of appropriate credentials in accordance with the university's regional accrediting body Southern Association of Colleges and Schools (SACSCOC). [For more information, consult Faculty Qualifications for Teaching.](#) ~~Qualifications for teaching are found on the provost's webpage.~~

7.3.4 Calendar Year (CY) and Academic Year (AY) Appointments

Most administrative and professional faculty positions are 12-month, calendar year (CY) appointments 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 (AY) appointment earn annual leave only during the period of their appointment and at the same rate as regular A/P faculty members on calendar year (CY) 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.

7.4 Annual Evaluation and Salary Adjustments

The Board of Visitors delegates the authority to the president or the president's designee for selected faculty appointments and compensation actions as outlined in the Amended Delegation of Authority for Selected Personnel Actions dated June 11, 2024.

The Board of Visitors annually approves a faculty compensation plan, including the authorization of an annual merit process guided by the university's Faculty Handbook and processes provided by the commonwealth. 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 members are required to report annually on their activities. The annual Faculty Activity Report (FAR) must be completed 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 faculty activity report (FAR) is required for consideration for a merit adjustment.

7.4.1 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), or vice president.

Salary adjustments may be recommended to address such issues as equity, increased responsibility, and retention for an especially meritorious employee, or completion of a doctorate.

Merit encompasses more than adequate performance of assigned duties. Administrative and professional faculty should collaborate with their supervisor to develop a long-range plan to demonstrate a high level of competence in the areas below.

7.4.2 Electronic Faculty Activity Reporting (EFAR)

Virginia Tech uses an electronic faculty activity data system to collect and manage information about research and scholarship, creative works, teaching, extension, outreach, and service activities. This system can automate the production of annual faculty activity reports, promotion and tenure dossiers, and CVs, as well as department, college, and university level reports. The system also enables deposit and claiming of scholarly works in the [VTechWorks](#) institutional repository and will feed public web profiles using [VT Experts](#).

A/P faculty members should consult with their department head, chair, school director, or supervisor on whether the annual faculty activity report (FAR) should be submitted using the university's electronic system. For more information, consult [Electronic Faculty Activity Reporting](#). Information on EFARs is on the provost's Faculty Affairs webpage.

Performance. Administrative and professional faculty members have an obligation to maintain a high level of performance in their job. 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 job performance.

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, school, college, or university committees, special university-wide assignments, or similar activity on behalf of university priorities is expected of those who hold administrative positions.

Professional and scholarly activities. Administrative and professional faculty have an obligation to maintain a high level of professional competence and to stay current in developments in their field. Effective administrators benefit from active involvement in the intellectual and scholarly development of their field and contributions to their profession.

Teaching in appropriate credit or non-credit programs. Administrative and professional faculty may contribute to academic programs by teaching undergraduate or graduate courses or becoming involved in continuing and professional education activities.

7.4.2 Annual and Periodic Reviews of Administrators Reporting to the President

The president's office guides the Administrative Evaluation and Development Program which documents the process to be used for periodic evaluations and executive development for the vice presidents reporting directly to the president, or to the executive vice president and chief operating officer, the president's direct reports, and direct reports to the vice presidents.

The vice presidents participate in an external leadership assessment and development program appropriate to the stage of their career. The selected program must include an opportunity for 360-degree feedback, with responses shared with the president. Participation in the evaluation and development program is required within two years of the initial appointment and every five years thereafter. The president may also solicit feedback from other individuals and/or constituencies as may be appropriate to the administrator being reviewed. Preparation of an individual development plan and executive coaching for a limited period are also standard elements of the process. The president provides verbal and written feedback to the administrator.

The review process for those senior administrators who report directly to the president and direct reports to the vice presidents will follow a similar pattern, generally using internal assessment instruments and professional development resources.

The determination of participants for the Administrative Evaluation and Development Program, the schedule, and specific procedures for periodic evaluations of administrators reporting through the president are the responsibility of the president's office.

The university president determines the schedule and review process for the provost, vice presidents, senior staff reporting to the president, and other non-academic administrators. Detailed evaluation program procedures can be obtained from the President's Office.

Periodic assessments of all administrative vice presidents (executive, senior, and vice presidents) are completed every five years. Administrative vice presidents new to their role will have a periodic review within two years of assuming their new role.

The assessment will be comprised of a 360-assessment instrument, executive coach, and completion of a development plan. The president will initiate the review of vice presidents with a direct reporting line. The executive vice president and chief 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 executive vice president and chief operating officer, or administrative vice presidents are encouraged.

7.4.3 Annual and Periodic Reviews of Administrators and Directors of Major Organizational Units Reporting to the Provost

See chapter three in this handbook for periodic review of college deans, dean of university libraries, dean of the honors college, dean of graduate education, senior administrators, and academic vice presidents are subject to review every five years. Periodic reviews are administered by the office of the provost. The determination of participants, the schedule, and specific procedures for periodic review of academic administrators are the responsibility of the provost.

7.4.4 Teaching For-credit Classes and Overload Compensation for Administrative and Professional Faculty

[Policy 4072, "Teaching Credit Classes and Overload Compensation for Administrative Professional Faculty Members—Teaching Credit Classes"](#) 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. Occasional lectures, supervision of interns or practicum students, or other minor instructional support activities typically are not compensated.

Academic departments and schools may employ full-time administrative and professional faculty to teach one course per semester. The A/P faculty member must hold the minimum credentials required for teaching courses in accordance with accreditation expectations. It is the responsibility of the teaching department or school to verify and document appropriate [Faculty Qualifications for Teaching](#) ~~faculty qualifications for teaching which are on the provost's webpage.~~

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. The [Technical Assistance Program \(TAP\)](#) through Continuing and Professional Education and "Outside Employment and External Activities Other Than Consulting" in chapter two of this handbook).

The teaching assignment must be approved in advance by the faculty member's own department head, chair, school director, or supervisor. The department head, chair, school director or supervisor determines whether the teaching assignment is within the A/P faculty member's usual job responsibilities, and therefore eligible (or not) for additional compensation. The agreement may be multi-year and revisited periodically if the instructional assignment is on-going.

In approving or disapproving the teaching assignment, the department head, chair, school director 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.

7.5 Non-Reappointment or Reassignment

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.

7.5.1 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 of this handbook "Retirement, Resignation, and Non- Reappointment."

7.5.2 Non-Reappointment of Administrative and Professional Faculty on Restricted Appointments

Restricted appointments may be terminated for several reasons including discontinuation of funding, or a change in research or other program priorities, resulting in the need to terminate the services of an employee. Administrative and professional faculty appointments may be terminated in the case where there are insufficient funds or no further need for services. The date of termination for a restricted A/P faculty member is at least 30 calendar days from the date of notification. A proposed notice of termination because of insufficient funds or lack of need for services requires the approval of the department head, chair, school director and dean (or appropriate administrator), and the provost or president (or their designees).

7.5.3 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 or school, 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 of this handbook, "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 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.

7.6.1 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 this chapter, “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 this chapter, “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.

7.7 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 or school 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 or school.

7.8 Grievance Policy and Procedures for Administrative and Professional Faculty

The following procedure is provided ~~as the means for resolution of to resolve~~ 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. The grievant, and those ~~involved in~~ responding to grievances, may consult ~~with the~~ [Administrative and Professional Faculty Senate Vice President](#) for additional information.

Commented [RG53]: Updated description of process and resources CAPFA 2024-25A; Sections 3.11.1, 4.7.1, 5.4.1, and 6.12.1 revised for consistency with these changes. Further adjusted for consistency with changes made to Chapter 3 (faculty reconciliation) through CFA .Will be brought to Board of Visitors on June 3, 2025 for approval (CFA 2024-25H).

7.8.1 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 ~~member~~ may visit the [Virginia Tech Office of Interactive Communication and Empowerment \(VOICE\)](#). The Ombuds listens and explores options for addressing and resolving concerns or complaints. The Ombuds Office ~~does not have the~~ ~~has no~~ authority to make ~~decisions or~~ ~~to reverse~~ any decision made or actions taken by university authorities. ~~The Ombuds Office~~ ~~It~~ supplements, but does not replace, the university's existing ~~resources for~~ conflict resolution ~~resources~~ 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~~ ~~it does~~ not constitute such notice ~~to the university~~. ~~Should However, if~~ someone wishes to make the university formally aware of a particular problem, the ~~Ombuds Office~~ can provide ~~information instructions~~ on how to do so. The only exception to this pledge of confidentiality is ~~where when~~ 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 and~~ 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. Contact Faculty Affairs in the provost's office for information on Reconciliation.

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. This

Mediation and Other Conflict Resolution Services: Mediation is available through the Office for Equity and AccessibilityThe Office for Civil Rights Compliance and Prevention Education (OCRCPE)Office for Equity and AccessibilityOffice for Civil Rights Compliance and Prevention Education offers a range of conflict resolution services, including conflict coaching, mediation, and group facilitations. In general, - OCRCPE's conflict resolution services are available in matters related to the office's work to maintain working environments free from discrimination.

Mediation is a voluntary, ~~confidential~~ process through which ~~one or more~~ trained ~~neutral third persons (mediators)~~ ~~facilitators~~ assist ~~people~~ ~~employees to in~~ expressing their concerns and developing solutions to ~~the a conflict dispute~~ in a ~~safe and~~ structured environment. ~~Mediation differs from faculty reconciliation in that mediation facilitators do not conduct fact-finding or evaluate decisions.~~ Mediation may be available prior to or after filing a grievance. Any party to a grievance process may request mediation prior to step three of the process. If both parties voluntarily agree to try mediation and the university, usually through the OCRCPE, appoints a facilitator, then the grievance is placed on

Commented [RG52]: This section is being removed to align with dissolution of Faculty Senate Committee on Reconciliation. Reconciliation for A/P Faculty will be available through the Ombuds and/or other mediation and conflict resolution services noted in the following section (CFA 2024-25H).

administrative hold until the mediation process is complete. If a resolution is reached through mediation, then the parties are responsible to each other for ensuring that the provisions of the resolution agreement are followed. If any party withdraws from mediation or the facilitator terminates the process without agreement, then the grievant may request that the grievance be reactivated and the process continues.

Assistance with mediation is available through Human Resources. Because mediation is voluntary, both parties must agree to participate for mediation to occur. A/P faculty members and supervisors are encouraged to consider using [conflict resolution services like](#) mediation to resolve disputes or to help address a conflict between an A/P faculty member and another member of the Virginia Tech community.

Role of Mediators: Mediators do not make judgments, determine facts, or decide the outcome; instead, they facilitate discussion between the participants, who identify the solutions best suited to their situation. No agreement is made unless and until it is acceptable to the participants.

Requesting Mediation: Mediation is available at any time, without the filing of a grievance. Additionally, mediation may be requested by any party during the grievance process prior to step three. If, after the initiation of a formal grievance, both parties agree to participate in mediation, the grievance is placed on administrative hold until the mediation process is complete. If the parties come to a resolution of the dispute through mediation, the parties are responsible to each other for ensuring that the provisions of the agreement are followed. If the parties are not able to reach a mutual resolution to the dispute through mediation, the grievant may request that the grievance be reactivated, and the process continues.

Mediation differs from faculty reconciliation in that mediators do not engage in fact finding or in evaluation of decisions. Both mediation and reconciliation, however, are voluntary; no party is required to participate in either process.

7.8.2 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 "Valid Issues for Grievance" in this chapter.

~~The number of steps in the process is determined by t~~The grievant's reporting line determines the number of steps in the process ~~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 relief must be specified on the ~~grievance~~ form. [For more information, consult the Administrative and Professional Faculty Grievance Form.](#)

The Administrative and Professional Faculty Senate Vice President will maintain an active list of trained A/P faculty members who can ~~provide consultation to~~ consult 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 department head, chair, school director, or appropriate supervisor/director; for A/P faculty in Virginia Cooperative Extension, the district director or appropriate step one administrator) and ~~to the~~ Administrative and Professional Faculty Senate Vice President within 30 calendar days of the date identified, or the grievant should have known, of the event or action that is the basis for the grievance. If appropriate, the step one administrator will provide a copy of the grievance to the ~~supervisor of the~~ grievant's supervisor.

Grievability Panel: The Administrative and Professional Faculty Senate Vice President, within ten weekdays of receiving a copy of the grievance form, will convene a grievability panel. The panel ~~is comprised~~ consists of the Administrative and Professional Faculty Senate Vice President and two A/P faculty senators. The panel meets to deliberate and determine the admissibility of the matter to the grievance process. (See "Valid Issues for Grievance" in this chapter) 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, ~~the~~ administrator's written response, should cite reasons for action taken or not taken. If the written response of the department head, chair, school director, or appropriate supervisor/director 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 member 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~~ under the responsibility of a different dean, the designated step two administrator consults with the programmatic dean before ~~rendering making~~ a decision.

The step two administrator gives the grievant a written decision within five weekdays after the meeting, citing reasons for the decision. If the step two administrator's written response to the grievance is satisfactory to the grievant, it ends the matter.

Step three: If the resolution of the grievance proposed in the written response by the step two administrator is not acceptable, the grievant may advance the grievance to the step three administrator. The step three administrator is the vice president for human resources or the vice provost for faculty affairs. The grievant must advance the complaint to the step three administrator within five weekdays of receiving the written response from the step two administrator. If the grievant works in a college or academic vice president's division, the step three administrator will provide the provost a copy of the grievance ~~to the provost~~.

Advancement of a grievance to step three includes consideration by an impartial Administrative and Professional Faculty Senate hearing panel unless the grievant petitions the step three administrator to bypass the hearing panel and rule on the grievance. If the step three administrator accepts the request to rule on the grievance, there is no subsequent opportunity for the grievance to be heard by an Administrative and Professional Faculty Senate hearing panel. If the step three administrator does not accept the petition, an Administrative and Professional Faculty Senate hearing panel is formed to review the grievance as outlined in these procedures. An Administrative and Professional Faculty Senate hearing panel may also be convened to determine whether a complaint may be grieved under university policy.

Within five weekdays, the step three administrator, or appropriate designated representative, acknowledges receipt of the grievance and forwards a copy immediately to the Administrative and Professional Faculty Senate Vice President. Within five weekdays, the Administrative and Professional Faculty Senate Vice President acknowledges receipt of the grievance and forwards a copy of the "Hearing Procedures of the Committee on Administrative and Professional Faculty Grievances" to parties in the grievance process. ~~The step three administrator also forwards a copy of the grievance immediately to the chair of Administrative and Professional Faculty Senate.~~

Hearing Panel: A grievance hearing for A/P faculty is conducted by an ad hoc panel selected by the Administrative and Professional Faculty Senate Vice President from the current A/P Faculty Senate membership, including Senators and Alternates. A hearing panel consists of three A/P Faculty Senators or Alternates, an alternate panel member, and the non-voting chair. The chair polls all appointees to ensure ~~that they have~~ no conflict

of interest in the case. Either party may challenge one of the appointments, including the alternate. Other replacements are made only for cause. The alternate serves as a replacement panel member if the need arises.

To ensure uniformity in practice, the Administrative and Professional Faculty Senate Vice President serves as the non-voting chair of each hearing panel. If the Administrative and Professional Faculty Senate Vice President has a conflict of interest concerning a case, they ~~chair~~ appoints a replacement from among the Administrative and Professional Faculty senators who serve on Commission on Administrative and Professional Faculty Affairs (CAPFA) at large to serve as chair of the hearing panel. In the unlikely event that all A/P faculty senators and alternates have a conflict of interest concerning a case, the Administrative and Professional Faculty Senate Vice President, in consultation with the A/P Faculty Senate ~~president~~ 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 members are appointed, the Administrative and Professional Faculty Senate Vice President requests that each party to the grievance provide relevant documentation to be shared among the parties and the hearing panel. The panel holds its initial hearing with both principals present within 15 weekdays of receipt of the grievance by the Administrative and Professional Faculty Senate Vice 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 can occur. The hearing is then reconvened as appropriate (and within the 45-day period required by this policy, unless agreed upon by both parties).

Each party to the grievance may have a representative present during the ~~sessions of the~~ hearing sessions, during at which testimony is presented. The representative may speak if requested. Representatives may also be legal counsel; if both parties are ~~so~~ represented, but if the grievant does not wish to have legal counsel at a hearing present, 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~~ Legal counsel participates is at the invitation of the parties they represent and is subject to the rulings of the chair of the hearing panel.

Findings and Recommendations: The hearing panel concludes its work and makes its recommendations within 45 weekdays of receipt of the grievance by the Administrative and Professional Faculty Senate Vice President. The time limit for consideration may be extended by agreement of both parties.

The hearing panel formulates written findings and recommendations regarding the 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 satisfactory to the grievant, even if it differs from the hearing panel's recommendations, then that ends the matter. If the step three administrator's decision is entirely consonant with ~~(or exceeds)~~ the hearing panel's recommendations of the ~~hearing panel, or if whether or not~~ it is satisfactory to the grievant even if it differs from the recommendations of the hearing panel, that ends the matter, and there is no further appeal.

Step four: If the step three administrator's decision is not consonant with the recommendations of the hearing panel and it is not acceptable to the grievant ~~and not consonant with the recommendations of the hearing panel~~, only then may the grievant ~~may~~ appeal in writing to the university president. The appeal must be made within 20 calendar days of the step three administrator's decision and must be in writing. The president's decision is final.

7.8.3 Timeliness of Grievance and Procedural Compliance

A grievance must be brought forward in a timely manner. The grievant ~~It is the responsibility for of the grievant to initiate~~ initiating 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~~ before filing or advancement ~~ofing~~ a grievance that precludes action by either of the parties to the grievance automatically extend time limits for their duration unless this would be demonstrably harmful to the fair processing of the grievance. In such cases, on written request by the grievant to the appropriate office for that step, the grievance is advanced to the next step in the grievance process.

If the grievant does not follow the time limits specified in the grievance procedure it is assumed that the last proposed resolution is accepted as satisfactory. If the grievant desires to advance the grievance after the appropriate specified time limits have lapsed, the administrator who receives the late submission notifies the Administrative and Professional Faculty Senate Vice President in writing, who determines if there was good reasonable cause for the delay. If so, the grievance proceeds. If not, the process ends with the most recently proposed resolution in force. The finding on the matter by the

Administrative and Professional Faculty Senate Vice President is communicated to both parties in writing.

If either party to a grievance charges the other with procedural violations, other than time limit issues, the Administrative and Professional Faculty Senate Vice President rules on the question, as in disputes about the validity of procedural issues qualifying for the grievance procedure. The Administrative and Professional Faculty Senate Vice President has the following options: The Administrative and Professional Faculty Senate Vice President can either find no ~~significant-substantial~~ 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-substantial~~ 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.

7.8.4 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 ~~university~~ 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-everyday~~ 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 example, complaints of unlawful discrimination or harassment, complaints related to unprofessional or unethical conduct, complaints related to non-reappointment, promotion, or abolition of position).

See chapter two of this handbook for information regarding “Allegations of Unprofessional or Unethical Conduct” against an A/P faculty member.

The Administrative and Professional Faculty Senate does not consider the subject of a grievance while it is simultaneously under review by another committee or panel of the university.

7.8.5 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 or school office within the specified time frame is acceptable. ~~This is immediately followed by submission by mail of the original form and any related materials.~~

Time limits are subject to an extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. Visit Faculty Forms for the "Agreement to Extend the Deadline for Grievance Response" form. ~~(An is available on the provost's Faculty Forms page.)~~

At step three, if necessary, ~~The~~ principals and the Administrative and Professional Faculty Senate Vice President, ~~if necessary,~~ negotiate ~~extensions of time limits extensions at step three.~~ In case of disagreement, the ~~Administrative and Professional Faculty Senate~~ Vice President rules on time extensions and procedural questions or recommendations designed to expedite the proceedings while providing a peer review of the grievance.

If an A/P faculty member is away from the assigned work location at the time the event or action is discovered that is the basis for a grievance, the 30-day period during which the grievant must meet with the supervisor or step one administrator to initiate the grievance process begins when the A/P faculty member returns to the assigned work location. If the date of return causes a delay of such length that the grievance, or its resolution, is not timely, the grievant may submit the written grievance as prescribed in step one by mail or email attachment during absence from the primary work location.

"Weekdays," as used in this procedure, include Monday through Friday only ~~and only~~ when the university is open and those days are not national, state, or religious holidays relevant to the principals in the grievance.

To protect a grievant from undue pressure in the pursuit of a grievance, if a grievant becomes ill and takes sick leave, the grievance process stops ~~until such time as~~ the grievant can resume duties. Exceptions to this provision are made at the ~~request of the~~ grievant's request, but only if the grievant obtains and produces medical certification that proceeding with the grievance will not ~~be harmful to~~ the grievant's health of the grievant or exacerbate the ailment that required taking sick leave.

The grievant bears All costs of legal counsel employed by a grievant ~~are borne by the grievant.~~

If a grievant is employed ~~away from outside of~~ Blacksburg and ~~is required to must~~ travel ~~away~~ from their duty station ~~in resolution of to resolve~~ 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 or school 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 proper~~ 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 an A/P faculty member concerning an action of either the provost, ~~senior executive~~ vice president and chief business officer, vice provost for faculty affairs, or the vice president for human resources is handled by the Administrative and Professional Faculty Senate Vice President and an impartial hearing panel. ~~Still, 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 ~~university's~~ president ~~of the university~~ is dealt with by a special panel appointed by the provost in consultation with the ~~Administrative and Professional Faculty Senate Vice President 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.

7.8.6 Overview of the Formal Grievance Process for Administrative and Professional Faculty

Below is an abbreviated overview of the grievance process and deadlines. Refer to, “The Formal Grievance Procedure” in this chapter for specific details and options available ~~in~~ at each step ~~of the grievance process.~~

Time limits are subject to extension by written agreement of both parties. The grievant and the administrator involved at that step of the discussion make such an agreement. Visit Faculty Forms for the “Agreement to Extend the Deadline for Grievance Response” form.

~~(An is available on the provost's Faculty Forms page.)~~

The ~~Administrative and Professional Faculty Senate can determine the~~ validity of a grievance under university policy ~~can be determined by CAPFA~~ at any point in the process.

Step One

Timing	Step Number and Description
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Within 30 days of event	1a. Grievant submits written grievance to step one administrator (for Extension A/P faculty this is usually the district director) and Administrative and Professional Faculty Senate Vice President.
Within 10 weekdays	<p>1b. CAPFAAdministrative and Professional Faculty Senate Vice Presidentchair acknowledges in writing to grievant that copy of grievance has been received.</p> <p>1c. 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.</p> <p>1d. If the issue is not grievable, the grievance process concludes.</p> <p>1e. If the issue is grievable, the step one administrator responds to grievance in writing on the grievance form.</p> <p>1f. If step one administrator's response is satisfactory to grievant, that ends the matter.</p> <p>1g. If step one administrator's response is not satisfactory to the grievant, move to step two within 5 weekdays.</p>

Step Two

Timing	Step Number and Description
Within 5 weekdays	<p>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.</p> <p>2b. Step two administrator meets with the grievant and provides a written response.</p> <p>2c. If step two administrator's response is satisfactory to grievant, that ends the matter.</p> <p>2d. If step two administrator's response is not satisfactory to grievant, move to step three within 5 weekdays.</p>

Step Three	Step Number and Description
Within 5 weekdays	3a. 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.
Within 5 weekdays	3b. Step three administrator acknowledges receipt of grievance and forwards copy to Administrative and Professional Faculty Senate Vice President.
Within 5 weekdays	3c. Administrative and Professional Faculty Senate Vice President acknowledges in writing to grievant that copy of grievance has been received from the step three administrator <u>and forwards a copy of the "Hearing Procedures for Administrative and Professional Faculty Grievances" to parties in the grievance process.</u>
Within 15 weekdays	3d. Administrative and Professional Faculty Senate Vice President convenes a hearing panel that holds its initial meeting with both principals.
Within 45 weekdays	3e. The hearing panel concludes its work and makes recommendation to step three administrator and grievant.
Within 10 weekdays	3f. Step three administrator meets with grievant.
Within 10 weekdays	3g. Step three administrator notifies grievant in writing of the decision.
	3h. If the step three administrator's decision is <u>satisfactory to the grievant, even if it differs from the recommendations of the hearing panel, then that ends the matter.</u> If the step three administrator's decision is fully consonant with (or exceeds) the recommendations of the hearing panel, or if whether or not it is satisfactory to the grievant, -even if it differs from the recommendations of the hearing panel that ends the matter.
	3i. If the step three administrator's decision is <u>not consonant with the recommendations of the hearing panel and</u> not acceptable to the grievant and not consonant with the recommendations of the hearing panel , <u>only then may</u> the grievant may appeal in writing to the <u>university</u> president. <u>The appeal must be made</u> within 20 calendar days <u>of the step three administrator's decision.</u>

Step Four

Timing	Step Number and Description
Within 20 calendar days	4a. Grievant appeals in writing to president. 4b. The president's decision is final.

7.9 Leave

~~For additional information, consult Human Resources Benefits, Leave—the Human Resources Leave website Leave for information.~~ Administrative and professional faculty are eligible for the following types of leave: 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 [research leave](#), particularly when they are returning to instructional faculty status. All study-research leaves and research assignments require approval by the Board of Visitors. ~~For more information, consult Research Leaves. Consult faculty affairs in the office of the provost.~~

7.10 Consulting Activities for Virginia Cooperative Extension Faculty

See chapter two of this handbook 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 [at Conflicts of Interest and Commitment](#).) 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 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, chair, school director, 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 of this handbook, "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.

CHAPTER EIGHT— GRADUATE ASSISTANTS

8.0 Policies for Graduate Assistants, Graduate Research Assistants, and Graduate Teaching Assistants

Consult [Graduate Student Catalog](#), [the Assistantship Management & Funding Guide](#), and [Graduate Assistantship Information](#) for additional information.

8.1 Graduate Student Appointments

[Policy 6210, “Management of Graduate Assistantships and Tuition Remission”](#) 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

~~For more information, consult Faculty Qualifications for Teaching. Consult Qualifications for Teaching on the provost's webpage for information on qualifications for teaching.~~ The teaching department or school has the responsibility to document the qualifications for

teaching for any Instructor of Record. Per the university's regional accrediting body, the Southern Association of Colleges and Schools Commission on Colleges (SACSCOC), a GTA who is assigned full responsibility for teaching an undergraduate course as an Instructor of Record must have a master's degree in the discipline being taught 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.

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. [For additional information, consult Policy 6210, "Management of Graduate Assistantships and Tuition Remission"](#). Graduate students receiving full-time assistantships are not prohibited from seeking additional employment. In the interest of their professional development and maintenance of satisfactory academic progress, students seeking additional employment should consult with their academic advisors, and when appropriate their assistantship providers, regarding the fulfillment of their assistantship and graduate study responsibilities. The Graduate School must be notified in advance of any additional employment plan. The Graduate School should be consulted to assist with the resolution of any conflicts of interest that may arise. Attempted resolution of conflict occurs at the departmental or school level first, and then can be referred, if necessary, to the Graduate School and/or [Office of the Graduate Ombudsman](#).

In evaluating the merits of additional employment, including outside employment, graduate students and their advisors should consider the following:

Employment by a company owned in whole or part by the faculty chair of the student's dissertation or thesis committee presents the potential for serious conflicts of interest. In such cases, another faculty member of equal or greater rank must serve as chair or co-chair of the advisory committee.

It is inappropriate for any student to receive remuneration directly from the external funding organization while also being employed as a graduate assistant or wage earner on a contract with that same organization.

It is inappropriate for any student to work for an employer who is in direct competition with a current funding source. International graduate students on assistantships may be prohibited from any additional employment by their specific visa status.

CHAPTER NINE—INSTRUCTION-RELATED POLICIES

9.0 Instruction-Related Policies

For more information, See [consult Office of the University Registrar website](#).

9.1 Assignment of Academic Responsibilities

Assignments of teaching load and academic advising are the responsibility of the department head, chair or school director and may vary from one term to the next depending on the departmental or school 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, chair or school director 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, chair, or school director is recognized in assigning duties during periods when the university is not in session. Faculty members are expected to inform their department heads, chairs, or school directors 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

As outlined in [Presidential Policy Memorandum No. 312, "Special Authority Conferred to University Registrar During States of Emergency,"](#) special, time-limited authority 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, chair, or school director. (See chapter two of this handbook "Summer and Winter Appointments.")

9.1.3 Independent Study and Undergraduate Research

For more information, consult [Office of 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, chair, or school director 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, chair, or school director 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 as individualized work. Additional information can be found ~~on the at~~ [Office of the University Registrar's website](#) [Office of the University Registrar](#).

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 at the~~ [Graduate School webpage](#). 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, chair, school director 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 or schools. Individual professors address scheduling issues through the department head, chair, school director or the designated scheduler.

The university registrar assigns classrooms. Moving the location of courses is possible only with the approval of the department scheduler and the university registrar. Enrollments may not exceed the posted room capacity. Commonwealth of Virginia fire code specifications do not allow students to be seated in the aisles or on the floor.

9.3 Registration for Classes

The registration period for each term occurs during the regular preceding term. New and transfer students register for the fall semester during online summer orientation academic advising. Students who enter the university for the first time in the spring semester or a summer term register in the usual manner.

The university registrar works with each department or school 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, chair, or school director and the dean and canceled unless there are compelling reasons for keeping the class. In the summer and winter terms, the department head, chair, or school director 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 or schools notify enrolled students of any change or cancellation of a course section. This notification should be as timely as possible for students to make alternate plans.

Students submit course requests during the published pre-registration period. After departments or schools make the necessary adjustments based on course requests, completed schedules are made available to students. Students may adjust their schedules during the add/drop period.

9.3.1 Add/Drop Period

At the beginning of the term, students may add courses through the end of the fifth day of classes and drop courses through the 30th day of classes. During the summer, students may add courses through the end of the third day of classes and drop courses through the end of the fifth for each part of the term.

During the winter term, students may add courses through the first day and drop classes through the first day of the term.

Dropping or adding courses becomes necessary if a student has an incomplete schedule, changes curriculum, fails a course in the previous term, or fails to pay fees on time, which removes the student from all classes.

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 or school for departmental or school 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, 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 or school 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 or school’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 or school determines that a copy of the textbook is on reserve in the University Libraries during any period that the textbook is to be used. Additional information on the federal textbook requirements and guidelines may be found ~~on the~~ [University Registrar's HEOA Textbook Provision page](#).

In accordance Section 23.1–1308 Code of Virginia the University has adopted guidelines for the use of low-cost and no-cost open educational resources in courses offered at the university. Such guidelines may include provisions for low-cost commercially published materials. These guidelines are available ~~on the~~ [University Libraries Open Education: OER Overview page](#).

Faculty members should not engage in direct sale of instructional materials to students. The Code of Virginia §23 1-1308 states that, "No employee of a public institution of higher education shall demand or receive any payment, load, subscription, advance, deposit of money, services or anything, present or promised, as an inducement for requiring students to purchase a specific textbook required for course work or instruction. However, such employee may receive (i) sample copies, instructor's copies, or instructional material, not to be sold; and (ii) royalties or other compensation from sales of textbooks that include such instructor's own writing or work." See also [Policy 13010, "Conflict of Interest"](#), and [Policy 6400, "Policy on University Textbook Sales."](#)

9.4.1 Faculty-Authored Course Materials

A faculty member teaching a course may not receive a royalty and/or other fees beyond direct cost of production and sales for any material used as part of class activity, except for material that has received an independent external review, that has been copyrighted, and a portion of the copyright is owned by a publisher other than the author. Faculty accused of abusing the distribution of classroom material for personal financial gain are subject to review by the Committee on Faculty Ethics.

9.5 Grading Systems

“A” to “F” system (undergraduate students): The majority of course enrollments by undergraduate students at the university are graded on the traditional A-F basis, with a 12-point plus/minus grading scale. The grades “A” through “D-” represent passing grades and “F” is a failing grade. The grade of “A” should be assigned to students who meet the learning objectives outlined for the course at a level of comprehension and performance deemed excellent. The grade of “F” should be used for those students who have not demonstrated acceptable achievement with regard to the learning objectives of the course of study. An instructor may choose not to use the plus/minus system in the assignment of grades.

“A” to “F” system (graduate students): The grading system for graduate students is similar to the A-F system with “D” as the lowest passing grade.

Pass/Fail system (undergraduate students): A pass/fail grading system is available to encourage students to enrich their academic programs and explore more challenging courses outside their major without the pressures and demands of the regular grading system. The pass/fail grading option is available to all undergraduates who have completed a minimum of 30 credit hours at Virginia Tech and have a cumulative Virginia Tech grade point average (GPA) of 2.0 or above. The following restrictions apply:

for students in a four-year program, the total maximum allowable credits for pass/fail shall not exceed 12 semester hours, exclusive of courses offered only pass/fail

for students in a five-year program, the total maximum allowable credits for pass/fail shall not exceed 12 semester hours, exclusive of courses offered only pass/fail, or 10% percent of the required hours for graduation completed at Virginia Tech—whichever is greater

a student may not enroll for more than two courses per semester on a pass/fail basis—excluding physical education activity courses and required courses offered on a P/F basis only

courses may not be changed from A-F to the P/F basis beyond the last day to drop classes without penalty

courses may not be changed from P/F to A-F beyond the last day to resign without penalty

for students in a four-year program, the total maximum allowable credits for pass/fail shall not exceed 12 semester hours, exclusive of courses offered only pass/fail

For courses offered only on a pass/fail basis, the 30-hour and 2.0 GPA requirement does not apply. Any courses taken beyond the number of hours required for graduation also may be taken pass/fail, except that no more than two courses may be taken on the P/F option per semester.

Under the pass/fail grading system for undergraduate students, a “P” is granted for earning a “D” or better in the course; otherwise, an “F” is given. The “P” or “F” is recorded

on the student's transcript and credit given if the course is passed; if the course is failed, the "F" is considered as equivalent to an "F" received under the A-F grading system and is included in calculation of the GPA. The GPA is unaffected by a "P." Once credit is received for a course taken on pass/fail, the course cannot be repeated under the A-F grading system.

Pass/Fail system (graduate and veterinary medicine students): A limited pass/fail grading system is available to encourage graduate students to explore courses outside their major. Subject to approval of the major professor, graduate students may take an unlimited number of hours of graduate course work (5000-and 6000-level) on a pass/fail basis, if outside the department or school 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 Presidential Policy Memorandum No. 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 or school of the course. Incompletes not removed during the designated time are changed to "F" and calculated in the student's GPA. It is expected that a Documentation for Assignment of an Incomplete Grade(I) for Undergraduate Students form, available on the University Registrar's website, be submitted to the college's associate dean as record of the Incomplete grade contract between the faculty member and student.

The "NG" grade (No Grade): The "NG" grade is given when a student's name appears on the class roll, but the student has never attended class or submitted work for grading.

The "X" grade (Continuing Course): The "X" mark shows that pursuit of the project begun in the course will be continued. The "X" does not compute in the student's GPA. The "X" may be assigned only for courses pre-established as eligible for this treatment. Changes from the "X" to the final grade must be submitted on change-of-grade cards; the regular grade marked on a grade sheet for an "X"-eligible course will process to that term's enrollment only.

The "EQ" grade: The "EQ" grade is reserved for graduate students enrolled in research and thesis (5994), or research and dissertation (7994). The awarding of this grade shows that the enrollment has been reviewed and the credits are to be sent to the grade report system. Failure to assign an "EQ" grade will result in the computation of the credits as failing.

The "NR" grade (Not Reported): The "NR" (not reported) grade is automatically entered when an instructor fails to award a grade to a student. The "NR" grade computes as an "F."

The "W" grade (Course Withdrawn): The "W" (withdrawn) grade is given to an undergraduate or graduate student who has applied the course withdrawal policy to a course. The "W" grade is automatically awarded based on the course option of "W." A regular grade cannot be awarded if a student has applied the withdrawal policy or "W" option to the course.

Mid-term grade reports: Mid-term grade reports are issued for first-term undergraduates and first semester transfer students for the purpose of informing them about their progress early in their first academic year. Courses that are oriented toward freshmen should be designed to include at least one substantial graded assignment in time for the mid-term grade report.

~~Projected grades for the graduating students, spring term: Projected grades for graduating students—all levels—must be submitted by the published tentative grade entry deadline in the spring semester. All students are completed for spring term based on the projected (tentative) grades received. Failure to submit tentative grades results in the student's non-completion and non-receipt of diploma at the college or department or school ceremony. Entry of tentative grades follows the same process as the end of term entry via Hokie SPA.~~

Commented [RG54]: Removed language about projected grades as that process is no longer in place.

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, chairs, or school directors may ask instructors in their department or school 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 of this handbook “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 or school office during normal working hours. Further information regarding the undergraduate honor system and the graduate honor system is located below. 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 or school 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 or school 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 this chapter "Syllabus and Performance Expectations"). 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, chair, or school director 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, chair, or school director who examines the student's allegation, discusses the matter with the instructor, and makes every effort to resolve the matter at the department or school level. In the unusual circumstance that resolution does not occur at the departmental or school or divisional level, the student may appeal to the instructor's college dean. The dean reconciles the matter by whatever mechanism is most appropriate for that college and that case.

The decision of the college dean is final in undergraduate appeals.

The student must make a grade appeal as soon as possible, but no later than the end of the next academic term of the regular academic year (i.e., fall or spring).

9.6.5 Graduate Student Grade Appeals

Graduate education is a complex activity involving a high order of student-faculty interaction and collegial relationships.

It follows that the evaluation of the graduate student's progress is, and must be, dependent in large part on the judgment of the graduate student's major professor, augmented by the collective judgment of the members of their assigned committees. The university, through the agency of the graduate school, defines minimal entrance standards and prescribes general rules governing eligibility for continuation. But the crucial agency in student evaluation is the department or school 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 or school's expectations as well. Each department or school 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 or school 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 or school 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 head, chair, or school director. 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, chair, or school director 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 Faculty 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 or school 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-theat~~ [Services for Students with Disabilities page](#)~~Services for Students with Disabilities~~. 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-theat~~ [Office of Undergraduate Academic Integrity website](#).

9.8.1.1 Faculty Participation in the Undergraduate Honor System

The support of faculty is essential to cultivating a culture of academic integrity. Faculty members are encouraged to support the undergraduate honor system and are expected to abide by the procedures designed for the effective implementation of the undergraduate honor code.

Faculty are expected to adhere to policy pertaining to the reporting and adjudication of violations of the honor code. Initiating formal procedures when academic misconduct is suspected is a necessary and obligatory component of a faculty member's duties. Any suspected violations of the honor code should be reported promptly, in writing, to the director of the Office of Undergraduate Academic Integrity. Forms of this purpose are available from all department or school offices, the undergraduate honor system office, and the [Office of Undergraduate Academic Integrity website](#). A faculty member involved in a case is also expected to cooperate with undergraduate honor system personnel, attend hearing panels, faculty-student resolution meetings, and to maintain confidentiality.

In addition, the undergraduate honor system offers the following guidelines to faculty:

Faculty are encouraged to describe the prohibited behavior and the consequences of such activity to students, as well as to openly discuss academic integrity with students in their courses early and throughout the semester.

When an alleged violation is detected, the suspected student(s)' paper should not be collected until the test is completed. However, any evidence that would be necessary in an investigation should be collected immediately. The test should be graded without prejudice and the alleged violation should be reported to the undergraduate honor system. Please provide the original assignment in question in the submission of evidence. Grades should not be adjusted in a course to compensate for suspected dishonesty.

If a professor suspects that a student or students are cheating, it is permissible to speak with the suspected student(s)—after the test or other work has been completed—and indicate these suspicions. However, it is not permissible to penalize or berate the student(s) or to take any other action that might affect the student(s).

Faculty members are not required to proctor quizzes, tests, and examinations. Faculty are expected to personally administer the examination and to remain within reasonable proximity of the examination room to answer questions that may be raised by the students. However, it is not a compromise of the undergraduate honor system to stay in the room or visit frequently, when a test is being given. In fact, precautionary measures in the spirit of reducing the opportunity for academic misconduct are advisable, especially in large classes. Seats should be spaced in examination rooms whenever possible. Alternate test forms may be used. In rare cases, such extreme measures as requiring ID when a test is handed in may be necessary to prevent organized "paid substitutes" from taking tests for other students.

Faculty are encouraged to speak with the director of the Office of Undergraduate Academic Integrity to obtain information designed to prevent academic misconduct.

The faculty, along with the students and other university personnel, share the responsibility of cultivating a culture of academic integrity and honesty through upholding the undergraduate honor code.

9.8.1.2 Undergraduate Honor Code Statement in Course Syllabi

All undergraduate course syllabi shall contain a section that states and refers students to the honor code procedures available ~~on-at the~~ [Office of Undergraduate Academic Integrity website](#). The minimum required statement is, "As a Hokie I will conduct myself with honor and integrity at all times. I will not lie, cheat, or steal, nor will I accept the actions of those who do." Additional information about the expectation of academic integrity in a particular course may be appropriate.

Each student who enrolls at Virginia Tech is responsible for abiding by the honor code. A student who has doubt about how the honor code applies to any graded assignment is responsible for obtaining specific guidance from the instructor before submitting the assignment for evaluation. Ignorance of the rules does not exclude any member of the university community from the requirements and expectations of the honor code. For additional information, ~~please see consult the Office of Undergraduate Academic Integrity Office of Undergraduate Academic Integrity website.~~

9.8.1.3 Undergraduate Honor Code Definitions of Academic Misconduct

Commission of any of the following acts shall constitute a violation of the undergraduate honor code. The list is not, however, exclusive of other acts that may reasonably be said to constitute academic misconduct.

Cheating includes intentionally using unauthorized materials, information, notes, study aids, or other devices or materials in any academic exercise, or attempts thereof.

Plagiarism includes the copying of the language, structure, programming, computer code, ideas, and/or thoughts of another and passing off the same as one's own original work or attempts thereof.

Falsification includes the statement of any untruth, either verbally or in writing, with respect to any circumstances relevant to one's academic work or attempts thereof.

Fabrication includes making up data and results, and recording or reporting them, or submitting fabricated documents, or attempts thereof.

Multiple submission includes the submission for credit—without authorization of the instructor receiving the work—of substantial portions of the same work (including oral reports) previously submitted for credit at any academic institution or attempts thereof.

Complicity includes intentionally helping another to engage in an act of academic misconduct or attempts thereof. Violation of university, college, departmental, school, or faculty rules includes the violation of any course, departmental, school, 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 System

9.8.2.1 Graduate ~~School~~ Honor System (GHS)

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.

The GHS provides a variety of resources for faculty, including tips for how to reduce violations; information about why and how to submit reports about suspected violations; how to grade students accused of an academic integrity violation; and how to support the GHS by volunteering as a faculty panelist. For more information, consult Faculty resources, Graduate Honor System.

Commented [RG55]: Corrected name "Graduate Honor System", added link to Constitution of Graduate Honor System, and added a reference to faculty resources webpage.

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 (VTC SOM) is described in the VTC SOM Student Handbook.

9.9 Classroom Conduct

Maintaining a good learning environment in the classroom is an important part of a faculty member's responsibility as a teacher. The teacher should endeavor to create a classroom atmosphere that is comfortable and welcoming of all students, including women and members of minority groups. Disruptive classroom conduct on the part of some students may be distracting, annoying, or intimidating to other students and should not be tolerated by the teacher.

As much as possible, the teacher should endeavor to create a classroom environment in which there is active participation on the part of most of the students, rather than the domination of the class by a few individual students. This may require different teaching strategies such as the use of small groups or teams, as well as different approaches to the structure of classroom presentations. Assistance for faculty who are trying to improve the learning environment of the classroom is available through the Center for Excellence in Teaching and Learning.

Faculty have the prerogative of deciding the classroom conduct and the appropriate dress of their students as long as these actions do not infringe upon the students' rights as guaranteed in principles underlying the section in the Student Code of Conduct. It is the faculty member's obligation to ensure that the classes following find a clean and orderly space.

9.10 Teaching Evaluations

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 or

school offices and from the academic deans. Student evaluation of courses and instructors is an integral component of a good teaching program. While specific procedures vary across the colleges, in general, committees in each college are responsible for designing appropriate evaluation procedures and for receiving such evaluations. Faculty members should ensure that their college's procedures for conducting student teaching evaluations are followed in a way that is absolutely free of intimidation or influence by the teacher's presence.

Student Perceptions of Teaching (SPOT) system was developed to provide a centrally supported, university-wide method for collecting student feedback regarding courses and instruction. The SPOT questionnaire is designed for use across all university departments and schools; 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, schools, and individuals wishing assistance in devising evaluation forms may consult the [Center for Excellence in Teaching and Learning](#), where a variety of such forms are available. Faculty members may find such evaluations helpful in revealing information that leads to improvement of classroom presentation, evaluation of students, and student response to their classes.

9.11 Student Record Policy

In response to the Family Educational Rights and Privacy Act (FERPA), a statement of policy on the maintenance and disclosure of student records was adopted by the university. This policy protects the privacy of student records; the specific policy document is available from ~~the university registrar's~~ [Student Privacy \(FERPA\) page](#).

9.11.1 Academic Records

Names of current and former students, that are not marked suppressed or confidential, may be selected and released to non-university entities only on the basis of class level (e.g., freshman, senior), major, or place of residence.

Pursuant to the Code of Virginia § 23.1-405, student and former student addresses (both physical and VT email) and phone numbers should not be released to non-university entities regardless if they are marked suppressed or confidential or not.

The protection of academic records, which exist in enrollment management and in the college and departmental or school files, is covered by this policy. This includes the student's right to review these records.

Responses to telephone inquiries are limited to the following information: whether the student is currently enrolled; dates of enrollment; degree(s) earned if any, date, major, and honors received; address and telephone number. The Office of the University Registrar must provide official certification of these items. Special note: no information, including directory information, may be released if a student has marked all or part of their record suppressed or confidential.

Grade reports may not be released to parents, guardians, or any other person without prior written approval from the student. Students may not have access to financial aid information about their parents or guardians without written approval from the parent or guardian.

The university may withhold transcripts, certificates, registration materials, or any other information about a student's record if financial obligations are unmet. The university also reserves the privilege of withholding materials if violations of university regulations have not been cleared.

9.11.2 Lecture Recording

Lecture recordings should be handled in a manner that ensures any and all student's personally identifiable information isn't released outside of FERPA requirements. The following guidelines should be considered when using lecture recording:

- Faculty should not upload to a public site any recording of a class session where the students are in any way the focus in the recording, either by name or by image.
- Faculty who wish to record lectures for use in later semesters may do so by recording the course in such a way that the students' identity is never revealed.
- Recordings that include student names (such as on zoom) or in which a student is presenting their work may be shared **ONLY** through Canvas and **ONLY** with the section of the course in which the student(s) are enrolled.

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 or school procedures regarding changing advisors; and bring concerns regarding quality of advising to the attention of the advisor.

Statement of advisor responsibility. The advisor shares responsibility for developing an advising partnership with undergraduate students. The advisor will: communicate with students and delivering individualized and accurate information in a professional and sincere manner; be informed of and provide accurate information about current academic policies and procedures; keep appointments and be available for assistance; provide appropriate referrals, contacts, and information; do appropriate follow-up with students; and seek out and take advantage of opportunities for professional development.

9.13 Identifying and Referring the Distressed Student

The college years can be stressful for students. In the contemporary climate of competition and pressure, some students adequately cope with these stresses, but others find that stress becomes unmanageable and interferes with learning. In some cases, these students may even disrupt the learning of others.

Identifying the distressed student. Many students initially seek assistance from faculty. A student in distress may display: excessive procrastination and very poorly prepared work, especially if inconsistent with previous work; infrequent class attendance with little or no work completed; dependency (e.g., the student who hangs around or makes excessive appointments during office hours); listlessness, lack of energy, or frequently falling asleep in class; marked changes in personal hygiene; impaired speech and disjointed thoughts; repeated requests for special consideration; threats to others; expressed suicidal thoughts; excessive weight gain or loss; behavior that regularly interferes with effective class management; frequent or high levels of irritable, unruly, abrasive, or aggressive behavior; inability to make decisions despite repeated efforts to

clarify or encourage; bizarre behavior that is obviously inappropriate for the situation; or may appear overly nervous, tense, or tearful.

Guidelines for interacting with a 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 a 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.

9.14 Faculty Awards for Teaching, Advising, Research, and Outreach

In recognition of the university's conviction that excellence in teaching, advising, research, and outreach should be a major concern of every faculty member, several awards are presented annually to honor outstanding teaching and advising performance. For information about these awards, visit University Honorifics.

Commented [RG56]: This section was unintentionally removed from the 2019-20 FHB, and should be included for reference and for consistency with PPM 458.

CHAPTER TEN—: RESEARCH, CREATIVE AND SCHOLARLY ACTIVITIES

10.0 Policies for Research, Creative and Scholarly Activities

For more information, Consult the Office of Research and Innovation~~consult the Office of Research and Innovation~~. 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. Information and PI guidelines are maintained by the Office of Research and Innovation and can be found ~~on the~~[Sponsored Research \(OSP\) Principal Investigator Resources](#)~~page~~.

10.2 Research Classifications

10.2.1 Departmental Research

Research supported by departmental operating funds and/or through adjustment of teaching responsibilities is called departmental research. In this category, faculty are free to pursue research to enrich their teaching, scholarship, and greater understanding of their discipline.

10.2.2 Core Research

Core research focuses primarily on the needs of Virginia and is funded by state and federal appropriations through the instructional division and Virginia Cooperative Extension /Agricultural Experiment Station. There are six core research sub-programs:

- agriculture and forestry research
- coal and energy research
- environmental and water resources research
- industrial and economic development research
- veterinary medical research, and
- supporting research

Faculty, who believe their research relates directly to one or more of the sub-programs and is applicable to problems or concerns of the commonwealth, should contact their department head or chair about procedures for securing core research support.

10.2.3 Sponsored Research

Sponsored research is supported through awards funded by external sponsors resulting from proposals submitted, on a project-by-project basis, by university faculty. Such proposals are submitted to state and federal agencies, corporations, and private foundations. Through sponsored research, faculty obtain the resources needed to conduct expanded research programs and may receive additional months of salary

support. Research time is charged when the work activity and work reported are during the same period.

Sponsored awards add stature to the recipient and the university; thus, faculty members are encouraged to seek such support. Restrictions for sponsored research include that the research must not constitute undue competition with commercial testing and research laboratories or with private consultants, and that it is compatible with the primary mission of the university. Questions about the appropriateness of a specific research project should be directed to the department head or chair, dean's office, or to the Office of 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-theat the~~ [Office of Sponsored Programs \(OSP\) -website](#). Faculty are encouraged to explore research sponsorships by viewing funding opportunities on the Office of Research and Innovation website. Office of Research and Innovation personnel consult with faculty regarding research support and help faculty locate programs and individuals at government agencies, industry, and private foundations.

Most funding agencies have their own scientific and technical priorities and funding restrictions. Therefore prior to writing a formal proposal, faculty are encouraged to review their proposal concept with the appropriate person at the agency to which the proposal will be submitted. Faculty may wish to discuss proposal preparation with the appropriate member of their college dean's staff. Before final budget preparation, an OSP official must review the proposed budget. The OSP official provides information and guidance about university policies for cost sharing, budgetary matters, confidentiality, publication, and intellectual property undertakings.

Faculty should be aware that some agencies limit the number of proposals, frequency of institutional proposal submission or the total dollar amount of proposals that can be submitted by an institution in response to a research sponsor's solicitation. Some sponsors also limit the number of active awards for a given program by institution. Additional guidance for these programs, along with deadlines and procedures for submitting internal notices of intent for these solicitations or program notices are available ~~on-theat~~ [Research and Innovation Limited Submissions-webpage](#).

The required process for submitting a sponsored project proposal is ~~on-the-OSP webpage~~ [found in 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 \(IACUC\)](#) using 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-facilitates~~ 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-facilitates~~ four compliance review committees with federally mandated membership composition including faculty peers and community members, that review each research protocol to ensure scientific quality, ethical treatment of research subjects (animal and human), and compliance with related federal and state research regulations.

10.5.1 Research with Human Subjects

The [Virginia Tech Institutional Review Board \(IRB\)](#) has general oversight responsibility for the university's compliance with its federal-wide assurance with the Office for Human

Research Protections in the U.S. Department of Health and Human Services, the ethical principles established in the Belmont Report, and human subjects protection regulations in the Code of Federal Regulations title 45, part 46 (45 CFR 46) and 21 CFR 50. All research with human subjects, as defined in 45 CFR 46 and 21 CFR 50, conducted by Virginia Tech faculty, staff, or students, regardless of funding source (including non-funded research), must be reviewed and approved by the IRB before research is initiated and subjects are recruited. In accordance with federal law, the Virginia Tech IRB has the authority to approve, disapprove, or require modifications in protocols before approval is granted. For studies that the IRB deems to be greater than minimal risk, the investigator must seek continuing IRB review, at least annually, or as determined by the IRB. Continuing review materials must be reviewed and approved by the IRB before the study's expiration date. No changes may be made to an approved nonexempt protocol until an amendment application is approved by the IRB. Investigators must seek research determinations from the Human Research Protection Program for all proposed research projects, which fall into one of the following categories: Not human subjects research, exempt, expedited or full-board review. [Policy 13040, "Virginia Tech Human Subjects Research Policy,"](#) establishes requirements for research involving human participants. These requirements are intended to protect the rights and welfare of human research subjects recruited to participate in research activities.

The [Privacy and Research Data Protections program \(PRDP\)](#) has oversight of privacy and confidentiality protections of research data in collaboration with Virginia Tech information security and related policy stakeholders. The PRDP collaborates with researchers, the IRB, University Libraries, and university IT resource owners on data use and storage opportunities to facilitate secure storage and use of personally identifiable information and protected health information. PRDP provides guidance [and referrals](#) 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.~~ [by maintaining an approved animal welfare assurance with the Office of Laboratory Animal Welfare, an approved research facility registration with USDA Agriculture, Animal, and Plant Health Inspection Service, and the American Association for Accreditation of Laboratory Animal Care \(AAALAC\) International accredited portions of Virginia Tech. Through these, IACUC oversees adherence to 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, additional AAALAC International FAQ's, and guidance resources provided within the regulations. All proposed research and teaching use of vertebrate animal species, regardless of funding source (including non-funded research), must be reviewed and approved by the IACUC before animals are acquired and activities initiated. In accordance with federal law, the Virginia Tech IACUC has the authority to approve, disapprove, or require modifications in protocols before approval is granted. No changes may be made to an approved protocol until a protocol amendment application is approved by the IACUC. Researchers and instructors must provide annual continuing review information and as requested. In accordance with federal regulations, protocols can only be approved for a three-year period, after which a renewal protocol must be submitted for review and approval by the IACUC. Per federal law, every six months the IACUC must inspect areas where animals are housed or used (e.g., labs where animals may be taken) and review the animal program. [Policy 13035, "Virginia Tech Animal Research Policy,"](#) establishes requirements governing the use of animals in research and training. These requirements are intended to safeguard and ~~ensure-facilitate~~ the humane treatment of animals used in research and training.

Commented [RG57]: Language regarding animal welfare compliance updated to reflect current national and international policy.

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. [Consistent with the federal and state DURC regulations and laws, 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 Policy 13050, "Virginia Tech Life Sciences Dual Use Research of Concern and Pathogens with Enhanced Pandemic Potential 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.

Commented [RG58]: Revised language to reference university policy rather than federal policy to avoid redundancy.

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-at~~ [Virginia Tech Intellectual Properties \(VTIP\) page](#) or by contacting the License team within the Office of Research and Innovation. Invention Disclosures should be made as soon as possible after creation (i.e., before publication or other public discussion) to protect the potential value and utility of the IP.

As project leader, it is the responsibility of the faculty principal investigator to preserve the research material and results in the manner that is customary to the field. This includes all notebooks and files (independent of whether they are in analog or digital format), computer files, samples, specimens, prototypes, etc. germane to the veracity and validity of the research claims. Sponsored research projects may require additional document retention based on sponsor requirements or fulfillment of the project's data management plan, included in the original proposal. All research data, results, and related materials must be retained as required by state law and in accordance with the retention requirements of the Library of Virginia's state records management program. The faculty principal investigator is also responsible for complying with any additional applicable regulations regarding data retention for specific records.

Additional requirements concerning ownership and control of research data, results, and related records are set forth in [Policy 13015, "Ownership and Control of Research Results."](#)

10.7 Financial Conflicts of Interest Related to Sponsored Research

Virginia Tech recognizes the value and necessity of engaging with outside entities to translate research into beneficial products. Transparency and appropriate management of these relationships promotes objectivity in research and safeguards the interests and reputation of Virginia Tech and its employees.

To ~~ensure-facilitate~~ compliance with state law and federal regulations, and to provide consistent institutional policies and practices in relation to all research sponsors, investigators engaged in sponsored activities research must take training and disclose financial interests related to their institutional responsibilities as described in [Policy 13010, "Conflict of Interest."](#) The Research Conflict of Interest Program is responsible for assessing and implementing management strategies for investigator financial conflicts of interest. The program also administers the university's system for outside activity and financial interest disclosure.

Once an Investigator discloses a financial interest to the university, the Research Conflict of Interest program determines whether the financial interest could directly and significantly affect the design, conduct, or reporting ~~of~~ research. If so, the situation represents a financial conflict of interest (FCOI) and the program must ~~ensure-develop~~

~~and implement~~that a plan to manage the financial interest ~~is developed and implemented prior to before~~ the start of the research. The management plan is designed to mitigate the conflict, promote research objectivity, and ~~promote~~ provide academic and professional protection ~~of for~~ graduate students and postdoctoral scholars, respectively. If needed, the Management Plan Advisory Committee (MPAC), a standing committee of the university, will make recommendations to the Research Conflict of Interest program director regarding how the financial conflict of interest should be managed to ~~ensure~~ facilitate that ~~sponsored-objective~~ research ~~will be objective and that is~~ free from bias to the extent possible.

There is a particular significance to financial conflict of interest processes when a faculty member has a financial interest in a small business that is pursuing SBIR/STTR funding in collaboration with Virginia Tech. Note that use of university resources on behalf of a small business is not permitted unless Virginia Tech is performing the scope of work authorized through the subaward from the small business to Virginia Tech and that subaward is fully executed before work begins. Only the documented subawarded work is authorized to be performed using Virginia Tech resources. University personnel cannot support the small business funding application whatsoever, including developing a budget or proposal on behalf of the small business. The involvement of the university in such activities occurs only to the extent that Virginia Tech is an intended subawardee in the research, in which case typical involvement of Virginia Tech researchers and research administrators is permissible. University personnel cannot provide any pre- or post-award support to the small business or make arrangements/handle reimbursements for small business travel. Note that rights to intellectual property cannot generally be assigned to an entity other than Virginia Tech except as permitted pursuant to [Policy 13000, "Policy on Intellectual Property"](#). See chapter two of this handbook 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 statutes 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 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~~**promote** 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 of this handbook "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](#). 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-by~~ the [Office of Undergraduate Academic Integrity-website](#). Standards of conduct and performance, as well as procedures for dealing with alleged violations of unacceptable conduct and grievance procedures, are available in the employee handbooks located ~~on-at the~~ [Human Resources page](#).

10.11.3 Procedures for Reporting, Investigating, and Resolving Misconduct in Research

The university has established detailed procedures for reporting, investigating, and resolving misconduct in research. Those procedures are available in [Policy 13020, "Policy on Misconduct in Research."](#) The research integrity officer is responsible for overseeing the procedural process. Any questions regarding the policy or procedures should be addressed to the research integrity officer in the Office of 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-facilitate~~ 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 Reporting and Certification

~~For more information, cConsult Effort Reporting~~consult the Office of Research and Innovation Financial Compliance, Effort Reporting~~Effort Reporting~~. 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 if the overall effort and salary charges during the period are consistent.

10.13.3 Effort Compliance 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 and chief research and innovation officer or designee. Membership of the IPC is set forth in the bylaws of the University Council.

CHAPTER ELEVEN: FACULTY BENEFITS

11.0 Faculty Benefits

Eligible faculty members are required to participate in a group life insurance plan, a retirement plan, and disability plan. Selection of required benefits must occur within 60 days of employment. Contact [Human Resources](#) for information. In the event of any changes in third-party benefits, vendor information is immediately available ~~in the at~~ [Benefits, section of the Human Resources website.](#)

11.1 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%~~ [percent](#) 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.

11.1.1 Health Flexible Spending Account

Salaried faculty members who work at least 20 hours per week (.50 FTE) are eligible to enroll in the commonwealth's health flexible spending account (FSA), which allows them

to set aside part of their income on a pre-tax basis and then use that money to pay for eligible out-of-pocket health care expenses for themselves, a spouse, and dependents. The minimum that may be set aside is \$10 per pay period; the annual maximum is established by the IRS and may change from year to year. A monthly pre-tax administrative fee does apply.

New faculty (with the exception of transfers from other state agencies) must request enrollment within 30 calendar days to enroll in the health FSA. Each year during open enrollment in the spring, faculty may renew FSA accounts or elect to enroll for the first time. Changes made during open enrollment are effective the following July 1. Certain qualifying mid-year events may be made outside the open enrollment period if the request for change is made within 60 calendar days of the qualifying event. Contact the Human Resources Service Center about specific qualifying mid-year events for family status change.

11.1.2 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.

New faculty employees (with the exception of transfers from other state agencies) must request enrollment within 30 calendar days to enroll in the dependent care (FSA). Each year during open enrollment in the spring, faculty may renew FSA accounts or elect to enroll for the first time. Changes made during open enrollment are effective the following July 1. Certain qualifying mid-year events may be made outside the open enrollment period if the request for change is made within 60 calendar days of the qualifying event. Contact the Division of Human Resources about specific qualifying mid-year events for family status change.

11.2 Group Life Insurance (required employee participation)

Participation in the group life insurance program is **required** of all full-time and part-time salaried faculty members. [For additional information, consult Human Resources, Benefits, Life Insurance.](#) The university pays the monthly premium and coverage is effective on the first day of employment.

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.

Per IRS requirements, life insurance in excess of the established excludable limit, in a calendar year, is taxable to current employees and those eligible for retirement upon separation.

11.2.1 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.

11.2.2 Whole Life Insurance

After the initial enrollment period in 2015, only new hires and those who initially elected to take at least a minimum \$5,000 policy will be allowed to add to their coverage on a guaranteed basis. New York Life whole life insurance is an optional program available to full-time faculty and staff members who meet eligibility requirements.

Employees can purchase a minimum \$5,000 to a maximum \$100,000 of death benefit on a guaranteed issue basis. Spouses, domestic partners, children, and grandchildren are eligible for a minimum \$5,000 and maximum \$25,000 of death benefit with no medical questions if the employee participates.

11.2.3 Long-Term Care Insurance

Genworth Life Insurance Co. offers long-term care insurance coverage, under the Commonwealth of Virginia Voluntary Group Long Term Care Insurance Program, which assists with costs related to long-term care services such as nursing home care or at-home care to assist with bathing, eating or other activities of daily living which may not be covered by most medical plans. Participant-paid coverage provides a monthly benefit allowance for covered long-term care expenses. Employees do not have to be a VRS member to be eligible, and family members may also apply for coverage.

11.2.4 Supplemental Insurance Plans

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.

11.2.5 Accidental Death and Dismemberment Insurance

Accidental death and dismemberment insurance is an optional program available to faculty and staff members on at least half-time appointment. The policy is with Zurich.

Accidental death and dismemberment insurance is available in multiples of \$5,000, in a range of benefits from \$10,000 to \$250,000. The employee pays the entire premium. Coverage is effective on the first day of the month following the month in which the application is received by Human Resources. An employee may enroll at any time in this program.

This coverage has full 24-hour, 365-days-a-year protection against accidents occurring during business or pleasure. The insurance includes accidents whether on or off the job, occurring in or away from the home, or traveling by public or private transportation. The benefits provided under this plan are payable in addition to other insurance that may be in effect at the time of accident. There are no geographical limits on this coverage. This policy also provides travel-assist coverage at no additional cost.

11.3 Retirement Plans (required employee participation)

All eligible faculty members are **required** to participate in a retirement plan and must choose either the [Virginia Retirement System \(VRS\)](#) or the [Optional Retirement Plan \(ORP\)](#) within 60 days of employment. If no choice is made, the default is the [VRS Hybrid Plan](#) (or other applicable VRS plan option) and will include enrollment in the Virginia Sickness and Disability Program. Consult [Human Resources, Benefits, the Retirement on the Human Resources website](#) for resources on retirement plans.

Part-time salaried faculty members working half-time, or more are eligible to participate in either the ORP or the VRS to the extent permitted by the VRS.

The Virginia Retirement System (VRS). Consult ~~the Human Resources Virginia Retirement System webpage~~[Virginia Retirement System](#) for information on eligibility, Plans 1 and 2, the Hybrid Retirement Plan, separation from the university, purchasing prior service, and investment options, ~~and Social Security~~. All VRS contributions are subject to applicable compensation and contribution limits per the Internal Revenue Code (IRC).

Optional Retirement Plan (ORP). ~~Consult For more information, consult the Human Resources Optional Retirement Plans webpage~~[Optional Retirement Plans](#). Contributions are subject to applicable compensation and contribution limits per the Internal Revenue Code. For faculty members hired before July 1, 2010, the university contributes 10.4% percent of base salary. No employee contribution is required. For faculty members hired on or after July 1, 2010, the university contributes 8.5% percent of base salary and the employee contributes 5% percent of their base salary.

11.3.1 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. Information is also available ~~on the Human Resources website under Human Resources Retirement page at~~[Retirement](#).

11.4 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 CareMC** Innovations, LLC, Workers' Compensation Department, P.O. Box 1140, Richmond, VA 23208-1121.

11.4.1 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 CareMC** Innovations, LLC, the university's worker's compensation carrier, will be assigned to handle the claim.

11.4.2 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.

11.5 Disability (required employee participation)

Selection of a disability plan is **required** within 60 days of employment. No selection results in defaulting in VSDP. Information on short and long-term disability is available ~~on~~ [at the Disability of the Human Resources website](#). Faculty members who enroll in the Optional Retirement Plan (ORP) will be placed in Virginia Tech's faculty sick leave plan. Faculty members who enroll in the Virginia Retirement System (VRS) will choose between the Virginia Tech faculty sick leave plan or the Virginia Sickness and Disability Plan (VSDP).

Long-term disability insurance provides income replacement based on ~~60%-~~ [percent](#) of the pre-disability salary after a six-month period if the employee is deemed disabled. These benefits may be offset by Social Security and federal retirement (if applicable). The maximum and minimum monthly benefits are outlined ~~on the at Disability of the Human Resources website~~.

Faculty members on regular appointments. Faculty members on regular appointments who select the Virginia Tech Faculty Sick Leave Plan in lieu of the Virginia Sickness and Disability Program (VSDP) are provided with 1040 hours (based on 1 FTE) of sick leave at the time of employment. 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 takes effect and provides disability income to age 65 or for five years if over age

60 at the onset of disability. For more information, consult [Human Resources, Leave Benefits, the Disability of the Human Resources website](#).

Faculty members enrolled in the Virginia Retirement System may participate in 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 employment to be eligible for the VSDP short- and long-term disability benefits. The selection for coverage under VSDP is irrevocable.

Faculty members who default into the VRS plan will be placed in the VSDP.

Faculty members on restricted appointments. Faculty members on restricted appointments not enrolled in the Virginia Sickness and Disability Program (VSDP) are automatically enrolled in a short-term disability plan administered by a third party. While on an approved short-term disability leave, the restricted faculty member is provided with 60%— percent of their salary for up to six months after an initial seven-day period. Employees who are considered disabled after six months will transition into the faculty long-term disability plan.

Faculty members on restricted appointments who selected coverage under VSDP and converted to a regular faculty appointment on or after September 1, 2017, are required to remain in the VSDP.

11.6 Holidays

For information, consult [the the-Holidays and Winter Break schedule-for information](#). Holidays observed by faculty members are New Year's Day, Martin Luther King Jr. Day, Memorial Day, Juneteenth, Independence Day, Labor Day, Thanksgiving Day and the day following, Christmas Day, the four days comprising winter break between December 25 and January 1, and other holidays that the governor may designate. If faculty members are required to work on these days due to extenuating circumstances as determined by the department head, chair, school director or appropriate supervisor, or if they are designated as emergency personnel, they may use compensatory leave at a later date. Compensatory days do not accrue as annual leave.

11.7 Leave

Consult [For more information, consult Human Resources, Leave Benefits, the-Faculty Leave, -on the Human Resources website](#). Several types of leave, with or without compensation, are available. The types of leave available are contingent on the type of appointment: regular or restricted, calendar year (CY) or academic year (AY), full or part-time, and years of service to the university.

Leave Reporting. Consult department, school, or administrative unit for information on leave reporting. A link to the Leave and Time Worked Reporting System (password protected) is [on the Human Resources Leave page at Human Resources, Benefits, Leave](#).

Information on reporting leave is available ~~on the~~ [Human Resources, Leave Benefits, Reporting Your Leave on the Human Resources website](#).

11.7.1 Annual Leave

~~Consult~~ For more information, consult ~~the~~ [Human Resources, Leave Benefits, Faculty Leave](#) ~~Faculty Leave for information~~. Annual leave must be earned before it is used. Approval of the department head, chair, school director or supervisor is required in advance of using annual leave.

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.

Academic Year (AY) Appointment. Faculty members on academic year (AY) appointments do not earn or accrue annual leave. Administrative and professional (A/P) faculty members on regular, academic year (AY) appointments earn annual leave only during the period of their appointment and at the same rate as A/P faculty members on a regular, calendar year (CY) appointment.

Academic Year (AY) Faculty with Research—Extended Appointment. Faculty members on research—extended appointment earn annual leave proportional to their appointment. However, unused annual leave is not compensated at the time of reconversion or separation from the university.

Calendar Year (CY) Appointment. Faculty members on a calendar year (CY) appointment earn two days (16 hours) of annual leave per month. After 20 years of continuous employment by the commonwealth, 18 hours of annual leave are earned per month.

Faculty members on calendar year regular (CY) 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).

Faculty members on regular, CY appointments 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.

Calendar Year (CY) Faculty on Research Leave. Calendar year (CY) faculty members on research leave earn annual leave at a rate that is half their usual annual leave earnings.

11.7.2 Sick Leave

Faculty members are encouraged to talk with an HR professional to discuss the use of sick leave for extended absences. ~~Consult For more information, consult the Human Resources, Leave Benefits, Faculty Leave website Faculty Leave.~~ The types of leave available are contingent on the type of appointment, regular or restricted, calendar or academic year, full or part-time. Department heads, chairs, school directors, deans, and other supervisors are urged to be flexible within existing university policy in responding to the need for leave or temporary adjustment of duties for family-related reasons.

Plans include the Virginia Tech Faculty Sick Leave Plan, the Faculty Family Sick Leave Plan (excludes faculty members in the Virginia Sickness and Disability Program), and Faculty Family Leave.

11.7.3 Family and Medical Leave Act (FMLA)

For detailed information and FMLA-required forms consult the [Human Resources, Leave Benefits, FMLA](#). Faculty members are encouraged to discuss the use of FMLA with the appropriate [Human Resources Representative](#). Eligible faculty members 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, school director, 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.

11.7.4 Paid Parental Leave

The commonwealth provides eight (8) weeks (320 hours) of paid parental leave to employees on a regular or restricted appointment and a minimum of twelve (12) consecutive months of employment. The paid parental leave policy is in addition to other leave benefits available to commonwealth employees. 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.

11.7.5 Leave without Pay or Leave of Absence

~~For information, consult Human Resources~~ [Leave without Pay-webpage](#) and [Leave of Absence](#). Eligible faculty members may be granted leave without pay for up to one year (academic year or calendar year depending on type of appointment) guaranteeing their job during the period of leave. A second year of leave without pay may be requested and approved in unusual cases. Approval by the provost or the Office of Research and Innovation is required.

11.7.6 Educational Leave

~~Consult For more information, consult Policy 4800, "Tuition Benefits Program for Salaried Employees" and policy-Policy 4810, "Educational Leave for Employees." Consult policy 4810 Educational Leave for Employees. AnThe "Educational Leave Request~~

~~Form~~Educational Leave Request Form" is available ~~on the~~ Faculty Forms~~provost's website~~. Contact Faculty Affairs in the provost's office for additional guidance.

11.7.7 Military Leave

Consult Human Resources, Leave Benefits, ~~the Human Resources~~ "Other Leave Types" webpage for information and contact Human Resources for guidance and a full description of military leave benefits, conditions, and reinstatement. 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 21 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. Twenty-one days of paid military leave plus an additional day for a physical is the maximum allowable for one tour of duty, even when that tour encompasses more than one federal fiscal year. Employees may use accrued annual leave to continue their pay while on military leave. Employees are granted unconditional leave without pay for the duty indicated in their military orders that is not covered by military leave with pay. To qualify for military leave, faculty members must furnish their department head, chair, school director 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.

11.7.8 Civil Administrative Leave

Consult ~~the Human Resources~~ "Human Resources, Leave Benefits, Other Leave Types"Other Leave Types webpage for information. 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 a subpoena or other supporting document accompanies the leave report.

Administrative leave with pay is not granted for more time than 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. Administrative leave is not used if a faculty member is serving as an official representative of the university. The time is treated as part of the faculty member's regular work hours.

11.7.9 Disaster Relief Leave

Department heads, chairs, school directors, and supervisors may grant release time to faculty members 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 or school file, along with the written request.

11.8 Part-time Employment

Faculty members on regular appointments may request consideration for part-time employment at proportional pay. Assigned responsibilities, including service assignments, will vary depending on the needs of the individual and the department or school and should be discussed in advance. The department head, chair, school director, or supervisor may require the faculty member to be assigned different responsibilities or transferred to another position at the same salary to accommodate the intermittent leave or reduced schedule.

11.9 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.

11.10 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.

CHAPTER TWELVE—VIRGINIA TECH CARILION SCHOOL OF MEDICINE

12.0 Virginia Tech Carilion School of Medicine (VTCSOM) Faculty

For policies applicable to VTCSOM faculty members employed by the university see the appropriate chapter in this handbook. This includes tenure-track and tenured faculty (chapter three), instructional faculty not on the tenure-track (visiting, adjunct, professor of practice, clinical faculty, collegiate faculty, and instructors), research faculty (chapter six), administrative and professional (A/P) faculty (chapter seven). Chapters two and 11 of this handbook include policies applicable to all faculty.

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 VTCSOM and the university's policies and procedures.

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

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.

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.

Ranks: assistant professor, associate professor, or professor

Instructional Faculty

Ranks: adjunct assistant professor, adjunct associate professor, adjunct professor, clinical preceptor, instructor, or senior instructor

VTCSOM Faculty Appointments and Ranks

Regular* Appointment	Appointment Description	Rank
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Tenure-to-Title Track	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.	Eligible for promotion as experience and accomplishment warrant to the following ranks: Assistant, Associate, Professor
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.	NA
Instructional Appointment	Appointment Description	Rank
Adjunct	<p>Current or previous appointment with another academic institution; defined role in teaching or mentoring medical students.</p> <p>Must possess a doctoral or other terminal degree.</p> <p>Appointments are typically for up to three years and may be renewed. Ineligible for tenure-to-title, but eligible for reappointment.</p>	<p>Assistant Adjunct Professor</p> <p>Associate Adjunct Professor</p> <p>Adjunct Professor</p>
	<p>Must possess a doctoral or other terminal degree.</p> <p>Appointments are typically for up to three years and may be renewed. Ineligible for tenure-to-title, but eligible for reappointment.</p>	
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	The Clinical Preceptor title does not change, even

	up to three years and may be renewed. Ineligible for tenure to title, but eligible for reappointment and promotion.	with prolonged service, unless a promotion is granted.
Instructors and Visiting Faculty	<p>Instructors are faculty members who may not have doctoral level degrees but have instructional roles with students.</p> <p>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.</p> <p>Visiting faculty members are individuals who are applying for a faculty position, but for whom the opportunity to instruct medical students is anticipated before the faculty appointment process is completed.</p> <p>Appointment as Senior Instructor or Instructor may be up to three years. The appointment as a Visiting Instructor is for no more than six months. Ineligible for tenure to title, but eligible for reappointment and promotion.</p>	<p>Instructor</p> <p>Senior Instructor</p> <p>Visiting Instructor</p>

~~*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.~~

~~42.2 Tenure to Title Track Faculty Appointments~~

~~Exclusive to the VTCSOM, tenure to title is the conferring of a permanent, non-employment 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 to the school (college).~~

~~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.~~

~~42.3 Department and VTCSOM Evaluation for Tenure to Title and/or Promotion in Rank~~

~~VTCSOM faculty members employed by the university should consult the department head, chair, dean's office, and relevant chapter in this handbook for guidance on evaluation and promotion.~~

~~University promotion and tenure information is located on the .~~

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 this handbook and university policies. Including chapter two "Professional Responsibilities and Conduct" and chapter three "Imposition of a Severe Sanction or Dismissal for Cause".

CHAPTER ~~THIRTEEN~~TWELVE: EMERGENCY PREPAREDNESS

4312.0 Emergency Management

Students and colleagues anticipate that their instructor or supervisor will know what to do if an emergency occurs. University resources include:

- Virginia Tech Emergency Management, 540-231-4873, @BeHokieReady, oem@vt.edu
- Virginia Tech Police Department - police.vt.edu | 540-382-4343 | @VaTechPolice
- VT Alerts - alerts.vt.edu | @vtalerts
- Virginia Tech News - news.vt.edu | @vtnews

4312.1 Know the Environment

- Know the space in which you teach and work. Identify two or more exit routes.
- Some university spaces include message boards that display VT Alerts.
- Buildings with Fire Alarm annunciators will audibly “speak” VT Alerts messages.
- Know the [Emergency Action Plan](#) for each building.
- The National Weather Service uses “watch” and “warning” in its weather communication to differentiate weather hazards.
 - **Watch:** Conditions are favorable for the development of severe weather.
 - **Warning:** Severe weather has been observed. Listen closely to instructions provided by weather radios, emergency officials, and other alert mechanisms. Seek shelter immediately.

4312.2 Prepare

- Know the information in this chapter. Keep it with you as a reference.
- Consider different protective actions in your office, teaching, and research spaces.
- [Be Hokie Ready](#). Review the preparedness material on the university’s emergency management website.
- [Keep a](#) charged cell phone with you in class, lab, or other location.
- Subscribe to [VT Alerts](#); keep your contact information updated.
- Download the [Hokie Ready](#) app.
- [Maintain a](#) list of contact numbers (e.g., department leadership, lab supervisors).

4312.3 Prepare Students and Colleagues

- During the first week of the semester, review:
 - What to do in an evacuation.
 - What to do when instructed to *Shelter or Secure* -in-Place.
 - Remind students to subscribe to VT Alerts and download the Hokie Ready app.

4312.4 During an Emergency

- Lead by example. Remain calm, follow emergency procedures and/or take protective actions as instructed by VT Alerts or emergency personnel.
- Consider “run, hide, fight” options.

4312.5 Report the Emergency

- As soon as it is safe, **call 9-1-1** and talk with the dispatcher who answers the call. Do NOT hang up the phone until instructed to do so by the dispatcher.
- Interior emergency phones (blue wall boxes) will work during power disruptions. Not all office phones will work during power outages.
- Be clear and accurate to describe the nature of the emergency.
- Give the dispatcher your full name and telephone number from which you are calling in case you are disconnected.
- Report your location, the more precise, the better. Tell them you are at Virginia Tech, give the street address, building name, and room number.
- If it’s safe, ask someone to meet emergency personnel outside of the building.

4312.6 Medical Emergency

- Create an open space for the affected individual(s) and emergency personnel
- Do not move an injured person before responders arrive.
- Only those trained properly should provide first aid, CPR, or bleeding control techniques.

4312.7 SECURE-in-Place (confronted by an assailant)

To secure-in-place is to put barriers between yourself and an assailant and to deny them access to you. Virginia Tech will send a VT Alert advising you to secure in place if an active, potentially violent, incident is occurring that requires you to act.

- Remain calm.
- If inside, lock the door and/or place a barricade between yourself and the violence or danger.
- Turn off lights and equipment, silence phones (but keep them on), draw blinds, move away from windows and doors.
- Await further instruction from VT Alerts and/or emergency personnel.
- Leave once VT Alerts and/or emergency personnel provide instructions or an “All Clear” is declared by emergency responders or via VT Alerts
- If outside, seek safety inside a building. Lock and/or barricade the door.

4312.7.1 Controlling Entry to a Secure Location

- Manage the security of an indoor space. Before opening a door consider whether the area outside the door can be seen. It is possible that an assailant is waiting outside the door.
- If a description of an alleged assailant has been communicated, and you can see outside the door, compare the person wanting entry to the description.

- Additional considerations: can the area be re-secured? Can the person leave items they are carrying outside and away from the door (e.g. backpack, laptop case, package, etc.)?
- Have the person lift up their shirt, coat, or jacket until the waistline is visible and ask them to rotate 360 degrees in case they might be concealing a weapon before letting them in.

4312.8 SHELTER-in-Place (environmental danger)

To shelter-in-place is to put barriers between yourself and an environmental danger. Virginia Tech will send a shelter in place message if a severe weather incident or similar situation is occurring. If severe weather or other dangerous situation occurs, do not wait for a VT Alerts notification.

- Remain calm.
- Respond immediately. Do not go outside to check the weather conditions.
- Shelter in the closest building. For severe weather, shelter in the building's lowest level, in an interior room or corridor, and away from windows, glass, and unsecured objects.
- Leave doors ~~open~~unlocked to allow others to shelter.
- Avoid large free-standing spaces such as auditoriums and gymnasiums.
- Use stairs if necessary. DO Not use elevators.
- Listen for instruction from VT Alerts and/or emergency personnel.
- Wait for an "All Clear" communication from VT Alerts and/or emergency personnel.

4312.9 Evacuation

Evacuation routes are posted in hallways, usually near stairwells or exits.

- Identify and know two evacuation routes.
- 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~~remain in the building.
- Once evacuated, keep students and/or colleagues together. Proceed to the designated assembly point, stay 50 feet from the building.

4312.10 Persons with Disabilities

Persons with access and functional needs may need assistance during an emergency. Those who voluntarily identify their needs may need help planning for emergencies. Students with access and functional needs may be accustomed to academic environments in which instructors and others are aware of their needs and may not have considered what they might require to take care of themselves in an emergency. Ask students to self-identify in confidence if they might require special assistance during an emergency. Considerations include:

- Auditory: Individuals with hearing impairments may not hear alarms or verbal guidance. A note or hand gestures might be necessary to communicate.

- Visual: Individuals with vision impairments may need verbal descriptions and/or help from a classmate or colleague who can escort them. Identify a “buddy” before an emergency.
- Mobility: Individuals with restricted mobility may be unable to safely leave a building. With the person’s consent, a classmate or colleague can accompany the individual to an area of refuge (e.g. a stairwell) without blocking the evacuation path.
- [Services for Students with Disabilities](#)
- ~~Office for Civil Rights Compliance and Prevention Education, Office for Equity and Accessibility,~~ [ADA & Accessibility Services](#)

2025-26 Faculty Compensation Plan

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

April 15, 2025

As the university develops the annual Faculty Compensation Plan, it continues to use historical guidance provided by the commonwealth¹ and the university's Faculty Handbook. This faculty compensation plan defines the qualification criteria for faculty, provides guidance on the compensation process for faculty, and requires Board of Visitors' approval.

The university's 2025-26 Faculty Compensation Plan covers:

1. the 2025-26 pay structure;
2. the promotion and tenure process;
3. the annual evaluation and salary adjustment process for teaching and research faculty (T&R) and administrative/professional (A/P) faculty; and
4. salary adjustments within the evaluation period.

This faculty compensation plan is only for faculty positions. The compensation plan for staff is administered separately by the university administration in accordance with the Board of Visitors' approval of the university's Management Agreement, effective July 1, 2006, as well as guidance from the commonwealth and the state's Department of Human Resource Management.

Virginia Tech Salary Average and Benchmark Ranking for T&R Faculty

For strategic planning purposes, the university has established a metric goal of reaching the 50th percentile of the Top 20 Land Grant universities in the nation as ranked by the Wall Street Journal/Times Higher Education World University Rankings. The university's actual salary average as compared to the Top 20 Land Grant group can be seen in the table below. The university's competitive positioning among this group for Fall 2024 will be computed once the Integrated Postsecondary Education Data System (IPEDS) data becomes available.

	Fall 2023	Fall 2024*	Change
<u>Top 20 Land Grant Group</u>			
50 th percentile (excl. VT)	\$125,271	N/A	-
VT Average Salary	\$123,858	\$127,397	2.86%
VT Rank	11 of 20	N/A	-
VT Percentile	48 th	N/A	-

**IPEDS peer salary data for Fall 2024 is not yet available.*

¹ Secretary of Education, *Consolidated Salary Authorization for Faculty Positions in Institutions of Higher Education*, September 7, 2001.

Attachment A provides a list of the university's peer group and the comparative salary averages for Fall 2023.

Although peer salary data is not yet available for Fall 2024, Virginia Tech's salary average was \$127,397. This overall average was 2.86% more than the Fall 2023 salary average. Within this overall average:

- **Continuing faculty:** 1,848 T&R faculty were a part of both the Fall 2023 and Fall 2024 averages and had an average salary of \$129,437, an increase of 4.0% over the prior year.
- **Departing faculty:** 183 T&R faculty who were a part of the Fall 2023 average did not subsequently appear in the Fall 2024 average and had an average salary of \$117,836.
- **New faculty:** 222 T&R faculty were a part of the Fall 2024 average who were not included in the Fall 2023 average and had an average salary of \$110,421.

2025-26 Faculty Pay Structure

Consistent with traditional commonwealth guidance, a pay structure for T&R faculty for 2025-26 is presented in Attachment B. This plan is derived from the 2024-25 approved plan and incorporates the estimated impact of the planned merit program on entrance rates for 2025-26. The attachment also displays the normal entrance rate for each faculty category along with the change from the approved compensation rate for each rank, along with the distribution of faculty across the ranks. T&R faculty entering salaries will vary based on faculty discipline.

Promotion, Tenure, and Continued Appointment

Promotion to a higher rank and appointment with tenure may be granted to faculty members on a regular faculty appointment who have demonstrated outstanding accomplishments in an appropriate combination of learning, discovery, and engagement. A current curriculum vitae together with student and peer evaluations of teaching, reprints of publications, evaluations by external reviewers from the same or a related field, and other similar documents comprise a dossier which furnishes the principal basis for promotion and tenure decisions. Faculty members being considered for either promotion or the awarding of tenure will have their dossiers reviewed **at three levels:**

- by a departmental/school committee and the head, chair, or school director;
- by a college committee and the dean; and
- by a university committee and the Provost.

Each candidate for promotion or tenure will be evaluated in the following areas: teaching, scholarship, and service. Although not all candidates are 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.

Because of the university's mission and commitment as a major research institution, successful candidates for the rank of professor must demonstrate excellence in research, scholarship, or creative achievement, as appropriate for the candidate's discipline and assignment. Promotion to the rank of professor is contingent upon national or international recognition as an outstanding scholar and educator.

In addition to the rank promotions within the faculty categories described below, faculty may be promoted to ranks within other faculty categories, as appropriate (for example, an Instructor may be promoted to a rank within the Professor of Practice or Collegiate Faculty categories).

The Faculty Handbook provides detailed policies and procedures for the departmental evaluation, the college evaluation, and the university evaluation.

Members of the Library faculty not holding appointments in a collegiate department may be considered for continued appointment or for promotion in faculty rank in recognition of appropriate professional accomplishments. Candidates for promotion or continued appointment will be reviewed at two levels: first by the University Libraries continued appointment committee and Dean of University Libraries, and second by the University Promotion and Continued Appointment Committee and the Provost.

The following raises are recommended for promotions to:

Professor	\$10,000
Associate Professor	7,000
Assistant Professor	5,000

For academic-year faculty members who have Research Extended Appointments (10-, 11-, or 12-month appointments funded by sponsored projects) with salaries adjusted in accordance with formulas in Policy 6200 – Policy on Research Extended Appointments, or for those who have a limited-term appointment as department head or other administrator, the stipend is adjusted by the same conversion rate to preserve its value when the faculty member returns to the academic-year base appointment.

Clinical Faculty

The clinical faculty track provides for long-term, full-time or part-time faculty appointments to individuals whose primary responsibilities are instruction and/or service in a clinical setting, such as veterinary medicine. Tenure cannot be earned in these ranks, and time spent in one of these ranks is not applicable toward probationary tenure-track faculty service. There are four non-tenure-track clinical ranks beginning with Clinical Instructor. Those clinical faculty members with outstanding performance may be considered for

promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

The following raises are recommended for promotions to:

Clinical Professor	\$10,000
Clinical Associate Professor	7,000
Clinical Assistant Professor	5,000

Collegiate Faculty

The collegiate professor series provides for short- or long-term, full- or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. There are three non-tenure-track collegiate professor ranks, beginning with Collegiate Assistant Professor. Tenure will not be awarded at any of these ranks and service at these ranks is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position. Collegiate faculty members with a record of significant scholarly and/or professional achievement may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

Collegiate Professor	\$10,000
Collegiate Associate Professor	7,000
Collegiate Assistant Professor	5,000

Professor of Practice

The professor of practice series provides for short- or long-term, full- or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. There are three non-tenure-track professor of practice ranks, beginning with Assistant Professor of Practice. Tenure will not be awarded at any of these ranks and all service at one of these ranks will be excluded from the probationary period should the faculty member later be appointed to a tenure-track position. Professor of practice faculty members with a record of outstanding performance may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

Professor of Practice	\$10,000
Associate Professor of Practice	7,000
Assistant Professor of Practice	5,000

Instructors

The instructor track provides for full- and part-time appointments to individuals whose primary responsibilities are to the undergraduate instructional program. Tenure will not be awarded at any of these ranks and all service at any instructor rank will be excluded from the probationary period should the faculty member later be appointed to a tenure track position. There are three ranks in the series: Instructor, Advanced Instructor, and Senior Instructor. Those faculty members with outstanding performance may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

The following raises are recommended for promotions to:

Senior Instructor	\$7,000
Advanced Instructor	5,000

Extension Agents

There are three ranks for extension agents: Associate Extension Agent, Extension Agent, and Senior Extension Agent. Criteria for promotion in rank include educational preparation, performance, and professionalism. The Director of Cooperative Extension makes a recommendation to the Provost based on an evaluation of the candidate's dossier and recommendations of the Peer Review Committees, District Director, and Associate Directors of Cooperative Extension.

The following raises are recommended for promotions within Cooperative Extension:

Senior Extension Agent	\$7,000
Extension Agent	5,000

Extension Specialists

There are three ranks for extension specialists: Associate Extension Specialist, Extension Specialist, and Senior Extension Specialist. Extension faculty may or may not hold an appointment in an academic college. They are, nonetheless, subject to high professional standards in the dissemination of knowledge through the Virginia Cooperative Extension programs and in the planning and delivery of educational programs and programs of assistance to industries and local governmental agencies. Recommendations for promotion in rank are made to the Provost based on an evaluation of the candidate's dossier and recommendations of the Promotion Review Committee and Department Head and/or District Director.

The following raises are recommended for promotions to:

Senior Extension Specialist	\$7,000
Extension Specialist	5,000

Virginia Tech Carilion School of Medicine Faculty

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

Virginia Tech Carilion School of Medicine faculty employed by Virginia Tech will be classified into one of the previous categories (tenure track, clinical, collegiate, professor of practice, or instructor) or as administrative and professional (A/P) faculty.

Virginia Tech Carilion School of Medicine faculty employed by Carilion Clinic may be granted tenure-to-title at the discretion of the school without any right to, interest in, or expectation of any compensation or guarantee for compensation or future employment. Tenure-to-title is recognition of a faculty member's significant accomplishments in teaching, clinical care (if relevant), scholarship, and service to the school.

The tenure-to-title and/or promotion in rank dossier is reviewed at three levels: (1) by an appropriately charged departmental committee and the department head or chair, (2) by an appropriately charged college-level committee and the dean, (3) and by the Provost. The department head or chair and dean make separate recommendations to the subsequent review levels. The Provost reviews college and dean recommendations and makes recommendations to the President. The Board of Visitors grants final approval.

Annual Evaluation and Salary Adjustments

Teaching and Research Faculty

An evaluation of every faculty member's professional performance is held each year. All persons holding non-temporary faculty appointments are asked to prepare a report at the end of each calendar year citing their instructional activities, research and creative scholarship, and other professional activities and recognitions during the year. Salary recommendations are based upon performance documented in these annual reports, which are reviewed by departmental personnel committees in some cases, by the department head or chair, and the dean.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the department head or chair and are reviewed by the dean. The dean then provides the salary adjustment recommendations for review by university leadership prior to submission to the President or designee.

Administrative/Professional Faculty

The Administrative/Professional Faculty are comprised of executive and senior administrators and as Professional faculty. Executive or senior Administrators perform work directly related to management of the educational and general (E&G) activities of the institution at least 50 percent or more of their contractual time, and typically serve in executive leadership roles such as vice provost, vice president, dean, director, and assistant or associate vice president or dean. Professional A/P faculty typically have responsibility for supervision and evaluation of a significant number of university staff and/or other 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. Professional faculty regularly exercise discretion and judgment on matters of significance and take initiative in conducting their primary roles and assignments. Professional faculty include, but are not limited to, Extension faculty, librarians (not on continued appointment-track appointment), coaches, physicians, lawyers, engineers, architects, student or academic affairs professionals, development officers, public relations, human resources, or information technology, and financial specialists.

Evaluations are based upon standards set by the supervisor with the participation of the faculty member and relate closely to the duties inherent in the functional title and job description of the position. Annually set expectations become one of the important criteria for judging professional job performance in the subsequent year. In addition to maintaining a high level of performance in carrying out their job-related duties and responsibilities, executive and senior administrators, and professional faculty, are expected to participate in and provide leadership of departmental, divisional, or university-wide committees, special university-wide assignments, or similar activity on behalf of important university priorities.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the supervisor and are reviewed as appropriate by the department head, dean, and vice president. The dean or vice president provides salary adjustment recommendations for approval by university leadership prior to being considered by the President or designee.

Research Faculty

Research faculty are those with the titles of research associate, senior research associate, postdoctoral associate, research scientist, senior research scientist, research assistant professor, research associate professor, research professor, project associate, senior project associate, or project director. Research faculty appointments are intended to promote and expedite the research activities of the university. Tenure cannot be earned in these ranks and service is not applicable toward probationary faculty service.

Each research faculty member is evaluated and given a merit adjustment on the same schedule for evaluations and raise recommendations as the other faculty groups. Salary adjustments are based on merit; they are not automatic. An annual performance review by the principal investigator and/or department head becomes part of the basis for salary adjustments. Recommendations for salary adjustments originate with the supervisor (usually the principal investigator or the department head or chair) and are reviewed, as appropriate, by the department head or chair, dean, and vice president for research and innovation. At the university level, the dean or vice president reviews the salary adjustment with university leadership prior to being considered by the President or designee.

Other Salary Adjustments

Faculty salary adjustments are normally reviewed and approved in two phases: adjustments for promotion are recommended at the June meeting and compensation programs are planned in the university budget process and in compensation plans developed in congruence with any applicable state compensation program.

In addition to this process, it is sometimes necessary to adjust the salaries of specific faculty members at other times during the fiscal year. These adjustments are primarily for changes in duties and responsibilities, special temporary assignments, retention or other exceptional needs, and faculty selected for a different position as part of a search. Adjustments on the anniversary date of appointment for a restricted faculty member may also be approved in lieu of the normal merit process.

To recognize continued educational attainment, faculty members may receive a base salary adjustment of up to \$3,000 for completion of a graduate degree effective upon official certification by the degree-granting institution that all requirements have been met for award of the degree.

By a separate resolution, the Board has delegated authority to the President, or designee for various employment and salary adjustments. The President, Provost, and Chief Operating Officer are authorized to administer the faculty compensation plan during the year and act upon requests for salary adjustments. The President has issued a set of guidelines establishing the parameters for approval of special salary adjustments. The quarterly Personnel Changes Report will reflect those actions of strategic importance to the institution not otherwise delegated through separate resolution.

Faculty Research Incentive Plan

During 2011-12, a university workgroup developed a university savings program by incentivizing faculty research activities. This effort resulted in the Board's creation of a Faculty Research Incentive Program (FRIP) that has similarities to programs at peer institutions. This plan was implemented in 2012-13 and will be continued in 2025-26.

The goal of the FRIP is to provide an incentive for principal or co-principal investigators to secure additional competitively awarded, externally sponsored activities. Through the leveraging of appropriately charged time to competitive grants and contracts, research time that is funded by departments or colleges can be reduced, resulting in salary savings that can be used to both support the incentive program as well as to support academic initiatives.

One-time research incentive payments are made from department or college salary savings and are based on a minimum savings threshold that is applied equitably within departments or colleges. Faculty must apply in advance to be considered for the program. Research incentive payments must be approved by the department head or chair, the dean, and the vice president for research and innovation (or the appropriate administrators based on reporting structure); all disapprovals must also be reviewed by each management level. When salary savings result in a reduction in faculty assignments, those salary savings are excluded from the program.

Update on 2024-25 Faculty Compensation Plan

Consistent with the biennial budget approved by the Governor and General Assembly, the Board of Visitors approves an average three-percent faculty merit increase for teaching, research, administrative and professional faculty, effective on the July 1, 2025 paycheck, with salary increases being implemented differentially based on individual performance. The President, or designee, shall implement the results of the merit program within the parameters specified in the final state Appropriation Act and the university's Faculty Compensation Plan. A summary of the results of this process will be shared with the Board at its next regularly scheduled meeting following full implementation of the plan.

Other 2025-26 Compensation Actions

To maintain and improve upon the university's standing relative to the 50th percentile of the Top 20 Land Grant peers, the higher levels of competing offers offered to key faculty, and to minimize the high cost of turnover, the university will continue to explore opportunities to improve the competitiveness of Virginia Tech faculty compensation.

In addition to the merit program outlined previously, the university may also elect to create a supplemental pool to achieve certain targeted salary compensation or retention needs. For example, in some years the university has worked to address issues such as salary compression and equity needs. For 2025-26, such changes may result from one or more of the following processes:

- The university establishes a special pool of funds to address salary for faculty who have achieved national distinction in their field. The funding will only be used to make adjustments based on evaluations of specific circumstances surrounding individual faculty members. As such, these adjustments would not be available to all faculty

members and may occur at any time during the year, subject to approval by the President or designee.

- The President may use a special pool of funds to adjust individual salary recommendations made by the vice presidents and deans when he determines that a different adjustment is warranted.

RECOMMENDATION:

That the proposed 2025-26 Faculty Compensation Plan be approved.

June 3, 2025

VIRGINIA TECH

T&R Faculty Peer Salary Benchmarking

Fall 2023

Top 20 Land Grants Ranked in THE 2024 World Ranking*

<u>Institution</u>	<u>Average T&R Salary ⁽¹⁾</u>	<u>Rank</u>
University of California-Davis	\$159,262	1
University of Maryland-College Park	146,257	2
University of Wisconsin-Madison	137,012	3
Texas A & M University-College Station	128,705	4
University of Connecticut	128,387	5
Rutgers University-New Brunswick	127,887	6
University of Illinois at Urbana-Champaign	127,603	7
Purdue University-Main Campus	127,372	8
Ohio State University-Main Campus	126,543	9
University of Hawaii-Manoa	125,271	10
Virginia Tech	123,858	11
University of Massachusetts-Amherst	122,464	12
University of Minnesota-Twin Cities	120,066	13
Michigan State University	119,896	14
University of Florida	116,472	15
University of Tennessee-Knoxville	114,059	16
Pennsylvania State University-Main Campus	113,027	17
North Carolina State University	112,917	18
University of Arizona	109,879	19
Washington State University	97,965	20

Virginia Tech Actual Salary Average Percentile

48th

(1) Average salary of peer institutions is based on the latest available data (Fall 2023) from IPEDS

*Excludes University of California-Berkeley and Cornell University

2025-26 T&R Faculty Proposed Pay Structure

Virginia Tech

	Minimum Entering Salary for 9-Month T&R Faculty		Minimum Entering Salary for 12-Month T&R Faculty		Distribution of Faculty by Rank
	Entrance	Change	Entrance	Change	
Professor	\$112,893	3.0%	\$137,689	3.0%	29%
Associate Professor	86,344	3.0%	104,625	3.0%	29%
Assistant Professor	71,428	3.0%	86,883	3.0%	29%
Senior Instructor	61,261	3.0%	79,711	3.0%	2%
Advanced Instructor	54,618	3.0%	70,856	3.0%	2%
Instructor	50,060	3.0%	65,133	3.0%	9%

Provost's Update
ACADEMIC, RESEARCH, AND STUDENT AFFAIRS COMMITTEE
June 2, 2025

Cyril Clarke, executive vice president and provost, will provide an update.

INSTITUTE FOR ADVANCED COMPUTING



Dr. Cyril Clarke

Executive Vice President and Provost

Institutes at Virginia Tech

Investment Institutes:

University-level organizations that convene researchers from across campus to focus on high-potential, interdisciplinary projects. Resources provided include funding, space, and core equipment. Faculty retain as their primary homes their respective academic units.

Thematic Institutes:

University-level organizations committed to advancing a particular thematic area of emphasis, such as transportation, national security, biomedical research and advanced computing. Faculty retain tenure in their respective academic units, but their primary membership is in the institute community. Thematic institutes have deep relationships with sponsors and receive substantial extramural research grants and/or contract funding.

Institute for Advanced Computing



IAC Mission and Vision

As a thematic institute, the **Institute for Advanced Computing** (IAC) will catalyze a culture of innovation that unlocks the power of its faculty and students to solve the world's most pressing problems through computing technology.

- IAC will unite top innovators in computing technologies to integrate faculty and students into the science and technology ecosystem of our nation's capital and beyond.
- Through research leadership, experiential learning, and strategic partnerships, real-world and human-centered challenges from industry and government will be addressed.

Institute for Advanced Computing



Thematic Emphasis

Core Computer Science and Computer Engineering:

- Artificial Intelligence & machine learning
- Next G wireless
- Quantum architecture and software development
- Intelligent interfaces

Possible areas of closely-connected applications:

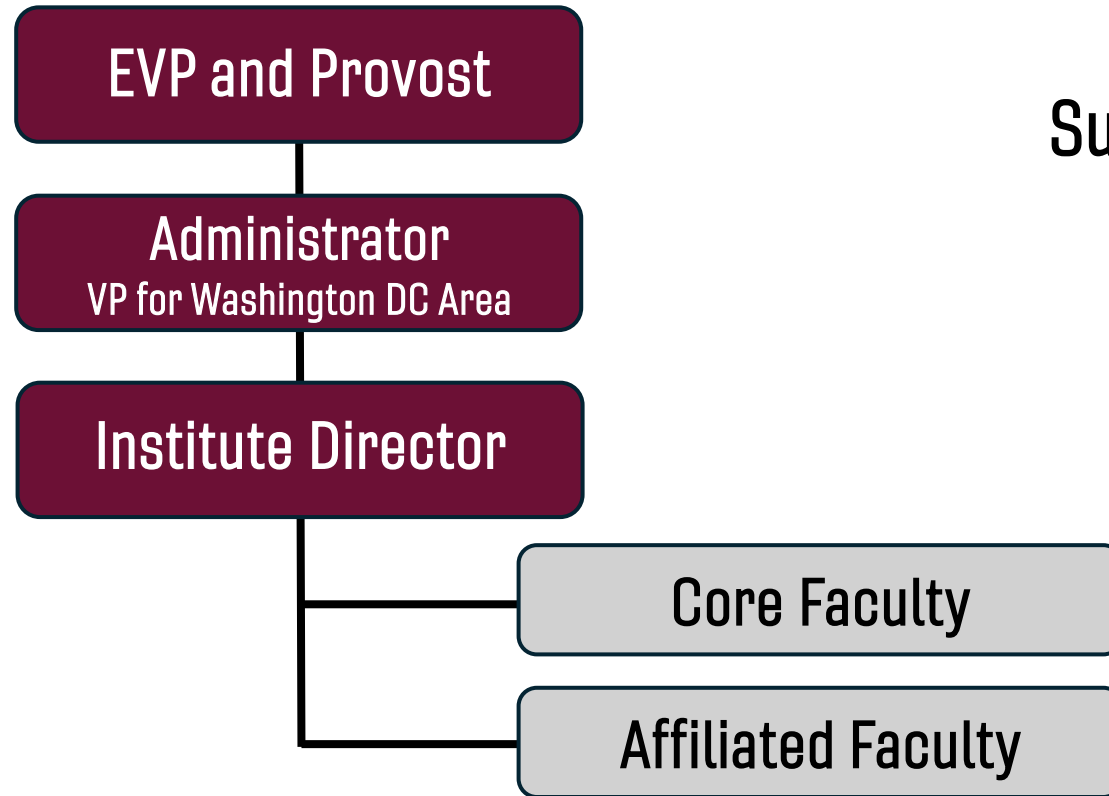
- Business analytics
- Sports, arts and entertainment
- Health sciences



Institute for Advanced Computing



Organizational Structure and Governance



Supported by:

- Internal stakeholder committee
- External advisory board

Potential for Impact

- Innovative research:

 - Artificial Intelligence & machine learning*

 - Next G wireless*

 - Quantum architecture and software development*

 - Intelligent interfaces*

- Innovative, project-based graduate education:

 - MEng in CS and ECE; PhD*

- Close collaboration with non-university partners

- Visibility, branding and communication in Washington DC Region



Institute for Advanced Computing



Process and Approval

Addresses requirements of Virginia Tech Policy 13005 - Centers and Institutes: Establishment, Governance and Programmatic Oversight, encompassing approval of the following items:

- Rationale for the Institute
- Vision and mission
- Description (including overviews of strategic objectives, impacts, strategic approach, faculty and student involvement, and clientele.)
- Governance
- Financial plan
- Metrics and goals
- Letters of endorsement
- Final approval by Provost

Timeline and Next Steps

- Development and drafting of IAC charter (Fall 2024)
- Appointment of interim director (May 2025)
- Approval of IAC charter and public announcement (May 2025)
- Update and overview for Virginia Tech Board of Visitors (June 2025)
- Appointment of administrator (June 2025)

- Launch national search for inaugural IAC director (TBD)

Questions or Comments



INSTITUTE FOR ADVANCED COMPUTING

Undergraduate Enrollment Plan

Dr. Cyril Clarke, Executive Vice President and Provost

Dr. Juan Espinoza, Vice Provost for Enrollment Management

Academic, Research, and Student Affairs Committee

Board of Visitors

June 2, 2025



LAND GRANT MISSION

The importance of access to higher education is a major driver in meeting the needs of the Commonwealth.

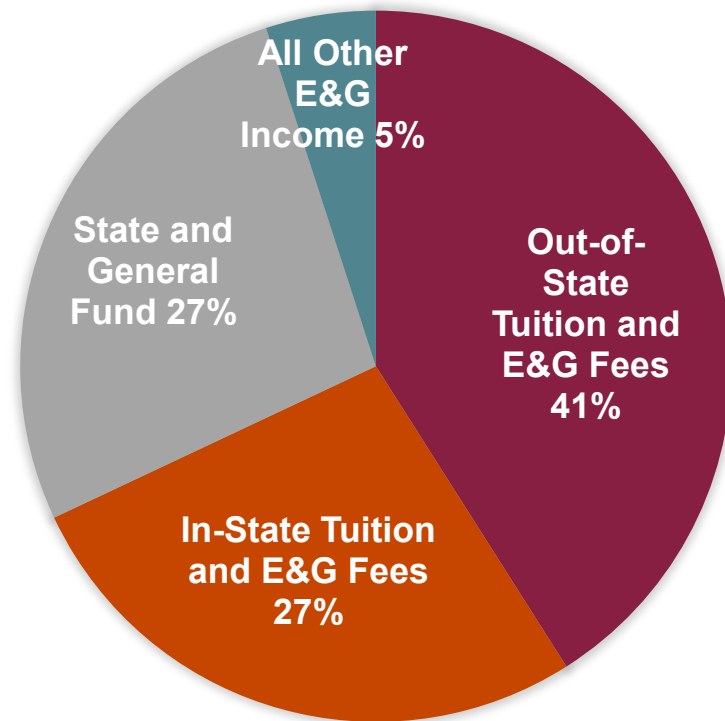


ECONOMIC DEVELOPMENT

The role of Virginia Tech in advancing economic development through graduation of a skilled workforce.

RESOURCING THE MISSION

FY26 E&G Revenue by Major Source



Enrollment plays a pivotal role in our budget as Tuition and E&G Fees contribute 68% to overall E&G Revenue

UNDERGRADUATE ENROLLMENT PLAN

	2025	2026	2027	2028	2029
Projected Fall Enrollment	31,661	32,135	32,519	32,845	33,211
# of New Students Over Prior Fall	+626	+474	+384	+326	+366
Growth Rate Over Prior Fall	2.0%	1.5%	1.2%	1.0%	1.1%
FTIC Cohort Class Size	7,085	7,251	7,290	7,388	7,431
Transfer Cohort Class Size	1,025	1,175	1,175	1,175	1,175

- Assume 1,175 transfer each in fall and 50 First-Time in College (FTIC) + 300 transfer in each spring.
- Assumes continuation rate is steadily improved for Out-of-State (OOS) students.



VIRGINIA TECH[®]



EXPANDING THE SEARCH FOR CRITICAL
MINERALS IN APPALACHIA

EXPAND APPALACHIA CORE-CM

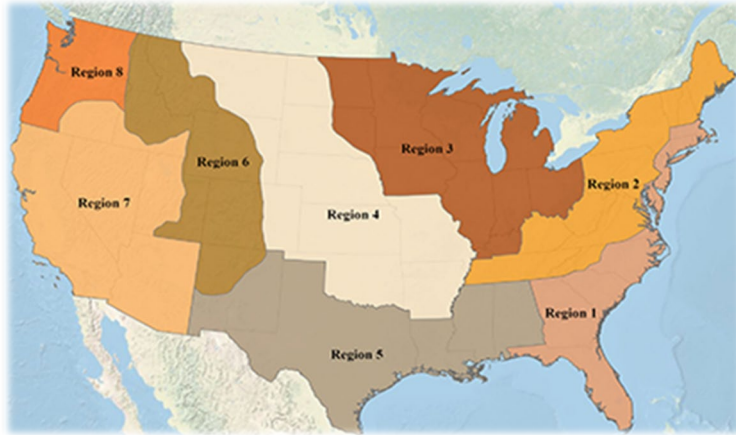
Richard Bishop

Professor of Practice, Virginia Tech

Academic, Research, and Student Affairs Committee
Board of Visitors
June 2, 2025

EXPAND APP RESEARCH TEAM

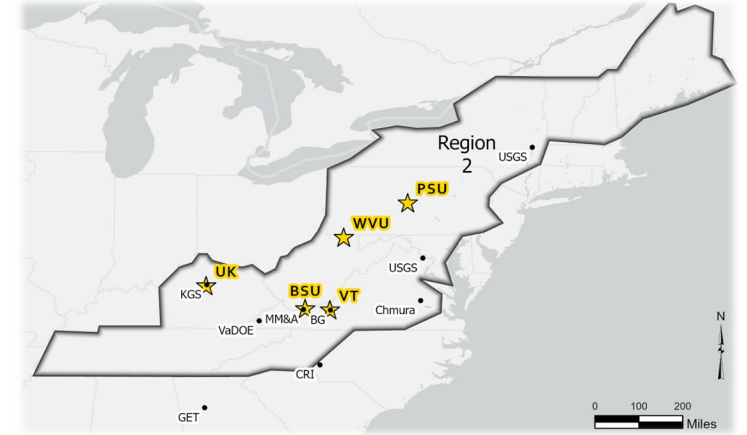
VT-led consortium including academia, labs,
government and consultancies



Virginia Center for Coal &
Energy Research

Virginia Tech

Mining & Minerals Engineering



**Penn State
Mining Engineering**

**Bluefield State Univ.
Mining Engineering**

**University of Kentucky
Mining Engineering**

**West Virginia University
Mining Engineering**

**Marshall Miller
& Associates**

**Chmura Economics
& Analytics**

Coalfield Strategies

**Crescent Resource
Innovation**

U.S. Geological Survey

**Kentucky Geological
Survey**

**Virginia Department
of Energy**

Bandy Geological

LEADERSHIP

Principal Investigators



Richard E. Bishop, PhD

Professor of Practice, Mining & Minerals Engineering

- PI, Expand APP Project
- BSc, MSc, PhD - Virginia Tech
- 20+ years of mining industry experience
- Former Precious Metals Analyst, Royal Bank of Canada
- Former CEO of exploration companies in Mongolia & South Africa
- 10-year VT Mining Industry Advisory Board Member
- 2013 VT COE Outstanding Young Alumnus Award Recipient



Aaron Noble, PE, PhD

Professor & Dept Head, Mining & Minerals Engineering

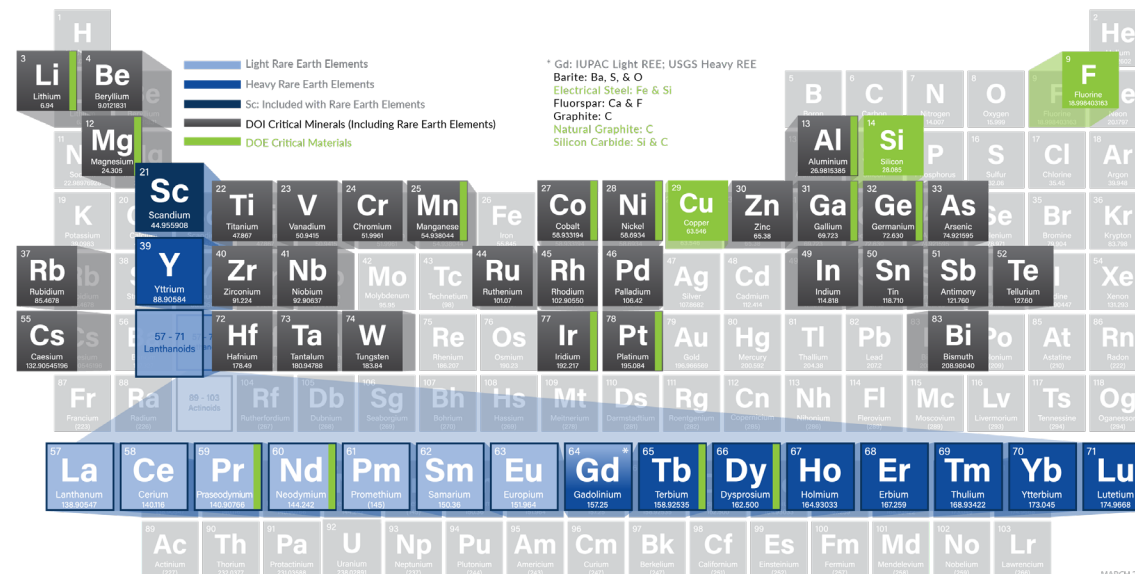
- Co-PI, Expand APP Project
- BSc, MSc, PhD - Virginia Tech
- 15 years of experience in academia
- 50+ research contracts and grants in critical minerals
- 3 patents (4 additional pending) in mineral processing
- Top 10 highly ranked global scholar in Rare Earth Elements (ScholarGPS)

CRITICAL MINERALS

Definition and relevance

50 Critical Minerals

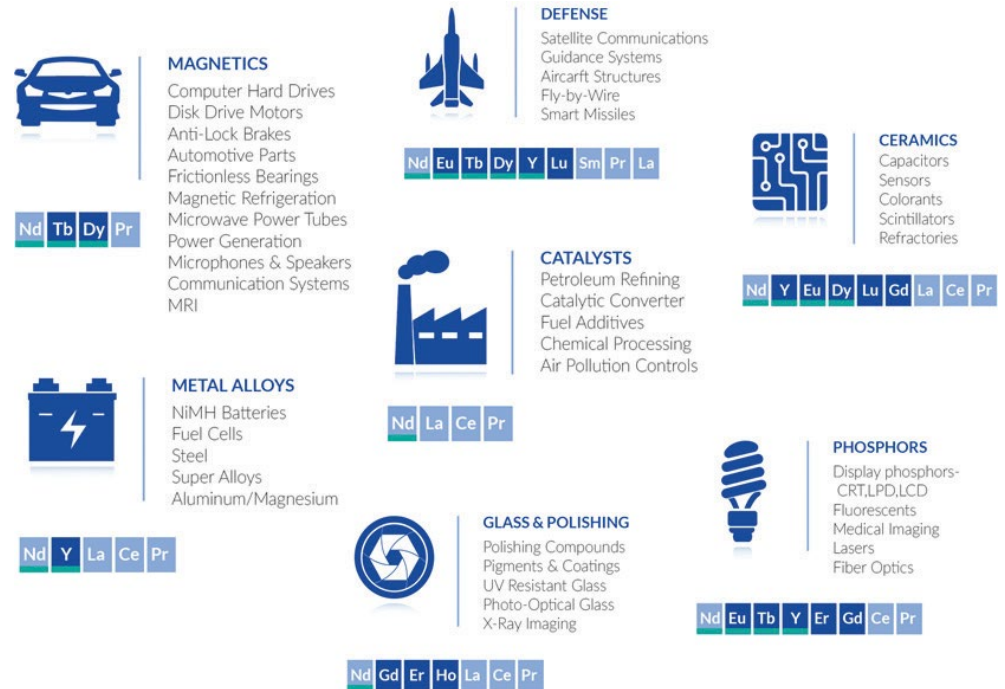
are vital to the economy and national security for manufacturing and technology, and yet they have no easy substitute



17 Rare Earth Elements

are a subset that occurs at low concentrations in the earth's crust and can also be found in coal-based resources



Key building blocks for current high-demand and next—gen industries



Source: <https://www.netl.doe.gov/resource-sustainability/critical-minerals-and-materials/rare-earth-elements>

CHALLENGE FOR THE US

Economic and national security concerns

CURRENT SITUATION 	 RISKS FACED
<p>Dependency on imports <i>+80% from foreign sources, led by China</i></p> <p>Accelerating demand for scarce resources</p> <p>Uncertain political and trade policies</p> <p>Immature development of domestic economic infrastructure <i>(industry, tech, workforce, regulations, standards, incentives, tariffs, R&D funding, etc.)</i></p>	<p>Supply Chain disruption</p> <p>Reduced industry competitiveness</p> <p>Foreign economic leverage</p> <p>National security threats</p> <p>Environmental damage</p>

ADDRESSING THE CHALLENGE

Initial steps to advance domestic growth

U.S. path to secure, reliable, and sustainable domestic supplies of strategic mineral resources

Collection and analysis to understand mineral structure and concentration levels

Source identification & characterization

Stakeholder engagement across industry, government and communities

Awareness & buy-in

Plans to develop regional technology innovation centers

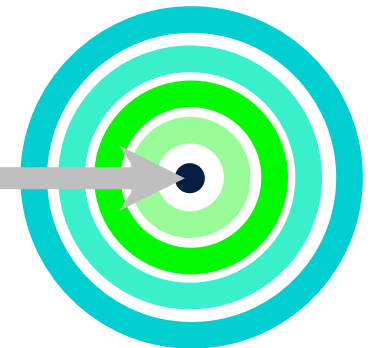
Innovation

Economic infrastructure

Assessing existing assets and new industry growth needs for end-to-end capabilities from extraction, processing technologies, manufacturing and distribution

Workforce development

Plans for training future technicians, skilled workers and STEM



Future phases along the journey

Virginia Tech has the expertise, infrastructure & structural advantages to lead the nation in these initiatives.

EXPAND APP PROJECT

Next phase of CORE-CM work facilitating a domestic critical minerals future

U.S. Department of Energy – CORE-CM Program

Project Phase	Evolve Central Appalachia <i>"Evolve CAPP"</i>	Expand Appalachia CORE-CM <i>"Expand APP"</i>	Phase 3 TBD
Geography	Central Appalachian coal basin (parts of VA, WV, TN, KY)	Expands geographic focus to Appalachian Mountain region (Region 2) - including 11 states from TN, NC & VA up to Maine	
Scope	<ul style="list-style-type: none">• Collect data on CORE-CM (carbon ore, rare earth and critical materials) resource distribution• Develop strategies on coal mine waste reuse and CM industry building• Assess technology solutions• Assess workforce education and training needs	<ul style="list-style-type: none">• Continues overall Evolve CAPP objectives for mineral location/concentration and building a more secure domestic supply chain• Focuses on a wider set of resources under consideration - both coal and non-coal, as well as power generation facilities and other unconventional critical mineral sources	
Duration	3 years (10/2021 - 9/2024)	3 years from start date	
Funding	\$2.7M total (2.1M DOE grant, \$0.6M other)	\$9.6M total (\$7.5M DOE grant, \$2.1M other)	

FIELDWORK AND LABWORK

Focus on understanding mineral structure and concentration levels

Field Sampling

- Surface & underground mines
- Rock cores
- Fly ash
- Acid mine drainage
- Oil & gas well-produced water

Field Screening

- Geologic logging
- X-ray fluorescence (XRF)
- Drone-based gamma sensing
- Spectral Gamma downhole geophysics
- Laser induced breakdown spectroscopy (LIBS)

Lab Analysis

- Inductively Coupled Plasma Mass Spectrometry (ICP-MS)
- SEM-EDX / Mineralogical analysis (TESCAN TIMA)



VIRGINIA TECH MINING AND MINERALS ENGINEERING

A Leader in Critical Minerals Research

\$32M

REE/CM research over 10-years

64

REE/CM projects over 10-years

\$28M

in pending new proposals

Virginia Tech heads Appalachia coalition on critical minerals

 March 4, 2025  NAM Staff

"Critical minerals are essential for many of today's technologies, especially those related to clean energy. I'm glad Virginia Tech is receiving federal funding I helped secure to research critical mineral extraction and processing in the Appalachian region. This will provide opportunities for new industries to develop, which will grow the local economy."

- U.S. Sen. Tim Kaine



ECONOMY

Virginia Tech-led team expands hunt for critical minerals

Researchers say that sources such as coal waste, fly ash from power plants and slag dumps from iron mines contain critical minerals and rare earth elements, potentially providing a key domestic source for these vital resources.

 by **Matt Busse**
March 3, 2025

"It is crucial to our national and economic security that the U.S. identify secure sources of critical minerals. I am proud to see Virginia Tech playing a leading role in critical minerals research, leveraging natural resources found right here in the commonwealth."

- U.S. Sen. Mark Warner

"The work at the Virginia Center for Coal and Energy Research has led to exciting breakthroughs in tapping from coal beds sources of the rare earth minerals so integral to modern technology, used in everything from advanced batteries to smartphones. DOE's award advances research that could support jobs in Appalachia and shore up supply chains vital to our country's security and economic growth."

- U.S. Rep. Morgan Griffith

Expanding the search for critical minerals
in Appalachia

EXPAND APPALACHIA CORE-CM



**For more information, please
contact:**

Richard Bishop
Professor of Practice,
Virginia Tech
ribishop@vt.edu

Open Session Agenda
BUILDINGS AND GROUNDS COMMITTEE

Monday, June 2, 2025

Open session tour departs at 1:30 p.m. from the Classroom Building.

	<u>Agenda Item</u>	<u>Reporting Responsibility</u>
#+	1. Tour of On-Campus Residence Halls	Dwyn Taylor Frances Keene

Tuesday, June 3, 2025

Open session meeting begins at 11:00 a.m. in the Classroom Building, Room 260.

	<u>Agenda Item</u>	<u>Reporting Responsibility</u>
	2. Welcome and Introductions	Tish Long
	3. Approval of the Minutes from the March 2025 Committee Meeting	Tish Long
#+	4. Acceptance of the Quarterly Capital Project Status Report	Travis Jessee
#	5. Acceptance of the University Building Official Annual Report	Chris Kiel
	6. Future Agenda Items and Closing Remarks	Tish Long

* Requires Full Board Approval

Discusses Enterprise Risk Management Topic(s)

+ Discusses Strategic Investment Priorities Topic(s)

Open Session Briefing Report
BUILDINGS AND GROUNDS COMMITTEE

Monday, June 2, 2025

Open Session Tour

Tour departs at 1:30 p.m. from the Classroom Building.

- 1. Tour of On-Campus Residence Halls:** The Committee will tour Upper Quad Residence Hall North, O'Shaughnessy Hall, Hoge Hall, Pritchard Hall, and Main Campbell Hall. The tour is intended to provide firsthand insight into the current condition, functionality, and lived experience within Virginia Tech's on-campus residence halls. By including both legacy and modern facilities, the tour offers a comparative lens to assess the evolution of residential environments and to support strategic evaluation of future capital investments. This experience will supplement the presentation and discussion on residential planning assumptions and guiding principles by grounding strategic dialogue in a shared understanding of existing assets, infrastructure challenges, and future opportunities. Core concepts and planning considerations regarding capacity, modernization, accessibility, sense of place, and strategic integration will be highlighted.

Tuesday, June 3, 2025

Open Session Meeting

Open session meeting begins at 11:00 a.m. in the Classroom Building, Room 260.

- 2. Welcome and Introductions:** The Committee Chair will convene the meeting and provide welcoming remarks.
- 3. Minutes from the March 2025 Committee Meeting: Consent Agenda:** The Committee will review for approval the minutes from its March 2025 meeting.
- #+ 4. Acceptance of the Quarterly Capital Project Status Report:** The Committee will review for acceptance the quarterly capital project status report. The current active portfolio of projects includes 17 authorized projects -- active and complete (within a 1-year warranty phase), has a total value of approximately \$1.2 billion, adds approximately 1.2 million gross square feet of new construction, and renovates nearly 298,000 gross square feet of existing space.
- # 5. Acceptance of the University Building Official Annual Report:** The Committee will receive the annual report from the University Building Official, Chris Kiel. The University Building Official has primary responsibility for the proper management for, and enforcement of, the Virginia Uniform Statewide Building Code (VUSBC) to ensure that construction projects conducted on property owned by the university

* Requires Full Board Approval

Discusses Enterprise Risk Management Topic(s)

+ Discusses Strategic Investment Priorities Topic(s)

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 is delegated authority directly from the Board of Visitors Buildings and Grounds Committee. The function is embedded within and administratively supported by the Division of Facilities. In this year's report, the University Building Official will highlight the importance of maintaining a local presence in enforcing building codes and explore why some universities have dedicated building departments while others do not. A detailed overview of processes related to larger projects, including efforts to keep them on schedule, will be highlighted. The report will also summarize key activities from the past year, present enforcement metrics, and outline improvements made to enhance efficiency, transparency, and communication. Finally, updates on additional improvements currently in development will be shared.

- 6. Future Agenda Items and Closing Remarks:** The Committee will discuss potential topics for inclusion on future meeting agendas.

Tour of On-Campus Residence Halls
BUILDINGS AND GROUNDS COMMITTEE
Monday, June 2, 2025

The Committee will tour Upper Quad Residence Hall North, O'Shaughnessy Hall, Hoge Hall, Pritchard Hall, and Main Campbell Hall. The tour is intended to provide firsthand insight into the current condition, functionality, and lived experience within Virginia Tech's on-campus residence halls. By including both legacy and modern facilities, the tour offers a comparative lens to assess the evolution of residential environments and to support strategic evaluation of future capital investments. This experience will supplement the presentation and discussion on residential planning assumptions and guiding principles by grounding strategic dialogue in a shared understanding of existing assets, infrastructure challenges, and future opportunities. Core concepts and planning considerations regarding capacity, modernization, accessibility, sense of place, and strategic integration will be highlighted.

Open Session Minutes
BUILDINGS AND GROUNDS COMMITTEE

Tuesday, March 25, 2025

Open Session Meeting

The Buildings and Grounds Committee of the Board of Visitors of Virginia Polytechnic Institute and State University met in open session on Tuesday, March 25, 2025, at 12:47 p.m. in Latham Ballroom A/B of the Inn at Virginia Tech and Skelton Conference Center in Blacksburg, Virginia. A quorum of the Committee was physically present. Ms. Long presided as chair of the Committee.

Board members present:

Tish Long (Committee Chair), Dave Calhoun, Sandy Davis, Nancy Dye, Bill Holtzman*, Donald Horsley, J. Pearson, Jeanne Stosser, Leslie Orellana (Undergraduate Student Representative)

**One Board member participated remotely from Florida while on vacation in accordance with Code of Virginia §2.2-3708.3(B) and the board's bylaws. A quorum was physically present.*

University personnel and guests: Simon Allen, Kenneth Belcher, Cassidy Blackmore, Cyril Clarke, Jeff Earley, Alisha Ebert, Mark Gess, Emily Gibson, Dee Harris, Chelsea Haines, Hooper, Travis Jessee, Stephen Kleiber, Kyle LeDuc, Rob Mann, Liza Morris, Kim O'Rourke, Stephanie Overton, Mark Owczarski, Charlie Phlegar, Saonee Sarker, Amy Sebring, Brennan Shepard, Smith, Michael Staples, Michael Stowe, Dan Sui, Dwyn Taylor, Jon Clark Teglas, Paul Winistorfer, Chris Wise, Christopher Yianilos

- 1. Welcome and Introductions:** Ms. Long convened the meeting and provided welcoming remarks.
- 2. Consent Agenda:** The Committee accepted the Consent Agenda as presented and approved the items it contained.
 - a. Minutes from the November 2024 Committee Meeting:** The Committee approved the minutes from its November 2024 meeting.
 - * b. Resolution on the Demolition of University Building 0800:** The Committee reviewed for approval a resolution on the demolition of university building 0800 (Frame 1-Family Main Dwelling) to the full Board for approval. This facility is a wood framed 3,495 gross square foot dwelling, two-stories above grade on a stone foundation basement. It is located at the Middleburg Agricultural Research and Extension Center, 5414 Sullivans Mill Road, Middleburg. Originally constructed in 1940, with two odd-shaped later additions and a deck, the building was used for residential farm worker housing, is currently unoccupied, is in poor condition, and

* Requires Full Board Approval

Discusses Enterprise Risk Management Topic(s)

+ Discusses Strategic Investment Priorities Topic(s)

is uneconomical to repair. The site would be repurposed for bulk storage of farm materials. The facility is located within the Little River Rural Historic District and was identified in 2010, as a contributing asset to the district, constructed prior to the transfer of ownership of the Edgewood and Greenhill estates from Paul Mellon to Virginia Tech in 1948 for the establishment of the outreach experiment station. 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 this structure.

The Committees recommended the Resolution on the Demolition of University Building 0800 to the full Board for approval.

- c. **Acceptance of the Capital Project Status Report:** The Committee accepted the quarterly capital project status report. The current active portfolio of projects includes 19 authorized projects – active and complete (within a 1-year warranty phase) – with a total value of approximately \$1 billion, adds approximately 1.2 million gross square feet of new construction, and renovates nearly 298,000 gross square feet of existing space.
- 3. **Design Review – New Business Building:** The Committee approved the design review for the New Business Building. The Pamplin College of Business is nationally recognized for its business programs and is integral to Virginia Tech’s delivery of instruction and research programming in support of the commonwealth. The New Business Building project will provide a consolidated location for the college, allowing the college to amplify program impact, as well as couple with the Data and Decision Sciences building to complete the academic facilities of the Global Business and Analytics Complex (GBAC). Once complete, GBAC will be a transformative academic and physical addition to the North Academic District. The prominent site, on the corner of Prices Fork Road and West Campus Drive, presents the university a valuable opportunity to create a new campus gateway at this previously undeveloped primary intersection. Substantial completion is anticipated for summer 2027. The project planning authorization, approved at the April 4, 2022 Board of Visitors meeting, includes \$8 million of private gifts. The total project cost will be supported by a combination of private gifts, non-general fund cash, and university non-general fund debt. The design preview was approved by the Buildings and Grounds Committee at the June 2024 meeting.
- 4. **Future Agenda Items and Closing Remarks:** The Committee discussed potential topics for inclusion on future meeting agendas.

There being no further business, the meeting adjourned at 12:59 p.m.

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 Tuesday, March 25, 2025, at 9:47 a.m. in joint open session in Latham Ballroom A/B of the Inn at Virginia Tech and Skelton Conference Center in Blacksburg, Virginia. A quorum of the joint Committee was present. Ms. Long presided as chair of the joint Committee.

Board members present:

Ed Baine (Rector), David Calhoun (Vice Rector), Sandy Davis, Nancy Dye, Bill Holtzman*, Don Horsley, Anna James, Starlette Johnson, Tish Long, Ryan McCarthy, Jim Miller, J. Pearson, John Rocovich, Jeanne Stosser, Janice Austin (A/P Faculty Representative), LaTawnya Burleson (Staff Representative), Rachel Miles, (Faculty Representative), Leslie Orellana (Undergraduate Student Representative), Will Poland (Graduate Student Representative)

**One Board member participated remotely from Florida while on vacation in accordance with Code of Virginia §2.2-3708.3(B) and the board's bylaws. A quorum was physically present.*

University personnel and guests: President Tim Sands, Simon Allen, Susan Anderson, Mac Babb, Callan Bartel, Kenneth Belcher, Ashleigh Bingham, James Bridgeforth, Eric Brooks, Ren C., Ann Cassell, Cyril Clarke, Emma Clevinger, Al Cooper, Reeva Cordice, Catherine Cotrupi, Alison Cross, Daniel Crowder, Kyla Dance, Michele Deramo, Corey Earles, Jeff Earley, Eric Earnhart, Alisha Ebert, Alexander Efird, Juan Espinoza, Thomas Feely, Ron Fricker, Michael Friedlander, Ian Friend, Rachel Gabriele, Bryan Garey, Avery Gendell, Emily Gibson, Maurice Givens, Martha Glass, April Goode, Nina Ha, Chelsea Haines, Kay Heidbreder, Tim Hodge, Rachel Holloway, Elizabeth Hooper, Travis Jessee, Andrew Jessup, Anne Keeler, Frances Keene, Steve Kleiber, Meghan Kuhn, Kyle LeDuc, Barbara Lockee, Rob Mann, Elizabeth McClanahan, Steven McKnight, Nancy Meacham, Elizabeth Mitchell, Jeff Mitchell, Liza Morris, Mike Mulhare, Justin Noble, Stephanie Overton, Mark Owczarski, Gabrielle Patarinski, Charles Phlegar, Ashley Reed, Paul Richter, Tanya Rogers, Julia Ross, Lisa Royal, Tim Sands, Saonee Sarker, Ryan Saunders, Amy Sebring, Brennan Shepard, Damira Shields, Oliver Shuey, Mark Sikes, Ken Smith, Michael Staples, Michael Stowe, Dan Sui, Aimee Surprenant, Kristen Swanson Houston, John Talerico, Don Taylor, Marc Verniel, Rob Viers, Heather Wagoner, Haleigh Wallace, Jennifer Wayne, Stacey Wilkerson, Lisa Wilkes, Teresa An Wilson, Paul Winistorfer, Chris Wise, Chris Yianilos

*

1. **Approval of the General Fund Capital Outlay Plan for 2026-2032:** The Committees reviewed for approval the 2026-2032 General Fund Capital Outlay Plan. The university prepares an updated Six-Year Capital Outlay Plan every two years as part of its normal planning and budgeting cycle. The Plan is a critical component of positioning the university for state support of major Educational and General projects and for advancing high priority projects that may be funded entirely with nongeneral fund resources. Traditionally, the state requires each institution to submit a capital

* Requires Full Board Approval

Discusses Enterprise Risk Management Topic(s)

+ Discusses Strategic Investment Priorities Topic(s)

plan in June of the year before a new biennium begins. The next state capital outlay plan will be for 2026-2032, and it will be established in the 2025-26 budget development process. Based on that timetable, a plan from the university for 2026-2032 will be due to the state in June of 2025.

Preliminary work has been done to identify potential projects for inclusion in the 2026-2032 Capital Outlay Plan in anticipation of future guidance and instructions from the state. These projects are consistent with programmatic needs established for the planning period and with the strategic plan of the university, and they position the university with options to respond to guidance from the state.

Since the submission date for the new Plan may occur before the June 2025 Board of Visitors meeting, the university is requesting the review and approval of the list of potential projects for inclusion in the 2026-2032 Capital Outlay Plan for General Fund projects. The university will provide an update to the status of the 2026-2032 Plan, including the nongeneral fund portion of the Plan, at a future Board of Visitors meeting.

The Committees recommended the General Fund Capital Outlay Plan for 2026-2032 to the full Board for approval.

- * 2. **Approval of Resolution to Construction the New Business Building:** The Committees reviewed for approval a resolution to construct the New Business Building. This 92,300 gross square foot building will provide expanded, modern educational space sufficient to meet the demand for the Pamplin College of Business programs. The \$94 million total project cost will be funded with private gifts, nongeneral fund resources earmarked for the project, and debt that will be serviced by nongeneral fund revenues generated by the College.

The Committees recommended the Resolution to Construct the New Business Building to the full Board for approval.

- 3. **On-Campus Housing Update:** The Committees received an update on the university's on-campus housing. Executive Vice President and Provost Cyril Clarke emphasized its role in enrollment management and student success, outlining current occupancy allocations. Executive Vice President and Chief Operating Officer Amy Sebring described the on-campus housing inventory profile as well as provided context on renewal efforts and related strategies. The discussion reinforced the need for a strategic, data-driven approach to align on-campus housing with institutional goals and financial sustainability.

- * 4. **Approval of Resolution on the Student Life Village and Slusher Hall:** The Committees reviewed for approval a resolution on the Student Life Village and Slusher Hall. The Committees then considered a division of the question that separated the original resolution into two resolutions: one regarding plans for Slusher Hall, and another to discontinue planning for the Student Life Village.

* Requires Full Board Approval

Discusses Enterprise Risk Management Topic(s)

+ Discusses Strategic Investment Priorities Topic(s)

The resolution regarding plans for Slusher Hall was not approved.

The resolution to discontinue planning for the Student Life Village was recommended to the full Board for approval.

5. **Motion for Joint Closed Session:** The Committees made a motion for Joint Closed Session.

Nancy Dye moved that the Finance and Resource Management and Buildings and Grounds Committees of the Virginia Tech Board of Visitors convene in Closed Session, pursuant to §2.2-3711, Code of Virginia, as amended, to consider the following:

- Discussion or consideration of the disposition of publicly held real property, where discussion in an open meeting would adversely affect the bargaining position or negotiating strategy of the public body.
- Discussion concerning a prospective business or industry or the expansion of an existing business or industry where no previous announcement has been made of the business' or industry's interest in locating or expanding its facilities in the community.

all pursuant to the following subpart of §2.2-3711(A)(3) and §2.2-3711(A)(5), Code of Virginia, as amended.

The Committees discussed a real estate development opportunity. No action was taken.

6. **Motion to Reconvene in Join Open Session:** The Committees motioned to reconvene in Joint Open Session.

WHEREAS, the Finance and Resource Management Committee of 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 provisions of the Virginia Freedom of Information Act; and

WHEREAS, §2.2-3711 of the Code of Virginia requires a certification by the Finance and Resource Management Committee that such closed meeting was conducted in conformity with Virginia Law;

NOW, THEREFORE, BE IT RESOLVED, that the Finance and Resource Management Committee of 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

* Requires Full Board Approval

Discusses Enterprise Risk Management Topic(s)

+ Discusses Strategic Investment Priorities Topic(s)

the motion convening the closed meeting were heard, discussed or considered by the Finance and Resource Management Committee.

There being no further business, the meeting adjourned at 12:23 p.m.

Acceptance of the Capital Project Status Report

BUILDINGS AND GROUNDS COMMITTEE

Tuesday, June 3, 2025

The Committee will review for acceptance the quarterly capital project status report. The current active portfolio of projects includes 17 authorized projects – active and complete (within a 1-year warranty phase) – with a total value of approximately \$1.2 billion, adds approximately 1.2 million gross square feet of new construction, and renovates nearly 298,000 gross square feet of existing space.



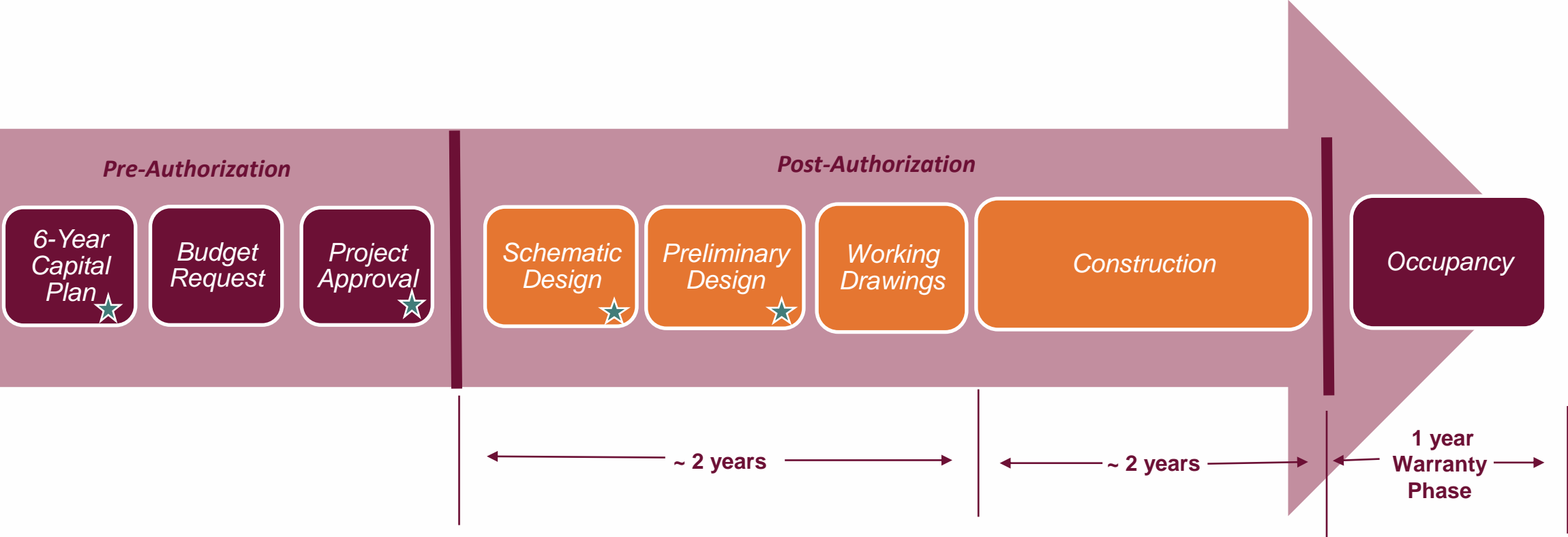
CAPITAL PROJECT STATUS REPORT

PREPARED FOR THE BUILDINGS AND GROUNDS COMMITTEE OF THE BOARD OF VISITORS

June 3, 2025



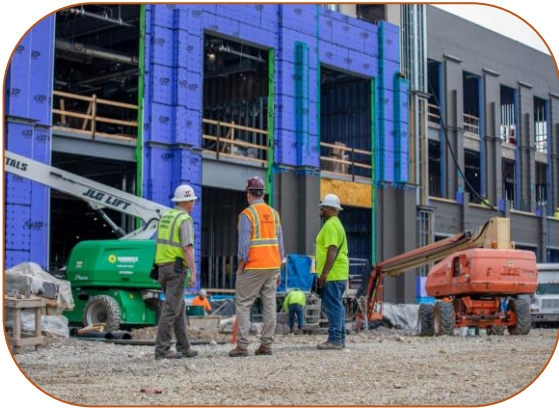
OVERALL PROCESS



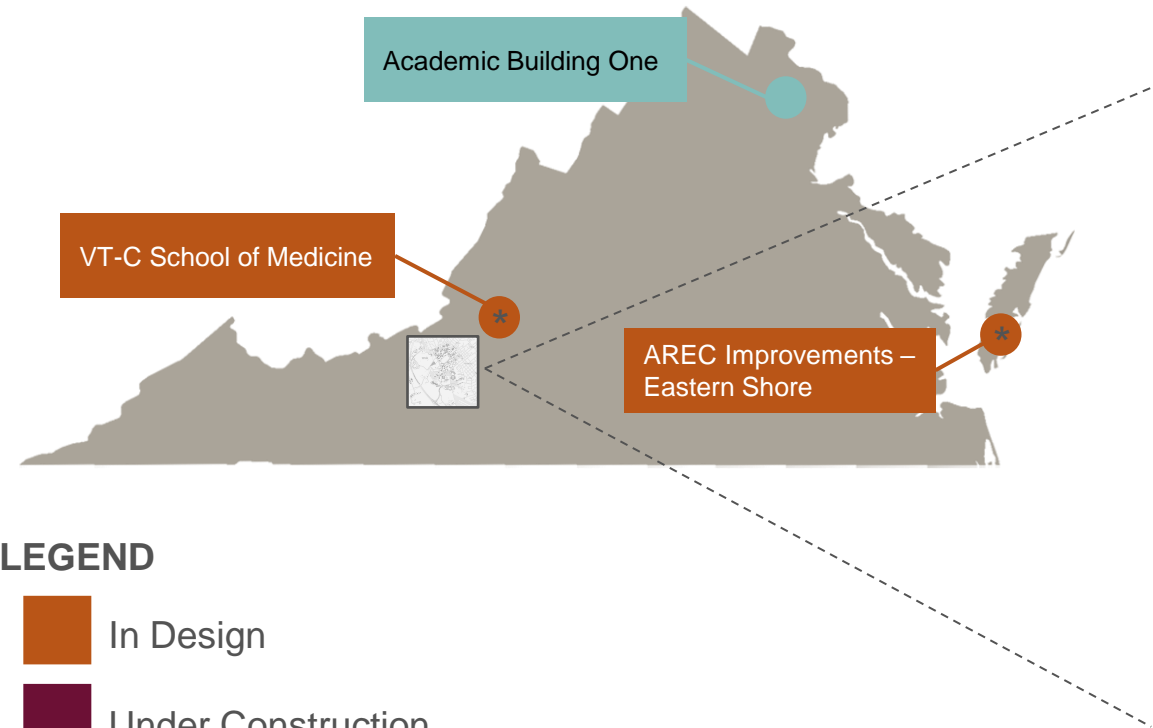
★ - Buildings and Grounds review & approval

CAPITAL PROJECT PORTFOLIO




- 17 authorized projects – active and complete (w/in 1-year warranty phase)
- Total value of ~\$1.2B
- Generates ~1.2M gross square feet (GSF) of new construction
- Renovates nearly 298K GSF of existing space

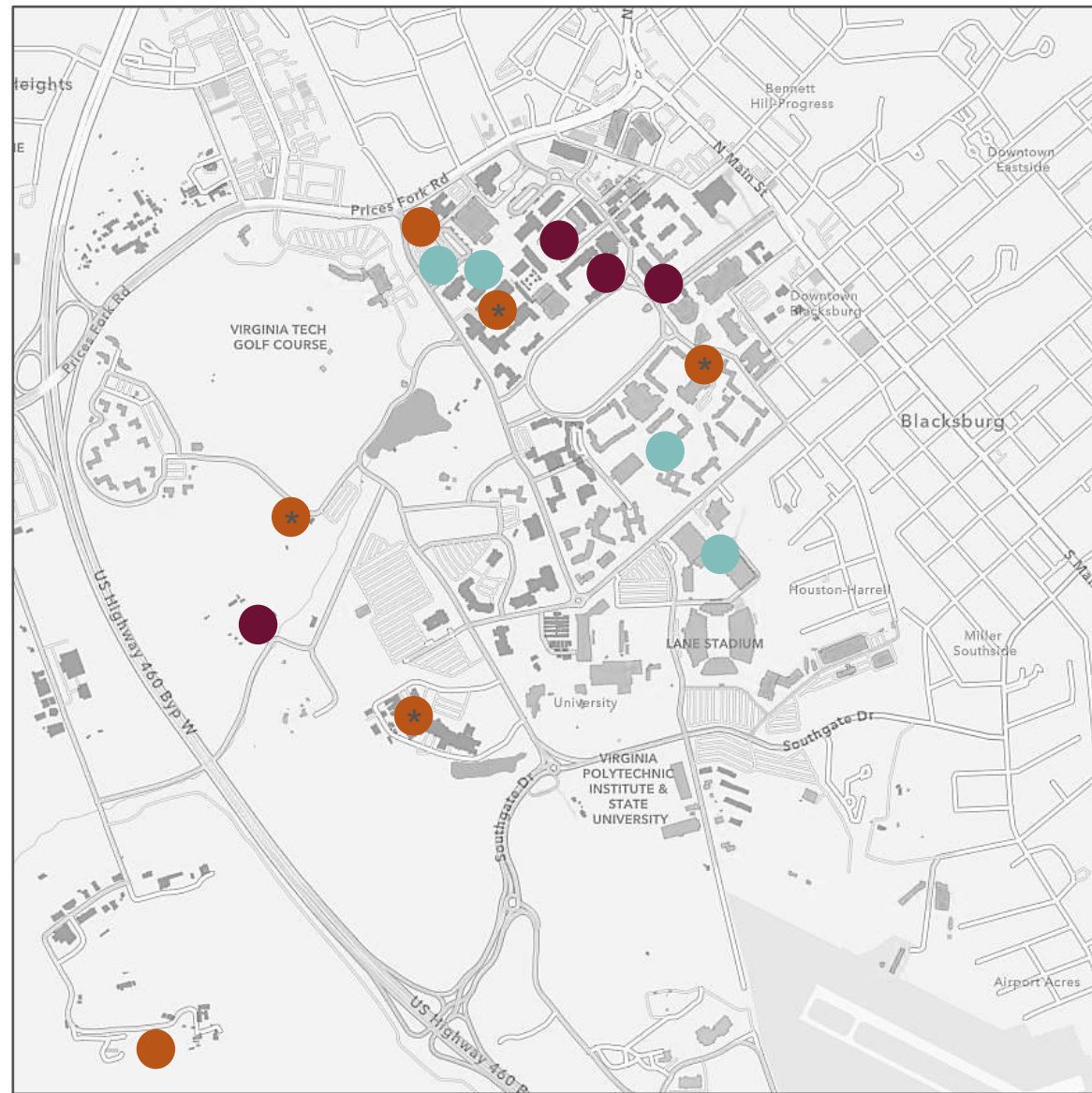


CAPITAL PROJECT PORTFOLIO



LEGEND

-  In Design
-  Under Construction
-  Warranty/Complete
-  Planning Authorization Only



Blacksburg Campus

CAPITAL CONSTRUCTION EXECUTIVE SUMMARY (PROGRESSIVE)

Date Prepared: 15 MAY 2025



Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025			CY 2026			CY 2027		
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar
					Summer			Academic Yr 24-25			Academic Yr 25-26			Academic Yr 26-27		
HITT Hall	\$85.00	\$65.50	101,000													
Football Locker Room Renovations	\$5.90	\$4.10		4,200												
Student Wellness Improvements	\$70.00	\$56.30		204,000												
Undergraduate Science Laboratory Building	\$90.40	\$69.50	102,746													
Academic Building One	\$302.10	\$226.30	299,733													
Life, Health, Safety, Accessibility & Code Compliance (Note 1)	\$10.40	\$7.70														
Livestock & Poultry Research Facilities (Ph I) –Various Locations	\$25.30	\$18.23	129,100													
Building Envelope Improvements (Note 2)	\$47.20	\$41.90														
Mitchell Hall (Note 3)	\$359.10	\$293.06	296,105													Completion JUN 2028
New Business Building	\$94.00	TBD	92,300													
Improve Center Woods Complex	\$14.70	\$9.75	25,900													
VT-Carlion School of Medicine Expansion (Planning Only)	\$9.00	TBD	125,000	51,000												
Improve Campus Accessibility (Planning Only)	\$8.00	TBD														
Envelope Restoration Derring Hall (Planning Only)	\$16.80	TBD														
AREC Improvements - Eastern Shore (Planning Only)	\$15.70	TBD	25,000	14,000												
CVM Teaching Hospital Renovation & Expansion (Planning Only)	\$43.00	TBD	34,000	25,000												
Rescue Squad Facility (Planning Only)	\$2.00	TBD	TBD													
TOTALS	\$1,198.6		1,244,490	298,200												

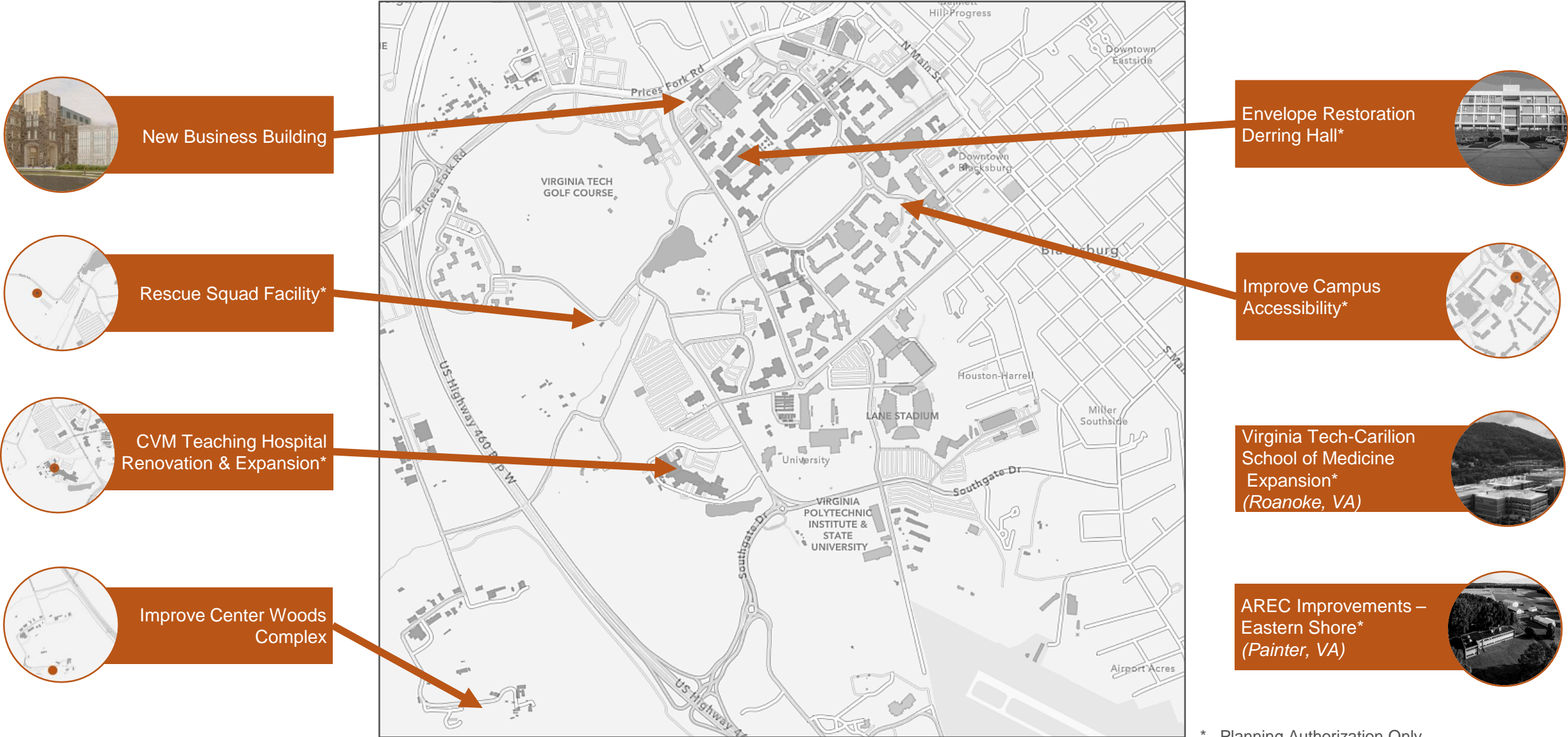
LEGEND	Design	Construction	Warranty	Construction Phase TBD
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- NOTE 1 Life, Health, Safety Acc. & Code Compliance includes three (3) phases: (1) Exterior Elevator Towers (complete) followed by Green Link Priorities 2 & 3 (construction underway)
- NOTE 2 Building Envelope Improvements includes four (4) phases: (1) Lane Stadium (complete), (2) Torgersen (construction underway), followed by (3) Hahn, and (4) Inn at Virginia Tech which are currently unscheduled
- NOTE 3 Multiple GMPs results in design/construction overlap (fast track)



IN DESIGN

PROJECTS IN DESIGN



* Planning Authorization Only

NEW BUSINESS BUILDING

CM at Risk – BOV Authorized



Status

- Construction (GMP) procurement ongoing

Next Actions

- Execute construction (GMP) contract

Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
					Summer		Academic Yr 24-25			Summer	Academic Yr 25-26			Summer	Academic Yr 26-27			Summer	
New Business Building	\$94.00	TBD	92,300																

LEGEND	Design	Construction	Warranty	Construction Phase TBD
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Designer: Moseley

Builder: Kjellstrom & Lee

IMPROVE CENTER WOODS COMPLEX

Design-Bid-Build – State Authorized



Status

- Preliminary Design ongoing

Next Actions

- Continue design efforts

Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
					Summer			Academic Yr 24-25			Summer			Academic Yr 25-26			Summer		
Improve Center Woods Complex	\$14.70	\$9.75	25,900																

LEGEND	Design	Construction	Warranty	Construction Phase TBD
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Designer: WPA

Builder: TBD

VT-CARILION SCHOOL OF MEDICINE EXPANSION

CM at Risk – State Authorized



Status

- ▶ The requested Construction Authorization was vetoed by Governor Youngkin in May. The design will progress through the Preliminary Design phase and then pause.

Next Actions

- ▶ Complete Preliminary Design.
- ▶ Initiate Working Drawing phase following Construction Authorization.

Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
					Summer		Academic Yr 24-25			Summer	Academic Yr 25-26			Summer	Academic Yr 26-27			Summer	
VT-Carilion School of Medicine Expansion (Planning Only)	\$9.00	TBD	125,000	51,000															

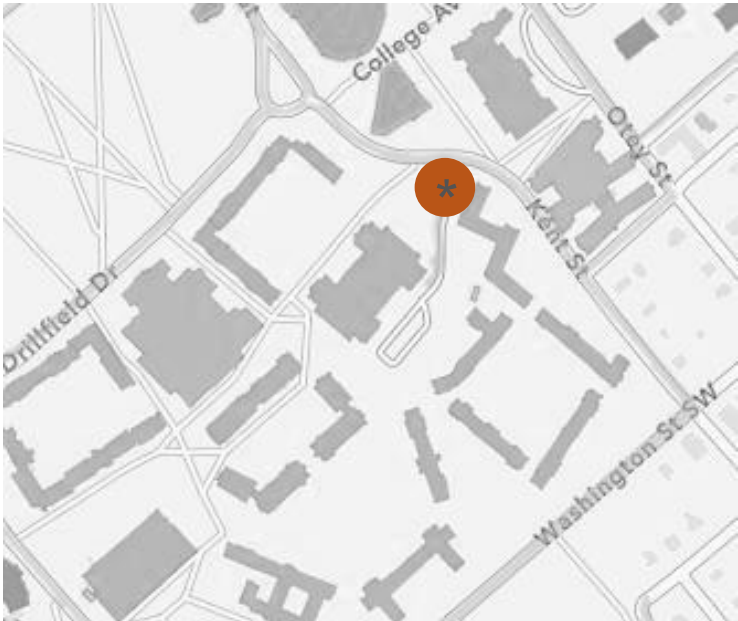
LEGEND	Design	Construction	Warranty	Construction Phase TBD
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Designer: VMDO/Ballinger

Builder: Whiting Turner

IMPROVE CAMPUS ACCESSIBILITY

Design-Bid-Build – State Authorized



* Planning Authorization Only

Status

- Preliminary Design ongoing

Next Actions

- Continue design efforts

Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025			CY 2026			CY 2027		
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar
						Summer	Academic Yr 24-25		Summer	Academic Yr 25-26		Summer	Academic Yr 26-27		Summer	
Improve Campus Accessibility (Planning Only)	\$8.00	TBD														

LEGEND	Design	Construction	Warranty	Construction Phase TBD
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Designer: Hill Studio

Builder: TBD

ENVELOPE RESTORATION DERRING HALL

Design-Bid-Build – State Authorized



Status

- Schematic Design ongoing

Next Actions

- Continue design efforts

Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025			CY 2026			CY 2027		
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar
						Summer	Academic Yr 24-25		Summer	Academic Yr 25-26		Summer	Academic Yr 26-27		Summer	
Envelope Restoration Derring Hall (Planning Only)	\$16.80	TBD														

LEGEND	Design	Construction	Warranty	Construction Phase TBD
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Designer: WDP

Builder: TBD

AREC IMPROVEMENTS – EASTERN SHORE

Design-Bid-Build – State Authorized



Status

- Schematic Design ongoing

Next Actions

- Continue design efforts

Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
					Summer			Academic Yr 24-25			Summer			Academic Yr 25-26			Summer		
AREC Improvements - Eastern Shore (Planning Only)	\$15.70	TBD	25,000	14,000															

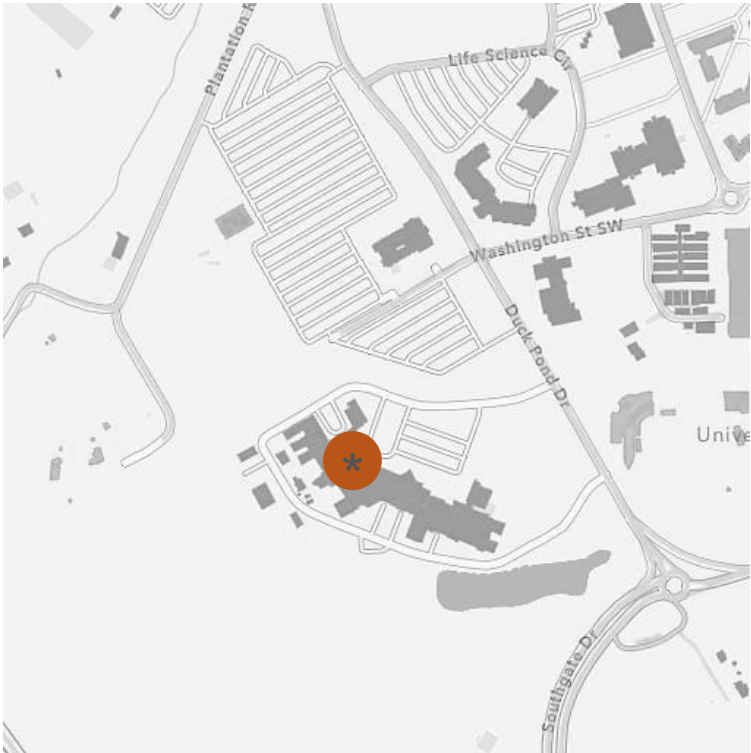
LEGEND	Design	Construction	Warranty	Construction Phase TBD
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Designer: VIA

Builder: TBD

CVM TEACHING HOSPITAL RENOVATION & EXPANSION

CM at Risk – State Authorized



* Planning Authorization Only

Status

- Schematic Design ongoing

Next Actions

- Continue design efforts

Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
					Summer			Academic Yr 24-25			Summer			Academic Yr 25-26			Summer		
CVM Teaching Hospital Renovation & Expansion (Planning Only)	\$43.00	TBD	34,000	25,000															

LEGEND	Design	Construction	Warranty	Construction Phase TBD
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Designer: Page

Builder: TBD

RESCUE SQUAD FACILITY

Design-Bid-Build – State Authorized



* Planning Authorization Only

Status

- Schematic Design ongoing

Next Actions

- Continue design efforts

Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025			CY 2026			CY 2027		
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar
						Summer	Academic Yr 24-25		Summer	Academic Yr 25-26		Summer	Academic Yr 26-27		Summer	
Rescue Squad Facility (Planning Only)	\$2.00	TBD	TBD													

LEGEND	Design	Construction	Warranty	Construction Phase TBD
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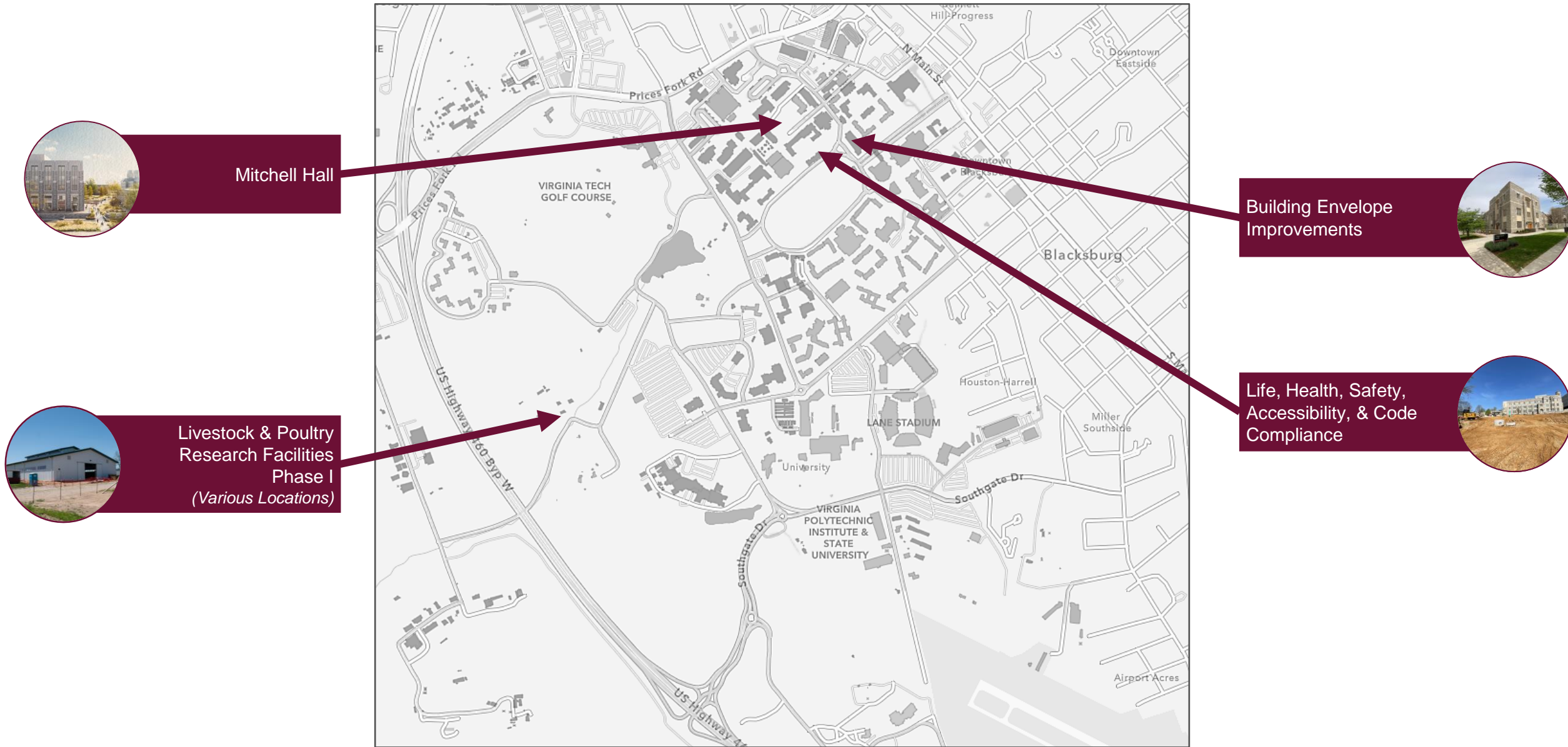
Designer: Little

Builder: TBD



UNDER CONSTRUCTION

ACTIVE CONSTRUCTION PROJECTS



LIFE, HEALTH, SAFETY, ACCESSIBILITY, & CODE COMPLIANCE

Design-Bid-Build – State Authorized



Status

- ▶ Priority 1 Exterior Elevator Towers construction complete
- ▶ Priority 2 Green Link construction underway (95% complete)
- ▶ Priority 3 Green Link construction underway (40% complete)



Next Actions

- ▶ Complete Priority 1 close-out
- ▶ Continue Priority 2 construction
- ▶ Continue Priority 3 construction



Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
						Summer	Academic Yr 24-25			Summer	Academic Yr 25-26			Summer	Academic Yr 26-27			Summer	
Life, Health, Safety, Accessibility & Code Compliance	\$10.40	\$7.70																	

LEGEND	Design	Construction	Warranty	Construction Phase TBD
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Designer: Various

Builder: Various

LIVESTOCK & POULTRY RESEARCH FACILITIES – PHASE 1

(BID PACKAGE 5)

Design-Bid-Build – State Authorized

Status

- Bid package #5: Construction underway (65% complete)



Next Actions

- Complete 3 barns in sequence



Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
					Summer			Academic Yr 24-25			Summer			Academic Yr 25-26			Summer		
Livestock & Poultry Research Facilities (Ph I) --Various Locations	\$25.30	\$18.23	129,100																

LEGEND	Design	Construction	Warranty	Construction Phase TBD
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Designer: Spectrum Design

Builder: Various

BUILDING ENVELOPE IMPROVEMENTS

Design-Bid-Build – State Authorized



Status

- ▶ Envelope improvements planned for four buildings
- ▶ Lane Stadium complete
- ▶ Torgersen Hall construction underway
- ▶ Hahn Hall design underway

Next Actions

- ▶ Second building targeted for completion winter 2026

Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
					Summer			Academic Yr 24-25			Summer	Academic Yr 25-26			Summer	Academic Yr 26-27			Summer
Building Envelope Improvements	\$47.20	\$41.90																	

LEGEND	Design	Construction	Warranty	Construction Phase TBD
--------	--------	--------------	----------	------------------------

Designer: WJE

Builder: Various

MITCHELL HALL

CM at Risk – State Authorized



Status

- ▶ GMP-1 (demolition & early site package) underway
- ▶ GMP-2 (building construction) under review



Next Actions

- ▶ Finalize GMP-2 (building construction) procurement



Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025			CY 2026			CY 2027		
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar
Mitchell Hall	\$359.10	\$293.06	296,105		Summer	Academic Yr 24-25			Summer	Academic Yr 25-26			Summer	Academic Yr 26-27		
																Completion JUN 2028

LEGEND	Design	Construction	Warranty	Construction Phase TBD
--------	--------	--------------	----------	------------------------

Designer: Perkins & Will

Builder: Skanska



PROJECTS UNDER WARRANTY

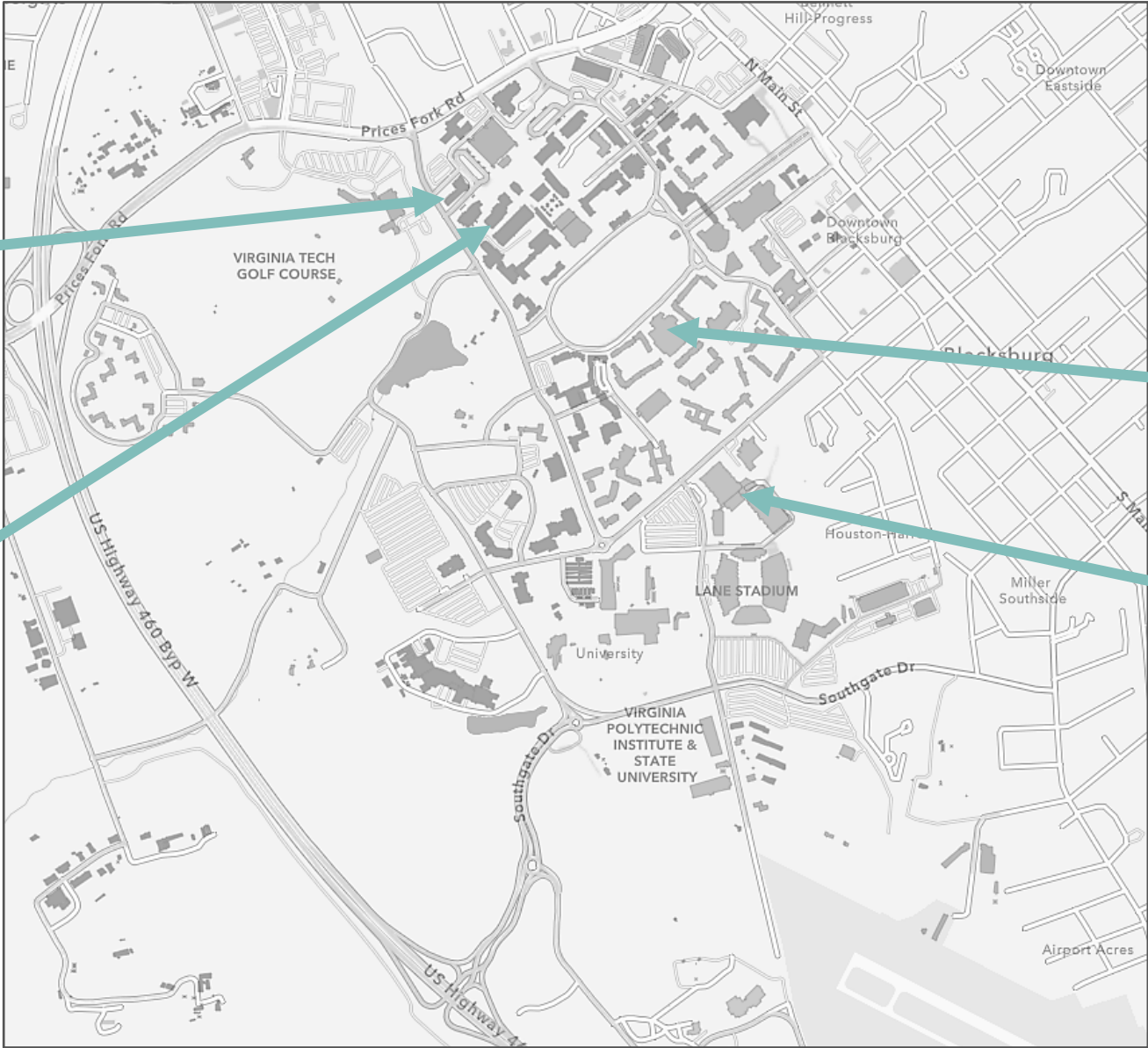
PROJECTS UNDER WARRANTY




Undergraduate Science Laboratory Building




HITT Hall




Student Wellness Improvements



Football Locker Room Renovation



Academic Building One (Alexandria, VA)



HITT HALL

CM at Risk – BOV Authorized

COMPLETE

Status

- Project complete

Next Actions

- Close out project



LAST REPORT

Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
						Summer	Academic Yr 24-25			Summer	Academic Yr 25-26			Summer	Academic Yr 26-27			Summer	
HITT Hall	\$85.00	\$65.50	101,000																

LEGEND

Design

Construction

Warranty

Construction Phase TBD

Designer: Cooper Cary

Builder: WM Jordan

FOOTBALL LOCKER ROOM RENOVATION

Design-Bid-Build – BOV Authorized
COMPLETE



Status

- Project complete



Next Actions

- Close out project



LAST REPORT

Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027				
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	
					Summer		Academic Yr 24-25			Summer		Academic Yr 25-26			Summer		Academic Yr 26-27			Summer
Football Locker Room Renovations	\$5.90	\$4.10		4,200																

LEGEND	Design	Construction	Warranty	Construction Phase TBD
--------	--------	--------------	----------	------------------------

Designer: HNTB

Builder: Thor

STUDENT WELLNESS IMPROVEMENTS

CM at Risk – BOV Authorized
COMPLETE



Status

- ▶ Project complete



Next Actions

- ▶ Close out project



Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
						Summer	Academic Yr 24-25			Summer	Academic Yr 25-26			Summer	Academic Yr 26-27			Summer	
Student Wellness Improvements	\$70.00	\$56.30		204,000															

LEGEND	Design	Construction	Warranty	Construction Phase TBD
--------	--------	--------------	----------	------------------------

Designer: Cannon Design

Builder: Whiting-Turner

UNDERGRADUATE SCIENCE LABORATORY BUILDING

CM at Risk – State Authorized
COMPLETE



Status

- ▶ Project complete



Next Actions

- ▶ Close out project



Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
						Summer	Academic Yr 24-25			Summer	Academic Yr 25-26			Summer	Academic Yr 26-27		Summer		
Undergraduate Science Laboratory Building	\$90.40	\$69.50	102,746																

LEGEND	Design	Construction	Warranty	Construction Phase TBD
--------	--------	--------------	----------	------------------------

Designer: ZGF

Builder: Skanska

ACADEMIC BUILDING ONE

CM at Risk – State Authorized
COMPLETE



Status

- ▶ Project complete



Next Actions

- ▶ Close out project



Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
						Summer	Academic Yr 24-25			Summer	Academic Yr 25-26			Summer	Academic Yr 26-27			Summer	
Academic Building One	\$302.10	\$226.30	299,733																

LEGEND	Design	Construction	Warranty	Construction Phase TBD
--------	--------	--------------	----------	------------------------

Designer: SmithGroup

Builder: Whiting-Turner

DEFINITIONS

AUTHORIZATION:

- ▶ **State Authorized:** Authorized and funded (whole or in part) by the Virginia General Assembly
- ▶ **BOV Authorized:** Authorized and funded by the Virginia Tech Board of Visitors

DELIVERY METHODS:

- ▶ **Schematic Design Phase** = 0% to approximately 20% design complete
 - ▶ **Preliminary Design Phase** = Approximately 20% to approximately 50% design complete
 - ▶ **Working Drawing Phase** = Approximately 50% to 100% design complete
-
- ▶ **GMP** = Guaranteed Maximum Price

CONSTRUCTION METHODS

DESIGN-BID-BUILD (DBB):

- ▶ A/E completes full design
- ▶ Invitation For Bid (IFB) issued
- ▶ Contract awarded to lowest bidder

CONSTRUCTION MANAGER AT RISK (CMaR):

- ▶ A/E completes full design
- ▶ Prospective CMaR's compete for project during early stage of design
- ▶ CMaR selected based upon "best value" during Schematic Design phase
- ▶ When final designs are complete CMaR develops Guaranteed Maximum Price (GMP)

DESIGN-BUILD(D/B):

- ▶ A/E completes partial design ("criteria docs")
- ▶ D/B team (builder + A/E) compete for project and propose full price for project delivery
- ▶ Selection based upon "best value"
- ▶ D/B team completes design and executes construction.



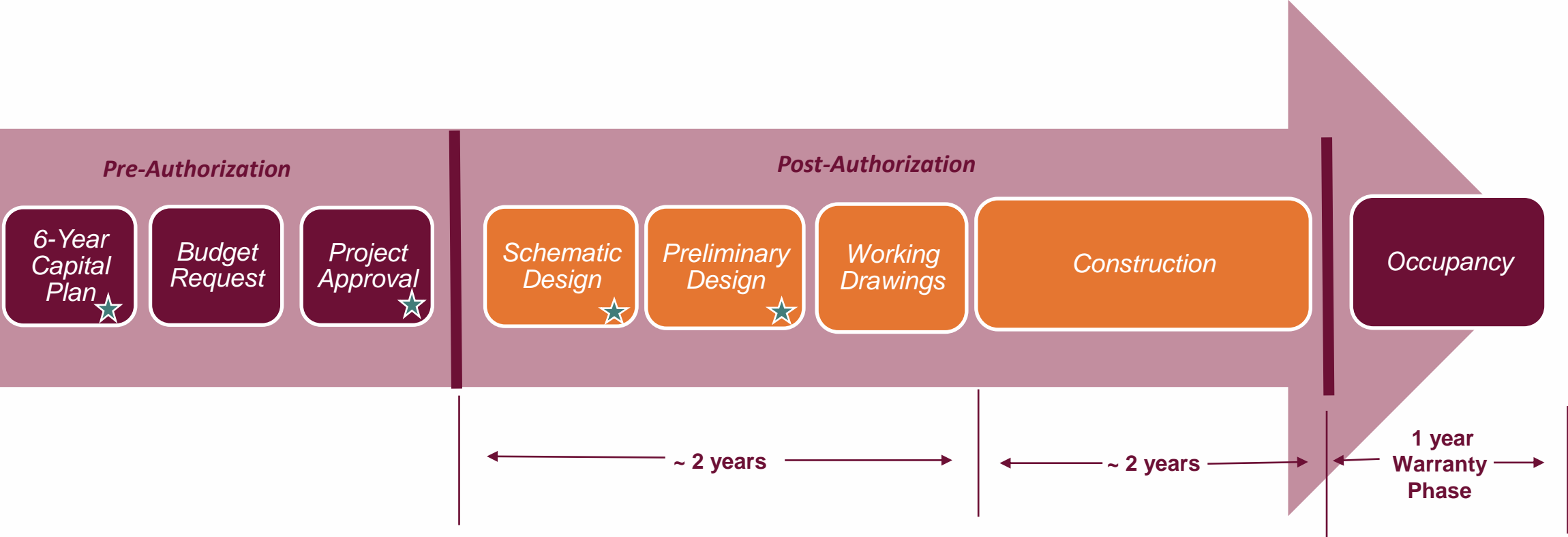
CAPITAL PROJECT STATUS UPDATE

TRAVIS JESSEE
ASSISTANT VICE PRESIDENT
FACILITIES DESIGN AND CONSTRUCTION

June 3, 2025

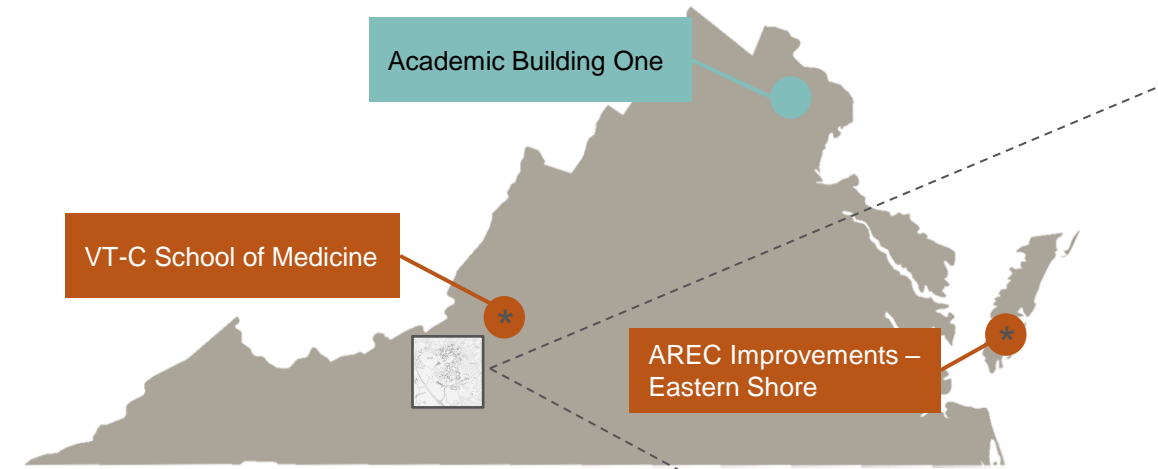


OVERALL PROCESS



★ - Buildings and Grounds review & approval

CAPITAL PROJECT PORTFOLIO



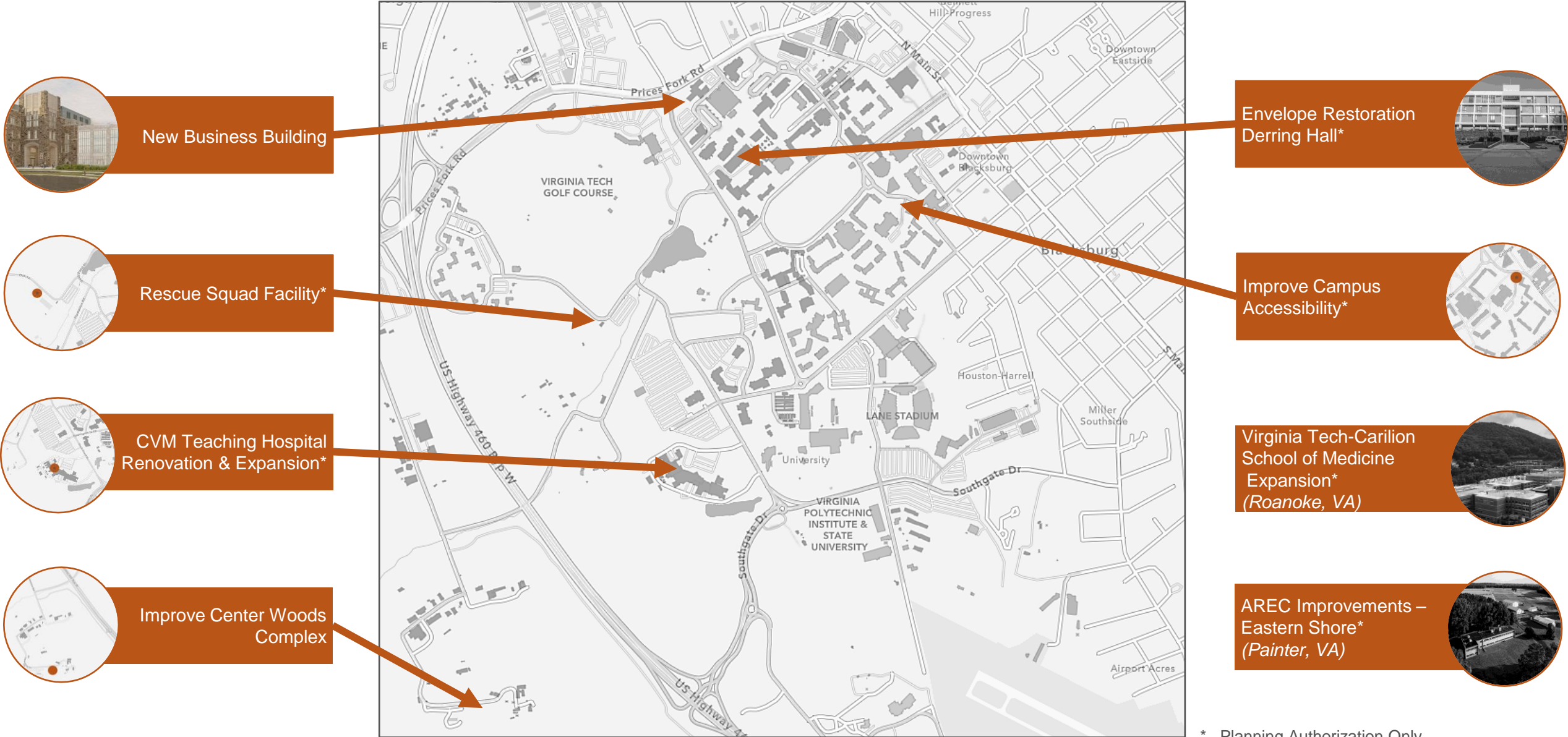
LEGEND

- In Design
- Under Construction
- Warranty/Complete
- * Planning Authorization Only



Blacksburg Campus

PROJECTS IN DESIGN



* Planning Authorization Only

NEW BUSINESS BUILDING

CM at Risk – BOV Authorized



Status

- Construction (GMP) procurement ongoing

Next Actions

- Execute construction (GMP) contract

Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
					Summer		Academic Yr 24-25			Summer	Academic Yr 25-26			Summer	Academic Yr 26-27			Summer	
New Business Building	\$94.00	TBD	92,300																

LEGEND	Design	Construction	Warranty	Construction Phase TBD
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Designer: Moseley

Builder: Kjellstrom & Lee

VT-CARILION SCHOOL OF MEDICINE EXPANSION

CM at Risk – State Authorized



Status

- ▶ The requested Construction Authorization was vetoed by Governor Youngkin in May. The design will progress through the Preliminary Design phase and then pause.

Next Actions

- ▶ Complete Preliminary Design.
- ▶ Initiate Working Drawing phase following Construction Authorization.

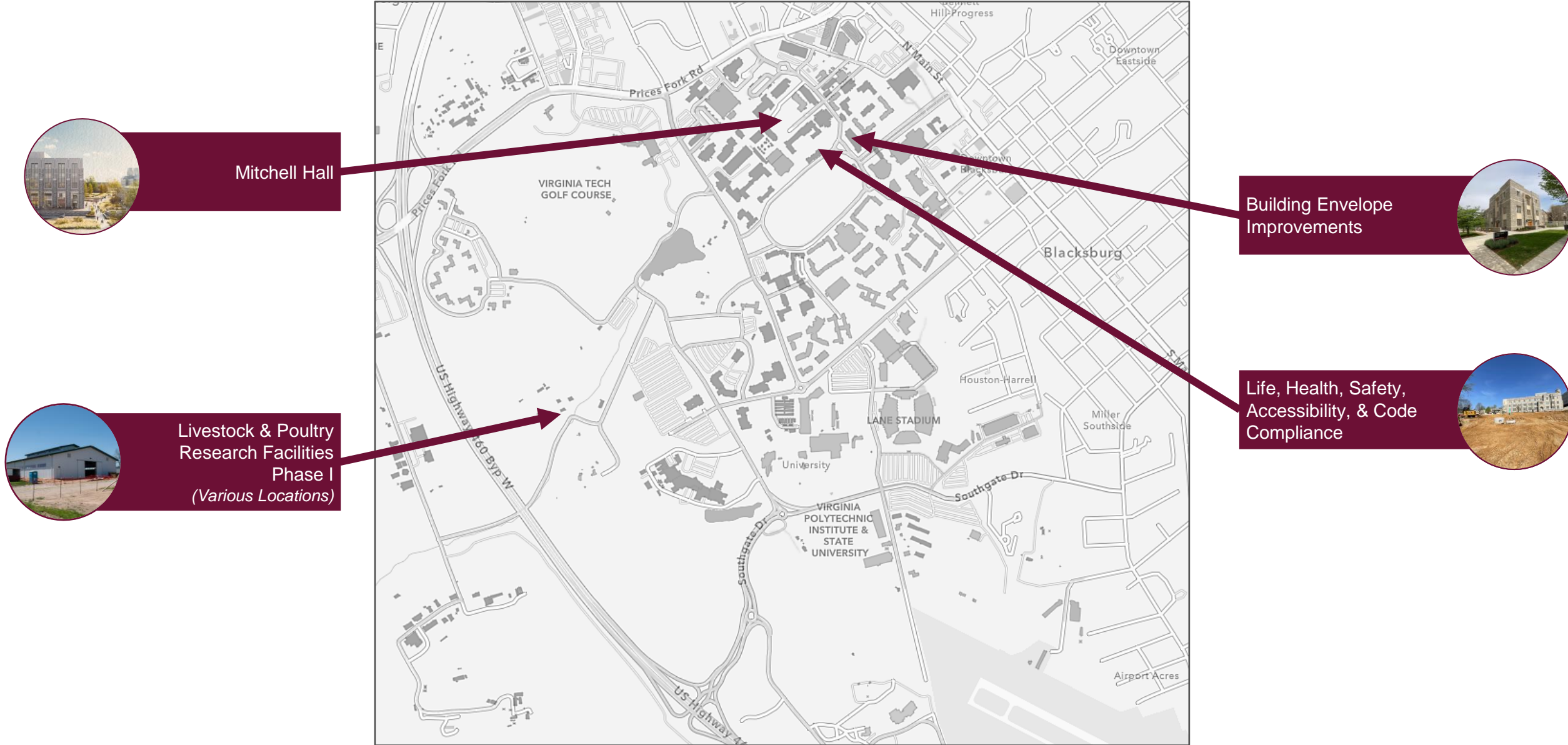
Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025				CY 2026				CY 2027			
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec
					Summer			Academic Yr 24-25				Academic Yr 25-26				Academic Yr 26-27			
VT-Carilion School of Medicine Expansion (Planning Only)	\$9.00	TBD	125,000	51,000															

LEGEND	Design	Construction	Warranty	Construction Phase TBD
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Designer: VMDO/Ballinger

Builder: Whiting Turner

ACTIVE CONSTRUCTION PROJECTS



MITCHELL HALL

CM at Risk – State Authorized



Status

- ▶ GMP-1 (demolition & early site package) underway
- ▶ GMP-2 (building construction) under review



Next Actions

- ▶ Finalize GMP-2 (building construction) procurement



Project Title	Total Project Budget (\$M)	Construction Cost (\$M)	New Const (GSF)	Renovation (GSF)	CY 2024			CY 2025			CY 2026			CY 2027		
					Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3
					Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep	Oct - Dec	Jan - Mar
Mitchell Hall	\$359.10	\$293.06	296,105		Summer	Academic Yr 24-25			Summer	Academic Yr 25-26			Summer	Academic Yr 26-27		
																Completion JUN 2028

LEGEND	Design	Construction	Warranty	Construction Phase TBD
--------	--------	--------------	----------	------------------------

Designer: Perkins & Will

Builder: Skanska



QUESTIONS/DISCUSSION



Acceptance of the University Building Official Annual Report

BUILDINGS AND GROUNDS COMMITTEE

Tuesday, June 3, 2025

The Committee will receive the annual report from the University Building Official, Chris Kiel.

The University Building Official has primary responsibility for the proper management for, and enforcement of, the Virginia Uniform Statewide Building Code (VUSBC) to ensure that construction projects conducted on property owned by the university are completed in compliance with the code, related laws, and regulations. The office serves as primary liaison with outside regulatory agencies on code issues that affect the design, construction, and approval to occupy new university facilities or maintain existing facilities. The office was established in July 2010 after the Restructured Higher Education Financial and Administrative Operations Act of 2005 and the Management Agreement with the Commonwealth of Virginia granted the university the authority to designate its own building official. Organizationally, the University Building Official is delegated authority directly from the Board of Visitors Buildings and Grounds Committee. The function is embedded within and administratively supported by the Division of Facilities.

In this year's report, the University Building Official will highlight the importance of maintaining a local presence in enforcing building codes and explore why some universities have dedicated building departments while others do not. A detailed overview of processes related to larger projects, including efforts to keep them on schedule, will be highlighted. The report will also summarize key activities from the past year, present enforcement metrics, and outline improvements made to enhance efficiency, transparency, and communication. Finally, updates on additional improvements currently in development will be shared.

The background of the slide is a close-up, slightly blurred photograph of a building's floor plan. A red pen is resting on the plan, and a black cable with a coiled end is visible in the upper left corner. The floor plan shows various rooms, corridors, and colored markers (red, yellow, blue) indicating specific areas of interest.

UNIVERSITY BUILDING OFFICIAL

Board of Visitors Buildings and Grounds Committee

June 3, 2025

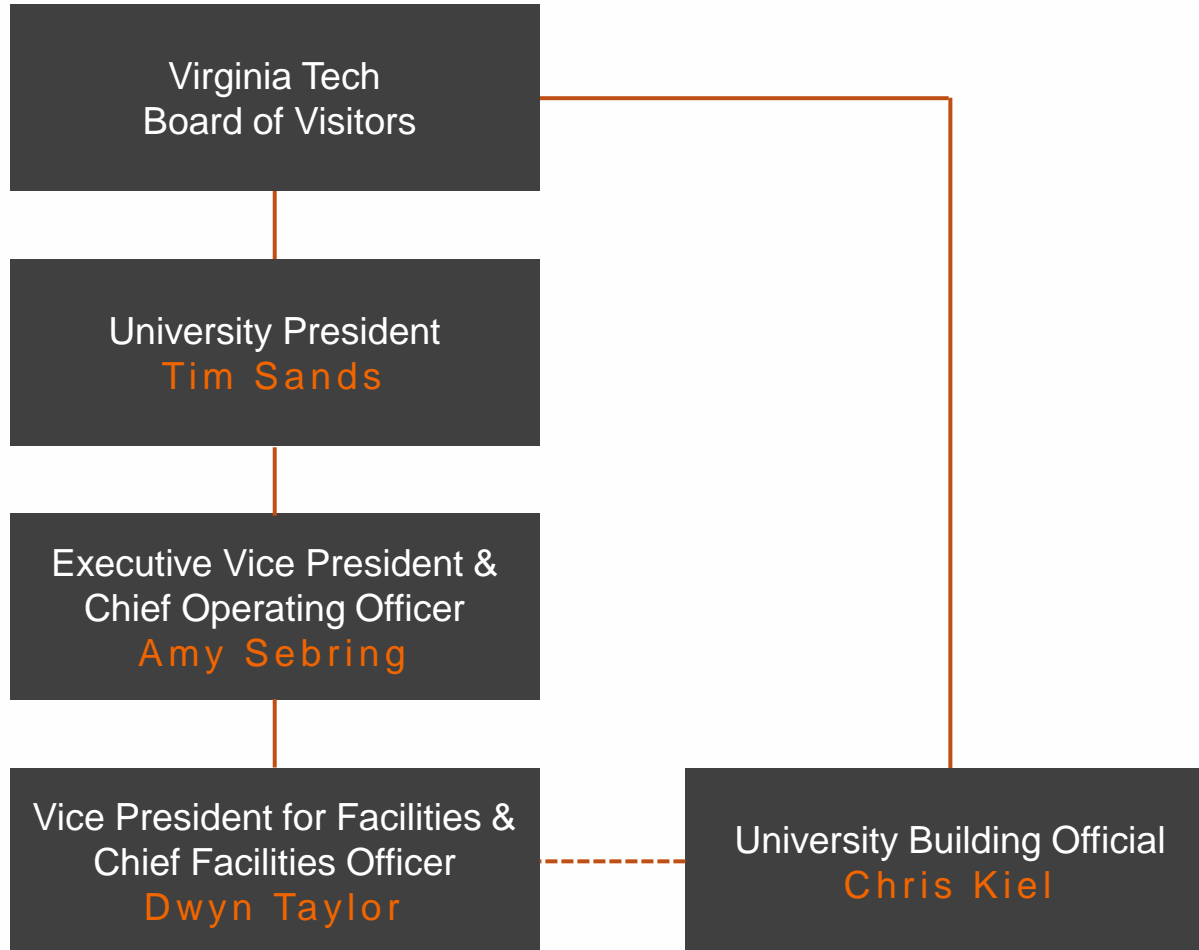
HISTORY

LEGISLATION

Tier III institutions are permitted to have university building officials (UBO) as part of the Virginia's Restructured Higher Education Financial and Administrative Operations Act (2005).



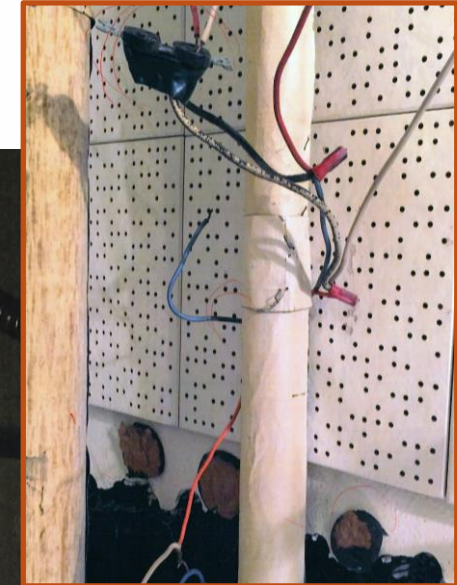
OFFICE OF THE UNIVERSITY BUILDING OFFICIAL



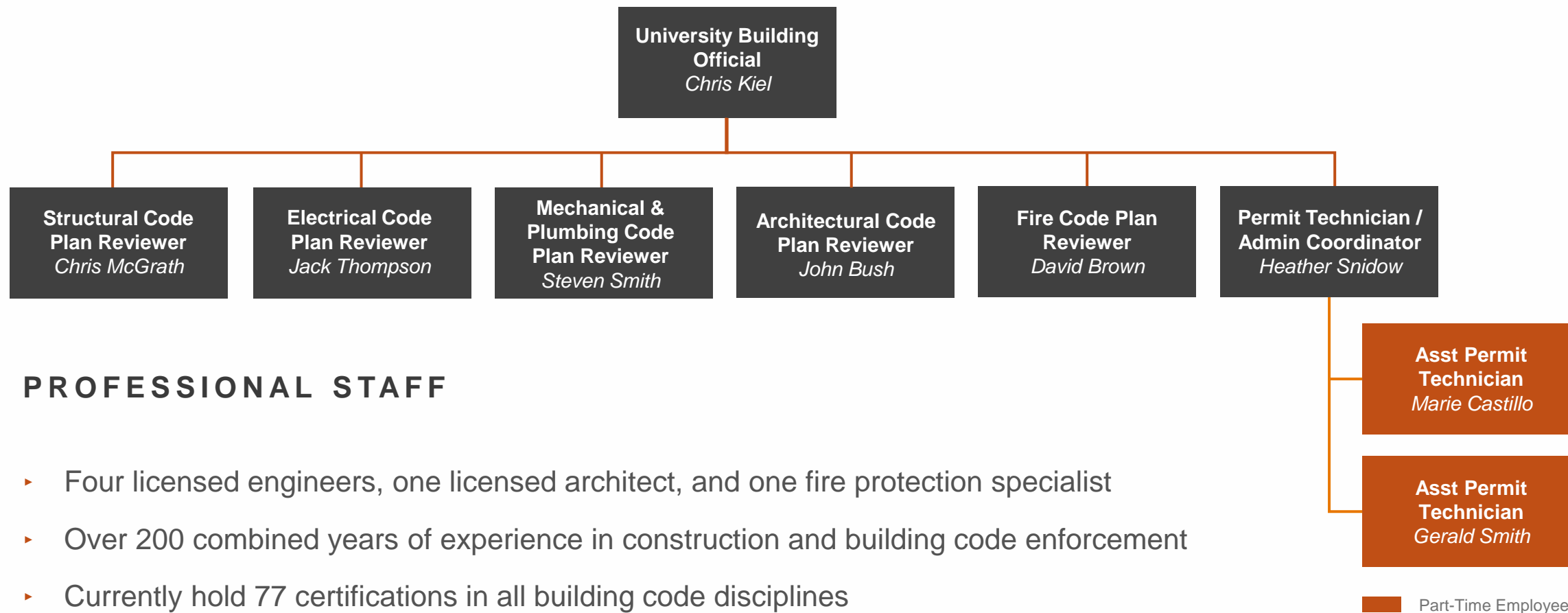
- ▶ Established in 2010
- ▶ Responsible for building code enforcement
- ▶ Authority delegated directly from the Board of Visitors
- ▶ Embedded within and administratively supported by the Division of Facilities
- ▶ One of 3 universities in Virginia that have a UBO
- ▶ One of 6 ACC universities that have a UBO

BENEFITS

- ▶ Faster and tailored response
- ▶ Comprehensive inspections
- ▶ Exclusively supports the university
- ▶ Financially advantageous



WHO WE ARE



WHAT WE DO

DESIGN

Design
Collaboration

Project
Reviews

CONSTRUCTION

Permit
Issuances

Plan
Revision
Reviews

Delegated
Design
Reviews

On-Site
Inspections

OCCUPANCY

Certificates of
Occupancy

In addition to construction code compliance oversight, UBO provides inspections of temporary structures (tents, stages, etc.) and specialized equipment (generators, temporary lighting, etc.)



YEAR PROGRESS RECAP

CONTINUOUS IMPROVEMENT: COMMUNICATION & TRANSPARENCY

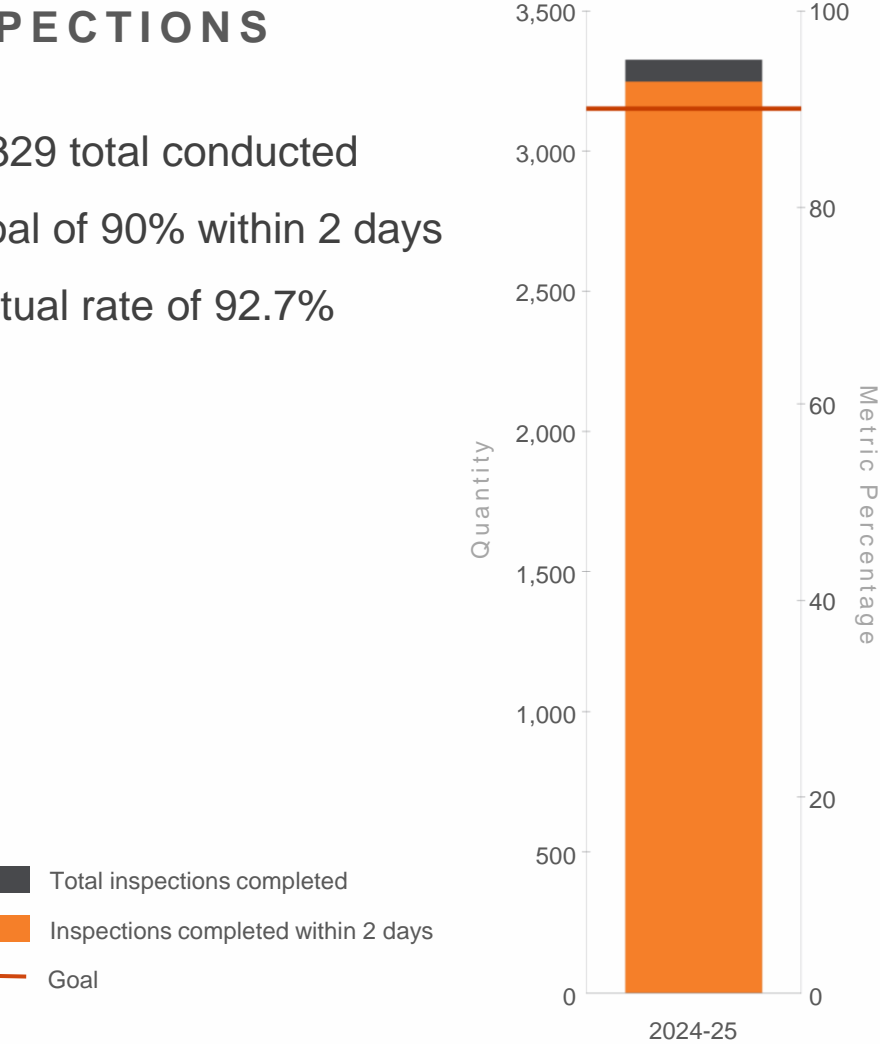
- ✓ Standardized processes for all projects
- ✓ Established online tools for improved access to project documents
- Developing a new process to view and manage outstanding inspection items

2024-2025 METRICS



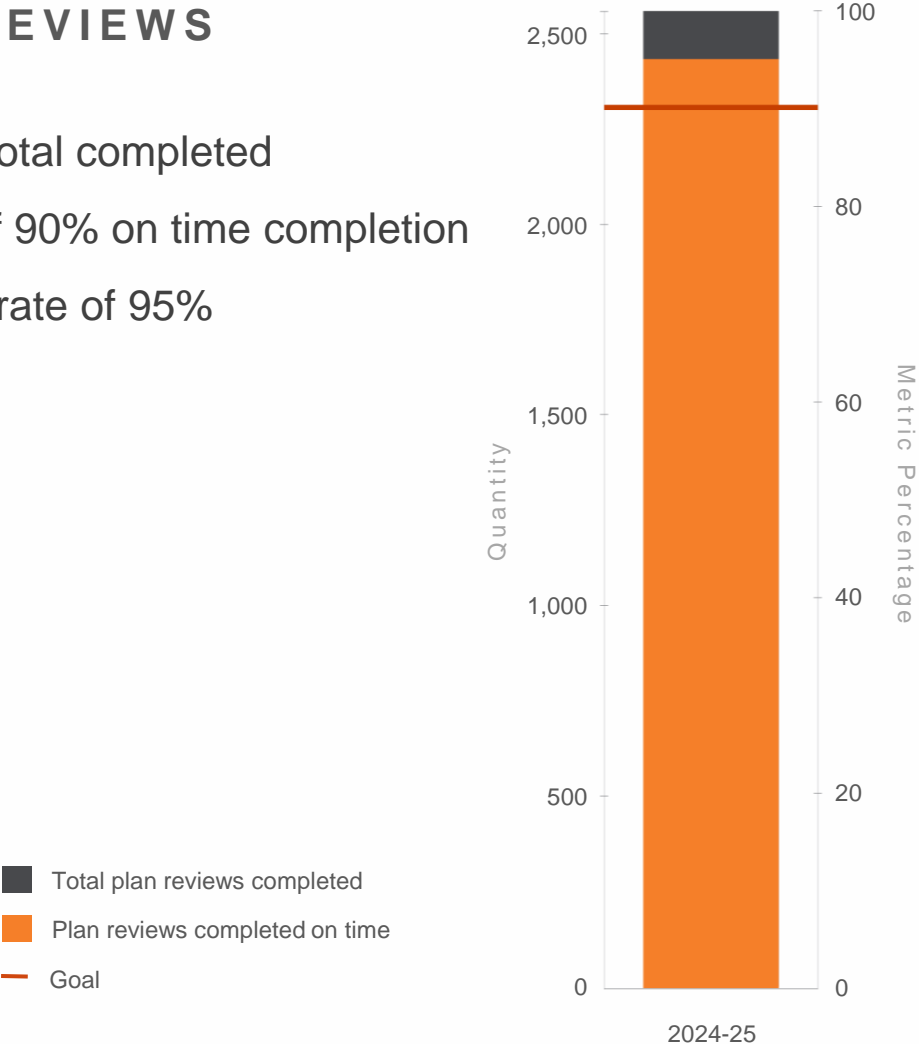
INSPECTIONS

- ▶ 3,329 total conducted
- ▶ Goal of 90% within 2 days
- ▶ Actual rate of 92.7%



PLAN REVIEWS

- ▶ 2,600 total completed
- ▶ Goal of 90% on time completion
- ▶ Actual rate of 95%



WHERE WE ARE GOING

IMPROVED:

- ▶ Simplification of processes
- ▶ Communication to customers
- ▶ Transparency

OUTREACH:

- ▶ Internal to Virginia Tech stakeholders
- ▶ External to contract partners

SUCCESSION PLANNING:

- ▶ Building for the next generation of UBO





QUESTIONS?





FACILITIES
VIRGINIA TECH.



University Building Official Office

No. 5407

Policy Effective Date:
11/8/2010

Last Revision Date:
3/10/2025

Policy Owner:
G.E. "Dwyn" Taylor II, PE

Policy Author: (*Contact Person*)
Cassidy Blackmore

Affected Parties:
Faculty
Staff

1.0 Purpose
2.0 Policy
3.0 Procedures
4.0 Definitions
5.0 References
6.0 Approval and Revisions

1.0 Purpose

This policy outlines the policies and procedures covering the University Building Official (UBO) Office at Virginia Polytechnic Institute and State University and serves as a charter for the office.

2.0 Policy

It is the policy of the Board of Visitors and the university administration that university facilities are designed, constructed, and maintained in compliance with the Virginia Uniform Statewide Building Code (VUSBC) standards and the applicable accessibility codes, as well as related laws and regulations promulgated by the Commonwealth of Virginia.

2.1 Scope of the Building Official and Office

The permanent and temporary construction, renovation, and maintenance governed by state or university regulations of any facility on university-owned property must be reviewed by the University Building Official for compliance with the VUSBC, referenced codes, and the architectural accessibility requirements of the Americans with Disabilities Act (ADA). The university reserves the right to request the services of the Virginia Department of General Services (DGS) as appropriate. Specific functions of the University Building Official Office may include, but are not necessarily limited to:

- Coordinate with other university departments and staff to ensure an understanding and compliance with the building code requirements
- Review of construction drawings and details for conformance to the requirements of the building code and Virginia Division of Engineering and Buildings notices for state-owned property
- In the course of inspections, the University Building Official will make note of deviations from university standards and report them to the appropriate offices in the Division of Facilities
- Issue and manage building permits for construction activities where applicable and required by the VUSBC
- Conduct construction phase inspections as required by the VUSBC
- Issue certificates of occupancy for new structures following successful inspections
- Provide review and/or inspections for temporary construction such as tents, stages, and amusement devices as required under the VUSBC and Virginia Amusement Code
- Provide support to university staff to determine building safety and condition of university-owned facilities or structures in the event of fire, flood, or other structural failure



Virginia Polytechnic Institute and State University

- Temporary assignments and/or special projects as allowed under the Management Agreement between the Commonwealth of Virginia and the university pursuant to the Restructured Higher Education Financial and Administrative Operations Act ("Management Agreement")
- Provide oversight of Hokie Stone inspections as part of the inspection process of existing buildings

2.1.1 Organizational Structure

The Buildings and Grounds Committee of the Board of Visitors has the responsibility to oversee and evaluate the construction, renovation, and maintenance of university buildings, structures, and facilities. Accordingly, the University Building Official has a reporting and policy relationship to the Committee and also serves in a staff role to the Committee. For administrative oversight of the University Building Official's Office function, the University Building Official reports to the university's Vice President for Facilities.

2.1.2 University Building Official Qualifications

The University Building Official shall be a full-time employee of the university, a registered professional architect or engineer, and certified by the Department of Housing and Community Development to perform the Building Official function.

2.2 Independence

Independence is essential to enable the University Building Official function to accomplish its purpose. Accordingly, the University Building Official has direct and unrestricted access to the President and the Buildings and Grounds Committee. The University Building Official shall be functionally independent of all university operations.

The University Building Official, as well as review/inspection staff, shall not be assigned to routine university operating duties unrelated to the building code function. In accordance with the Management Agreement, no individual licensed professional architect or engineer hired under the university's personnel system as a member of the review unit or contracted with to perform these functions shall also perform other building code-related design, construction, facilities-related project management or facilities management functions for the university. In addition, members of the University Building Official Office will not develop and install procedures, prepare records, make management decisions, or engage in any other activity which could be reasonably construed to compromise their independence. The University Building Official or members of the office shall not be assigned any additional supervisory or oversight responsibilities which could be reasonably construed to compromise their independence. Therefore, the University Building Official and appraisal procedures do not in any way substitute for the responsibilities assigned to other persons in the organization.

2.3 Authority

The University Building Official has unrestricted access to all university building records, reports, activities, and property. Access and information shall be related to building code enforcement and construction necessary to discharge their enforcement responsibilities. The University Building Official will exercise discretion in the review of records to assure the necessary confidentiality of matters that come to its attention.



2.4 Responsibilities of the University Building Official

The University Building Official has primary responsibility for the proper management for, and enforcement of, the VUSBC to ensure that construction, renovation, and code-governed maintenance projects conducted on property owned by the university are completed in compliance with the code, related laws and regulations, and this Policy Statement.

The University Building Official is specifically charged with, but not limited to, the following responsibilities:

- Coordinating and hiring department management and personnel for the University Building Official Office, and ensuring the office is staffed with licensed professional architects or engineers who are certified by the Department of Housing and Community Development in accordance with the Code of Virginia.
- Developing, submitting for approval, and executing comprehensive annual and long-range plans to carry out office responsibilities.
- Establishing a program for selecting and developing the human resources of the office.
- Establishing and maintaining a review program to evaluate the operations of the University Building Official's Office.
- Establishing and maintaining a program to maintain staff education, certification, and competency in their fields of expertise.
- Establishing written policies and procedures for the University Building Official Office and directing its technical and administrative functions.
- Issuing building and trade permits for each capital project as required by the VUSBC to have a building or trade permit.
- Issuing building and trade permits to non-capital projects when required by the VUSBC to have a building or trade permit.
- Establishing a program of permit inspection and compliance verification in accordance with the VUSBC.
- Documenting appropriately the results of all reviews, permits, inspections, reports, and evaluations performed.
- Determining the suitability for occupancy of, and issuance of certifications for, building occupancy for all capital projects requiring such certifications.
- Coordinating and maintaining contact with the State Fire Marshall, the Department of Housing and Community Development, other municipal building officials, other university/college building officials, the state building official, and other state agencies as required to ensure inspections and approvals as required by the building code and related laws.
- Such other duties as required to fulfill the office of the Building Official as required by the VUSBC.
- Reporting to and coordinating with the Board of Visitors and the Vice President for Facilities with respect to the duties, responsibilities, and progress of the University Building Official Office on a regular basis.
- Issuing an annual summary report of activities to the Buildings and Grounds Committee of the Board of Visitors.
- Communicating directly with the Buildings and Grounds Committee any matters considered to warrant its attention.



2.5 Annual Reports

The University Building Official will issue an annual report at the June Board of Visitors meeting that identifies the code enforcement and building permit activities performed during the prior year. The format and style of the report will be developed by the University Building Official, depending upon the nature and conditions surrounding the activities.

The Annual Report, as well as most reports on special projects, will be issued to the members of the Buildings and Grounds Committee, the President, the appropriate Vice Presidents of the university or their designee, and other appropriate management personnel, as deemed necessary by the University Building Official. In addition, reports approved at open meetings of the Board of Visitors shall be made available to the public in accordance with State statutes. In certain circumstances, the University Building Official may decide, with the approval of the Chair of the Buildings and Grounds Committee and to the extent allowable by Freedom of Information laws, to restrict the issuance of an audit report to certain members of management and/or the Committee.

2.6 Responsibility for Corrective Action

In the event a project, building, or trade permit results in nonconforming work that is in violation of the Building Code, the University Building Official may issue a Notice of Violation as detailed in the appropriate section of the VUSBC. The Notice of Violation will be issued to the Project Manager or responsible party who requested and was granted a building or trade permit for construction. A copy of the Notice of Violation will be sent to the Vice President for Facilities.

The department to whom the Notice of Violation was issued is responsible for taking remedial steps to achieve compliance and to provide, or have provided, a written response to the conditions reported. The responses should be submitted to the University Building Official within 30 calendar days of the issuance of the Notice of Violation.

2.7 Coordination with External Agencies

The University Building Official will coordinate the office's efforts with those of other state and local building code and related regulatory agencies by participating with, and coordinating with, the agencies to provide comprehensive, cost-effective building code enforcement for the university. Duplication of work will be avoided as much as possible. The university reserves the right to request the services of the Department of General Services (DGS) as appropriate.

2.8 Special Projects

The University Building Official is empowered to conduct special projects, reviews, or investigations at the request of the university President or his designee, or the Buildings and Grounds Committee. All special projects shall be reported to the Chair of the Buildings and Grounds Committee.

3.0 Procedures

The University Building Official shall be empowered to establish office policies and procedures in keeping with university policy, the building code, and the laws related to the building code. The office policies and procedures shall provide for a consistent process of project review, client communication, permit issue and management, and inspection issue management. The policies and procedures are subject to revision as changes are made in the building code or improvements in the process are recognized.



4.0 Definitions

Virginia Uniform Statewide Building Code: The Virginia Uniform Statewide Building Code (VUSBC) is a state regulation promulgated by the Virginia Board of Housing and Community Development, a Governor-appointed board, for the purpose of establishing minimum regulations to govern the construction and maintenance of buildings and structures. The provisions of the VUSBC are based on nationally recognized model building and fire codes published by the International Code Council, Inc. (ICC). The ICC model codes are made part of the VUSBC through a regulatory process known as incorporation by reference. The VUSBC also contains administrative provisions governing the use of the model codes and establishing additional reference codes and standards as well as requirements for the enforcement of the code by the local building departments and other code enforcement agencies.

5.0 References

The Virginia Uniform Statewide Building Code

<https://www.dhcd.virginia.gov/virginia-uniform-statewide-building-code-usbc>

Restructured Higher Education Financial and Administrative Operations Act, Code of Virginia, §§ 23.1-1000 through 23.1-1028

<http://law.lis.virginia.gov/vacode/title23.1/chapter10/>

The Management Agreement Between Virginia Tech and the Commonwealth of Virginia

University Policy 5405, Non-capital Construction, Renovation, Maintenance and Repair of University-owned Facilities

<http://www.policies.vt.edu/5405.pdf>

University Policy 5406, Permits for Temporary Structures

<http://www.policies.vt.edu/5406.pdf>

Virginia Department of General Services, Division of Engineering and Buildings

<https://dgs.virginia.gov/engineering-and-buildings/>

6.0 Approval and Revisions

Approved November 8, 2010 by the Virginia Tech Board of Visitors

- **Revision 1**

- Revised to incorporate code-governed maintenance inspections and to address temporary facilities and amusements.
- Technical updates to titles and references.

Approved September 1, 2016 by Vice President for Administration, Sherwood G. Wilson.

- **Revision 2**

Technical updates to titles and references.

Approved September 27, 2022 by Vice President for Campus Planning, Infrastructure, and Facilities, Christopher H. Kiwus.



Virginia Polytechnic Institute and State University

- **Revision 3**

- Updated the Division name from Division of Campus Planning, Infrastructure, and Facilities to Division of Facilities throughout the policy.
- Updated the title of the position formerly known as the Vice President for Campus Planning, Infrastructure, and Facilities to Vice President for Facilities throughout the policy.

Approved March 10, 2025 by Vice President for Facilities, Dwyn Taylor.

Future Agenda Items and Closing Remarks

BUILDINGS AND GROUNDS COMMITTEE

Tuesday, June 3, 2025

The Committee Chair will discuss future agenda items and make closing remarks.

COMMITTEE REVIEW AND ACTION ITEMS

Type	Frequency	Committee
Capital Project Status Report	Every meeting	Buildings & Grounds
Tours of Campus Sites	Most meetings – as needed	Buildings & Grounds
University Building Official Annual Report	Annually in June	Buildings & Grounds
Sustainability Annual Report	Annually in November	Buildings & Grounds
Design Preview/Reviews	As needed in order to receive Board approval	Buildings & Grounds
Project and Program Updates	As needed to keep the Board informed	Buildings & Grounds
Public Service Authority Appointments	As needed to maintain representation	Buildings & Grounds and Full Board
Demolitions	As needed in order to receive Board approval	Buildings & Grounds and Full Board
Acquisitions and Conveyances of Property	As needed in order to receive Board approval	Buildings & Grounds with Finance & Resource Management and Full Board
Funding – Design	As needed in order to receive Board approval	Buildings & Grounds with Finance & Resource Management and Full Board
Funding – Construction and Capital Leases	As needed in order to receive Board approval	Buildings & Grounds with Finance & Resource Management and Full Board
Six-Year Capital Plan	Every two years	Buildings & Grounds with Finance & Resource Management and Full Board
Campus Master Plan	As needed in order to receive Board approval	Buildings & Grounds and Full Board

Note: Other, less common, items that would come forward for review through the B&G Committee include adoptions of and updates to regulations, updates to facility-related university policies, updates to construction-related governing documents (ex: PPEA Guidelines, Campus Design Principles, etc.), and litigation briefings.

Open Session Agenda

COMPLIANCE, AUDIT, AND RISK COMMITTEE

New Classroom Building, Room 260

June 2, 2025

3:30pm

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Welcome and Acceptance of Agenda	Anna James
2. Consent Agenda	Anna James
a. Minutes from the March 25, 2025 Meeting	
b. Update of Responses to Open Internal Audit Comments	
c. Audit Plan Status Report	
d. Internal Audit Reports	
i. Graduate School Policy Compliance Review	
e. Report on Audits of University-Related Corporations	
f. 2025 General Assembly Legislative Report	
g. Review and Approval of Charters	
i. Charter for the Office of Audit, Risk, and Compliance	
3. Annual External Audit Scope Discussion with the Auditor of Public Accounts	Megan Richard
# 4. The Federal Landscape	Chris Yianilos
# 5. Enterprise Risk Management Update	Sharon Kurek
6. Audit Plan for Fiscal Year 2025-26	Justin Noble
7. Discussion of Future Topics	Anna James
# Discusses Enterprise Risk Management topic(s).	

Open Session Briefing Report
COMPLIANCE, AUDIT, AND RISK COMMITTEE

June 2, 2025

Compliance, Audit, and Risk Open Session

1. **Welcome and Acceptance of Agenda:** The chair of the Compliance, Audit, and Risk Committee will provide opening remarks and ask for acceptance of the Open Session agenda.
2. **Consent Agenda:** The Committee will consider for approval and acceptance the items listed on the Consent Agenda.
 - a. **Minutes from the March 25, 2025 Meeting:** The Committee will review and approve the minutes of the March 25, 2025 meeting.
 - b. **Update of Responses to Open Internal Audit Comments:** The Committee will review the university's update of responses to all previously issued internal audit reports. As of December 31, 2024, the university had 13 open recommendations. Seven audit comments were issued during the third quarter of the fiscal year. As of March 31, 2025, the university had addressed ten comments, leaving ten 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 57 percent of its audit plan, and 100 percent is underway, in accordance with the fiscal year 2024-25 annual audit plan.
 - d. **Internal Audit Reports:** The following internal audit report was issued by OARC since the March 25, 2025 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. **Graduate School Policy Compliance Review:** The audit received a rating of improvements are recommended. Low priority observations of a less significant nature were noted regarding P-14 appointments, I-9 verification, and state vehicle management.

- e. **Report on Audits of University-Related Corporations:** The university-related corporations include Virginia Tech Applied Research Corporation; Virginia Tech Foundation, Inc.; Virginia Tech Intellectual Properties, Inc.; Virginia Tech Services, Inc.; Virginia Tech Innovations Corporation (VTIC); and Virginia Tech India Research and Education Forum (VTIREF). Consistent with the Board of Visitors' resolution establishing university-related corporations, each corporation is annually required to provide audited annual financial statements, management letters from external auditors, and management's responses to the university's president. Each corporation is also required to submit an annual certification stating that all procedures outlined in the resolution have been met. All corporations are in full compliance with the Board of Visitors' requirements regarding audits. Additionally of note, in June 2024, the Board for VT Services, Inc. approved dissolving the entity and transferring all assets and operations to the University by December 31, 2025.
 - f. **2025 General Assembly Legislative Report:** This report provides an update on recent state legislative changes that impact the Committee's responsibility for oversight of compliance and risk. Relevant higher education areas impacted include admission and transfer; agriculture, environment, and energy; benefits and personnel; mental health; procurement; reporting and oversight; student health; and technology. Of particular relevance to the Board of Visitors' operations, HB2452 requires public institutions of higher education in the Commonwealth to develop minimal uniform standards for (i) providing the public with real-time access to the meetings of their governing boards and board committees, (ii) archiving the meeting recordings, and (iii) taking meeting minutes, with implementation no later than July 1, 2026. The provisions above will not become effective unless reenacted by the 2026 Session of the General Assembly.
 - g. **Review and Approval of Charters:** The Office of Audit, Risk, and Compliance (OARC) presents the Charter for the Office of Audit, Risk, and Compliance for review and approval in accordance with professional standards. OARC recommends modifications to the office charter that reflect current titles and organizational structure.
3. **Annual External Audit Scope Discussion with the Auditor of Public Accounts:** The Committee will meet with the APA for a discussion of the scope of the audit of the 2024-25 financial statements and the APA's plans for conducting and completing the audit.

4. **The Federal Landscape:** The Committee will receive a presentation from the Vice President for Government Relations on risks emerging from the current federal landscape and its potential to impact the university's operations, including discussion on proposed changes to the facilities and administrative rate, federal budget, and other related topics.
5. **Enterprise Risk Management Update:** The Committee will receive an update of the Enterprise Risk Management (ERM) program activity during fiscal year 2024-25, including the updated enterprise risk landscape delineated by the university's tripartite mission and support environments, the heat map with a focus on the top ten risks, and a chart of how the risks have shifted over the last year. The mapping of the enterprise risk landscape shows the alignment of risks with the two main university goals, the Virginia Tech Advantage and Virginia Tech Global Distinction. Other activities of the ERM program included conducting a tabletop exercise on research security and compliance scenarios; facilitating an ERM exercise with President's Council on risk tolerance, appetite, mitigations, and opportunity risks in the evolving regulatory landscape; and developing a comprehensive risk register for the university.
6. **Audit Plan for Fiscal Year 2025-26:** The Chief Audit Executive will present the Audit Plan for Fiscal Year 2025-26 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 2025-26 and a core audit plan was developed in coordination with the university's Enterprise Risk Management initiative. For fiscal year 2025-26, 30 audit projects and four management advisory services are proposed, with approximately 77 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. **Discussion of Future Topics:** The Committee will discuss topics to be covered in future committee meetings.

Consent Agenda
COMPLIANCE, AUDIT, AND RISK COMMITTEE
June 2, 2025

The Committee will consider for approval and acceptance the items listed on the Consent Agenda.

- a. Approval of Minutes of the March 25, 2025 Meeting
- b. Update of Responses to Open Internal Audit Comments
- c. Audit Plan Status Report
- d. Internal Audit Reports
 - i. Graduate School Policy Compliance Review
- e. Report on Audits of University-Related Corporations
- f. 2025 General Assembly Legislation Report
- g. Review and Approval of Charters
 - i. Charter for the Office of Audit, Risk, and Compliance

Minutes

COMPLIANCE, AUDIT, AND RISK COMMITTEE The Inn at Virginia Tech, Latham C March 25, 2025

Closed Session

Committee Members Present: Anna James (Chair), Dave Calhoun, Starlette Johnson, Ryan McCarthy, Jim Miller, John Rocovich

Other Board Members Present: Ed Baine (Rector), Sandy Davis, Nancy Dye, Don Horsley, Tish Long, J. Pearson

Virginia Tech Personnel: Simon Allen, Cyril Clarke, Rebecca Halsey, Ryan Hamilton, Kay Heidbreder, Sharon Kurek, Justin Noble, Kim O'Rourke, Sharon Pitt, David Raymond, Timothy Sands, Amy Sebring

1. **Motion to Begin Closed Session:** Committee member Ryan McCarthy moved to begin closed session at 8:31am.
2. **Update on Fraud, Waste, and Abuse Cases:** The Committee received an update on outstanding fraud, waste, and abuse cases.
3. **Internal Audit Reports:** The following confidential internal audit report was issued by the Office of Audit, Risk, and Compliance (OARC) since the November board meeting. Where applicable, management developed action plans to effectively address the issues in the report with a reasonable implementation timeframe. OARC conducts follow-up on management's implementation of agreed upon improvements for previously issued audit recommendations.
 - a. **Vice President for IT Policy Compliance Review:** The audit received a rating of improvements are recommended. An observation was noted regarding information technology. Low priority recommendations of a less significant nature were noted regarding emergency preparedness, state vehicle management, and conflict of commitment.
4. **Discussion with the Chief Audit Executive:** The CAE discussed 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. **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 will involve discussion of the performance of specific individuals.
6. **Motion to End Closed Session:** Committee member Jim Miller moved to end closed session at 9:36am.

Open Session

Committee Members Present: Anna James (Chair), Dave Calhoun, Starlette Johnson, Ryan McCarthy, Jim Miller, John Rocovich

Other Board Members Present: Ed Baine (Rector), Janice Austin, LaTawnya Burleson, Rachel Miles, William Poland

Virginia Tech Personnel: Al Cooper, Suzanne Griffin, Rebecca Halsey, Ryan Hamilton, Kay Heidbreder, Frances Keene, Sharon Kurek, Mike Mulhare, Justin Noble, Timothy Sands, Amy Sebring, Brennan Shepard, John Talerico

1. **Welcome and Acceptance of Agenda:** The chair of the Compliance, Audit, and Risk Committee provided opening remarks and asked for acceptance of the Open Session agenda at 12:38pm.
2. **Consent Agenda:** The Committee considered and approved the items listed on the Consent Agenda.
 - a. **Minutes from the November 18-19, 2024 Meeting:** The Committee reviewed and approved the minutes of the November 18-19, 2024 meeting.
 - b. **Update of Responses to Open Internal Audit Comments:** The Committee reviewed the university's update of responses to all previously issued internal audit reports. As of September 30, 2024, the university had

seven open recommendations. Six audit comments were issued during the second quarter of the fiscal year. As of December 31, 2024, the university had 13 open recommendations in progress.

- c. **Audit Plan Status Report:** The Committee reviewed the Audit Plan Status Report. The Office of Audit, Risk, and Compliance (OARC) has completed 39 percent of its audit plan, and 79 percent is underway, in accordance with the fiscal year 2024-25 annual audit plan.
- d. **Internal Audit Reports:** The following internal audit reports were issued by OARC since the November 19, 2024 meeting. Where applicable, management developed action plans to effectively address the issues in the report with a reasonable implementation timeframe. As noted above, OARC conducts follow-up on management's implementation of agreed upon improvements for previously issued audit recommendations.
 - i. **Agricultural Research and Extension Centers:** The audit received a rating of improvements are recommended. Low priority recommendations of a less significant nature were noted regarding fiscal responsibility, wage payroll, leave reporting, I-9 verification, purchasing card expenditures, and funds handling.
 - ii. **Electrical and Computer Engineering:** The audit received a rating of improvements are recommended. Observations were noted regarding laboratory access, laboratory safety training, and timely service center billing. A low priority recommendation of a less significant nature was noted regarding cleanroom inventory.
 - iii. **Undergraduate Admissions:** The audit received an effective rating.
- e. **Auditor of Public Accounts Financial Statement Audit:** The Committee received a report on the Auditor of Public Accounts (APA) audit of the university's financial statements for the fiscal year ended June 30, 2024. During the audit, the APA found the financial statements were presented fairly in all material respects. However, there was one internal control findings requiring management's attention, related to properly completing the federal verification process prior to disbursing Title IV aid.
- 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 2024. The APA performed

certain agreed upon procedures to evaluate whether the Schedule of Revenues and Expenses of the Intercollegiate Athletics Programs for fiscal year ending June 30, 2024 is in compliance with the National Collegiate Athletic Association (NCAA) bylaws. The review did not constitute an audit and therefore no opinion was issued.

3. **Discussion on Updated Audit Standards:** The Committee received a presentation on the revised professional audit standards and will discuss further at a future meeting.
4. **Internal Audit Reports:** The following internal audit reports were issued by OARC since the November 19, 2024 meeting. Where applicable, management developed action plans to effectively address the issues in the report with a reasonable implementation timeframe. As noted above, OARC conducts follow-up on management's implementation of agreed upon improvements for previously issued audit recommendations. The Committee accepted the audit reports.
 - a. **Programs for Minors:** The audit received a rating of improvements are recommended. An observation was noted regarding participant information and First Aid/CPR certification. An observation with university-wide impact was noted related to program governance. Two low priority recommendations of a less significant nature were noted regarding program registration and completion of background checks and youth protection training.
 - b. **Student Immigration Processes:** The audit on the university's compliance with federal regulations regarding student immigration services received a rating of improvements are recommended. Observations were noted regarding updates to the university's I-17 form and student employment compliance. Low priority recommendations of a less significant nature were noted regarding CPT enrollment requirements and user access management to Terra Dotta.
5. **Update from the Executive VP and Chief Operating Officer:** The Committee received an update from EVPCOO Amy Sebring. She discussed the institution's efforts to bring a more risk-based approach to our financial management, the development of a new IT strategic plan, the university's continued focus on operational efficiency, and the search for a new AVP for Public Safety given current personnel's retirement plans.

6. **Discussion of Future Topics:** The Committee discussed topics to be covered in future committee meetings. The meeting adjourned at 12:55pm.

Update of Responses to Open Internal Audit Comments

COMPLIANCE, AUDIT, AND RISK COMMITTEE

March 31, 2025

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 March Board meeting, the report of open recommendations includes three attachments:

- Attachment A summarizes each audit in order of final report date with extended and on-schedule open recommendations.
- Attachment B details all open medium and high priority recommendations for each audit in order of the original target completion date, and with an explanation for those having revised target dates or revised priority levels.
- Attachment C charts performance in implementing recommendations on schedule over the last seven years. The 100 percent on-schedule rate for fiscal year 2025 reflects closing 13 of 13 recommendations by the original target date.

The report presented at the March 25, 2025 meeting covered audit reports reviewed and accepted through December 31, 2024 and included 13 open medium and high priority recommendations. Activity for the quarter ending March 31, 2025 resulted in the following:

Open recommendations as of December 31, 2024	13
Add: medium and high priority recommendations accepted March 25, 2025	7
Subtract: recommendations addressed since December 31, 2024	10
Remaining open recommendations as of March 31, 2025	<u>10</u>

While this report is prepared as of the end of the quarter, management continues to receive updates from OARC regarding auditee progress on action plans. Through May 9, 2025, OARC has reduced to a low priority two of ten remaining open medium and high priority recommendations. OARC is still awaiting documentation for one action plan with an implementation date of May 1, 2025. All other remaining open recommendations are progressing as expected and are on track to meet their respective target dates. Management continues to work jointly 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

March 31, 2025

Report Date	Audit Name	Audit Number	Total Recommendations						
			ISSUED	COMPLETED	OPEN				
					Extended		On-schedule		Total
					High	Medium	High	Medium	Open
Mar 05, 2024	College of Veterinary Medicine	24-1715	4	3	-	-	-	1	1
Mar 25, 2024	IT Policy Compliance Review: Athletics	24-1706B	1	-	-	-	1	-	1
Aug 05, 2024	Chemistry	24-1693	2	1	-	-	-	1	1
Oct 29, 2024	Aerospace and Ocean Engineering	24-1690	2	1	-	-	-	1	1
Oct 31, 2024	Sponsored Programs - Pre Award	24-1709	1	-	-	-	-	1	1
Feb 17, 2025	Student Immigration Services	25-1752	2	1	-	-	-	1	1
Mar 06, 2025	Vice President for Information Technology	25-1769	1	-	-	-	-	1	1
Mar 07, 2025	Electrical and Computer Engineering	25-1749	3	-	-	-	-	3	3
Totals:			16	6	-	-	1	9	10

ATTACHMENT B

Open Audit Recommendations

COMPLIANCE, AUDIT, AND RISK COMMITTEE

March 31, 2025

Report Date	Item	Audit Number	Audit Name	Recommendation Name	Priority		Target Date		Follow Up Status	Status of Recommendations with Revised Priority / Target Dates
					Original	Revised	Original	Revised / Current		
Mar 25, 2024	1	24-1706B	IT Policy Compliance Review: Athletics	Information Technology Controls	High		Apr 01, 2025		1	
Mar 05, 2024	2	24-1715	College of Veterinary Medicine	Fixed Asset Management	Medium		May 01, 2025		1	
Oct 31, 2024	3	24-1709	Sponsored Programs - Pre Award	PI Status Verification	Medium		May 01, 2025		1	
Oct 29, 2024	4	24-1690	Aerospace and Ocean Engineering	Labor Cost Transfers	Medium		Jun 01, 2025		1	
Mar 07, 2025	5	25-1749	Electrical and Computer Engineering	Laboratory Access	Medium		Jun 01, 2025		1	
Aug 05, 2024	6	24-1693	Chemistry	Key Control	Medium		Jul 30, 2025		2	
Mar 06, 2025	7	25-1769	Vice President for Information Technology	Information Technology	Medium		Oct 31, 2025		2	
Feb 17, 2025	8	25-1752	Student Immigration Services	Form I-17 Requires Updates	Medium		Nov 01, 2025		2	
Mar 07, 2025	9	25-1749	Electrical and Computer Engineering	Laboratory Safety Training	Medium		Jan 01, 2026		2	
Mar 07, 2025	10	25-1749	Electrical and Computer Engineering	Timely Service Center Billing	Medium		Jan 01, 2026		2	

Follow Up Status

- 1 Management confirmed during follow up discussions with OARC that actions are occurring and the target date has been or will be met. OARC will conduct testing after the due date to confirm that the Management Action Plan is implemented in accordance with the recommendations.
- 2 Target date is beyond current calendar quarter. Management has follow-up discussions with the auditor to monitor progress, to assist with actions that may be needed to meet target dates, and to assess the feasibility of the target date.

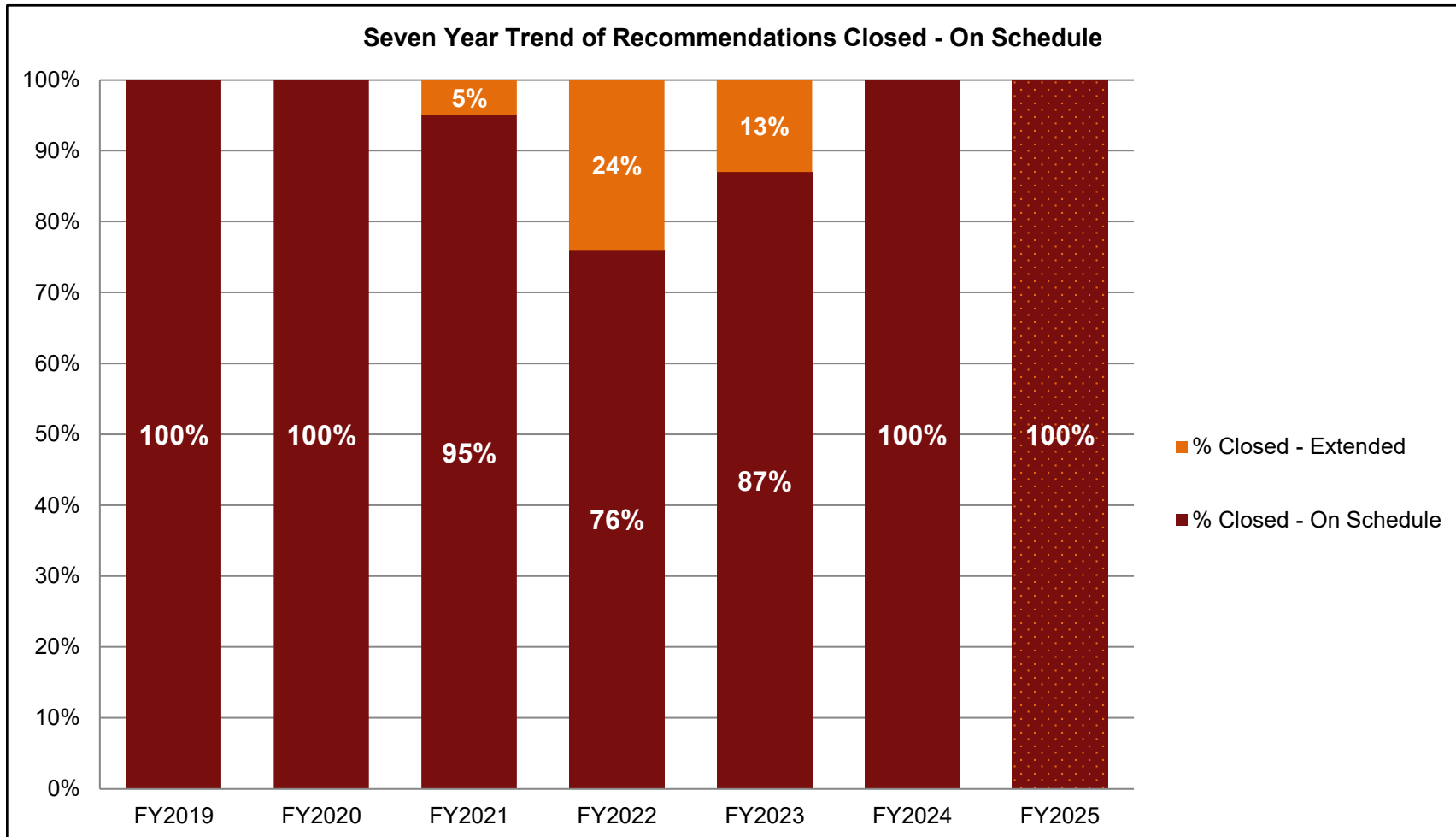
For Open Detail Report: "current calendar quarter" is used to refer to the current working quarter instead of the quarter being reported on.

ATTACHMENT C

Management Performance and Trends Regarding Office of Audit, Risk, and Compliance Recommendations

COMPLIANCE, AUDIT, AND RISK COMMITTEE

March 31, 2025



Audit Plan Status Report

COMPLIANCE, AUDIT, AND RISK COMMITTEE

June 2, 2025

Audit Plan Update

Audits were performed in accordance with the fiscal year 2024-25 annual audit plan at a level consistent with the resources of the Office of Audit, Risk, and Compliance (OARC). Since the March board meeting, four planned projects have been completed including two policy compliance reviews, one risk-based audit, and one advisory review regarding Safety Management System training data.

Thirteen projects are currently underway, including:

- Eight risk-based projects: Affiliated Corporations: Virginia Tech Transportation, LLC, Athletics Ticket Office, Environmental Health & Safety, Human Resources: Benefits, IT: Security Operations Center, School of Plant and Environmental Sciences, Recreational Sports, and Subrecipient Monitoring.
- One policy compliance review: College of Liberal Arts and Human Sciences.
- Four advisory projects: Athletics IT Security, Central Funds, Data Analytics Compliance Dashboard, and Research Accounting Processes – HERD.

Further, three projects have been canceled for consideration in future years. First, ADA Compliance was removed based on turnover in a key position and management's request for a delay. Next, the advisory review on CMMC Readiness was deferred based on actions underway at the institution. Finally, IT: Cloud Services was removed based on higher priority requests being submitted for consideration.

In fiscal year 2024-25, OARC has completed 57 percent of its audit plan as depicted below.

FY 2024-25 Completion of Audit Plan

Audits	
Total # of Audits Planned	30
Total # of Supplemental Audits	3
Total # of Carry Forwards	6
Total # of Planned Audits Canceled or Deferred	9
Total Audits in Plan as Amended	30
Total Audits Completed	17
Audits - Percentage Complete	57%
Audits - Percentage Complete or Underway	100%
Note: Includes Policy Compliance Reviews and Advisory Services	

Internal Audit Reports
COMPLIANCE, AUDIT, AND RISK COMMITTEE

June 2, 2025

Background

This report provides a summary of the following review and its rating, as well as the full rating system definitions. The Office of Audit, Risk, and Compliance has made a concerted effort to ensure progress on the annual audit plan.

Consent Agenda Reports	Rating
Graduate School Policy Compliance Review	Improvements are Recommended

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 report listed above be accepted by the Compliance, Audit, and Risk Committee.

June 2, 2025

Report on Audits of University-Related Corporations
COMPLIANCE, AUDIT, AND RISK COMMITTEE
April 25, 2025

In accordance with the resolution passed by the Finance and Audit Committee on April 25, 1985, and as amended on November 13, 1995 and March 31, 2008, each university-related corporation is required to provide the University's President audited annual financial statements, management letters from the external auditors, management's responses thereto, and an annual certification that all procedures outlined in the resolution have been met. These financial statements, management letters, and management responses have been reviewed as of June 30, 2024, and found to meet the standards set forth in the audit resolution, except as noted below.

VIRGINIA TECH CORPORATIONS
COMPLIANCE WITH AUDIT RESOLUTION FOR FISCAL YEAR 2024

Corporation	Audited Financial Statement	Management Letter	Response to Management Letter	External Auditor Length of Service	Certification Letter
VT Applied Research Corporation	✓	*	*	Ω	✓
VT Foundation, Inc.	✓	*	*	Ω	✓
VT Intellectual Properties, Inc.	✓	*	*	Ω	✓
VT Services, Inc. ¹	✓	*	*	Ω	✓
VT Innovations Corporation	✓	*	*	Ω	✓
VT India Research and Education Forum ²	✓	*	*	Ω	✓

* No material recommendations resulted from the audit.

Ω Corporation using same audit firm as in years past; management team has been rotated within the past five years in accordance with the audit resolution.

¹ In June 2024, the Board for VT Services, Inc. approved dissolving the entity and transferring all assets and operations to the University by December 31, 2025.

² The financial statement year end for VT India Research and Education Forum (VTIREF) is March 31.

2025 General Assembly Legislative Report
May 7, 2025

The following report highlights legislation of interest to Virginia Tech.

Admission and Transfer:

HB1805 (Del. Laura Jane Cohen): **Public institutions of higher education; policies; individuals with disabilities; postsecondary transition planning and services; documentation or evidence; report.** Requires any individualized education program (IEP) meeting for any student with a disability held for the purpose of postsecondary transition planning and consideration of postsecondary transition services to include, consistent with the guidance developed by the Department of Education pursuant to applicable law, consideration and documentation of any information relating to such student's postsecondary transition planning and service needs that may be necessary or relevant to coordinating and facilitating the successful and efficient transition of such student from secondary school to an institution of higher education. The bill directs the State Council of Higher Education for Virginia to study and make recommendations in a report by November 1, 2025, on improving and standardizing the quality and consistency of IEPs or sections of IEPs developed and implemented for students with disabilities dedicated to postsecondary transition planning and services for students with disabilities by public institutions of higher education in the Commonwealth.

HB 2156 (Del. Betsy B. Carr) / **SB 1229** (Sen. Lashrecse Aird): **Public institutions of higher education; student exchange programs; tuition and mandatory fee waivers; conditions.** Clarifies that tuition and mandatory fees may be waived for a student from a foreign country enrolled in a public institution of higher education through a formalized student exchange program between such institution and another institution of higher education, provided that the number of full-time equivalent inbound students from a foreign country for whom tuition and mandatory fees has been waived does not exceed during any three-year period the number of full-time equivalent outbound students who are enrolled through such student exchange program and who pay full tuition and mandatory fees to the institution. Current law permits tuition and mandatory fees to be waived for a student from a foreign country enrolled in a public institution of higher education through a student exchange program approved by such institution, provided that the number of students from a foreign country for whom tuition and mandatory fees has been waived does not exceed during any three-year period the number of students from a foreign country who are enrolled through such student exchange program and who pay full tuition and mandatory fees to the institution.

Agriculture, Environment, and Energy:

HB 2303 (Del. Alfonso H. Lopez) / **SB 921** (Sen. T. Travis Hackworth): **State Veterinarian; large animal veterinary grant program; report.** Directs the State Veterinarian to establish a large animal veterinary grant program no later than July 1,

2026, to provide grants to increase or stabilize the number of large animal veterinarians, as defined in the bill, practicing in areas of the Commonwealth that have been identified by the State Veterinarian as having a shortage of such veterinarians. The bill directs the State Veterinarian to annually select from a pool of applicants no more than four large animal veterinarians to participate in the program and to develop, in consultation with the Board of Veterinary Medicine and relevant stakeholders, selection criteria for applicants to participate in the program. The bill also requires the State Veterinarian to submit a report evaluating the extent to which the program has helped to address the shortage of large animal veterinarians in the Commonwealth to the Board and the Chairmen of the Senate Committee on Agriculture, Conservation and Natural Resources and the House Committee on Agriculture, Chesapeake and Natural Resources no later than July 1, 2030.

HB2517 (Del. Chris S. Runion): Land application of sewage sludge; permit exemptions. Exempts from permitting requirements for land application, marketing, and distribution of sewage sludge any land application for a research project when such land is owned and operated by an institution of higher education in the Commonwealth. The bill requires the institution of higher education to notify the Department of Environmental Quality and the owner of every adjoining property of its intent to land apply such sewage sludge at least 30 days prior to commencing any land application of sewage sludge. The bill also requires the institution of higher education to comply with setback and recordkeeping requirements outlined in the Virginia Pollution Abatement Permit Regulation. The bill has an expiration date of July 1, 2030.

Benefits and Personnel

HB1815 (Del. Ellen H. Campbell) / SB1142 (Sen. Mark D. Obenshain): Line of Duty Act; campus police officers; private police officers. Provides employees of contributing nonprofit private institutions of higher education, defined in the bill, and contributing private police departments, defined in the bill, with the benefits granted to employees of participating employers under the Line of Duty Act. The bill clarifies that the Line of Duty Act shall not apply to any private institution of higher education or private police department that is not a contributing nonprofit private institution of higher education or contributing private police department, respectively.

SB1014 (Sen. Schuyler T. VanValkenburg): Department of Human Resource Management; hired on the basis of direct experience. Prohibits, with certain exceptions, any state agency from requiring an applicant to have a baccalaureate degree as a condition of eligibility for hiring to a position in state employment.

Mental Health:

HB2420 (Del. Michael J. Webert): Public institutions of higher education; intercollegiate athletics program coaches; Mental Health First Aid or similar

training required. Requires each coach of an intercollegiate athletics program at a public institution of higher education to participate in Mental Health First Aid training or a similar program prior to the commencement of his duties.

Miscellaneous

HB1783 (Del. Robert D. Orrock Sr.): Public middle and high schools; establishment of career and technical student organizations; certain exclusions. Establishes an exception to the authority granted to each public middle school and high school to establish career and technical education student organizations, regardless of whether such school offers career and technical education courses, in the case of any such organization that is established as a federally chartered corporation pursuant to an act of Congress.

HB1878 (Del. Briana D. Sewell): State Council of Higher Education for Virginia; renaming Director as Executive Director. Renames the Director of the State Council of Higher Education for Virginia as the Executive Director.

HB2018 (Del. Bonita G. Anthony) / SB879 (Sen. Adam Ebbin): Board of Education; teacher licensure; career and technical education; alternative pathways. Requires the Board of Education to establish additional pathways to renewable licensure as a teacher with an endorsement in the area of career and technical education, including (i) for individuals who have at least five years of relevant work experience, the substitution of experiential learning for coursework in classroom management, curriculum and instruction in career and technical education, and human growth and development, in accordance with an equivalency assessment framework established by the Board and defined in the bill and (ii) licensure by reciprocity with an endorsement in the area of career and technical education for individuals with out-of-state teaching licenses who have the work experience and experiential learning described in clause (i). The bill requires any individual who seeks renewable licensure as a teacher with an endorsement in the area of career and technical education to complete training in classroom management, positive behavior interventions and supports, and culturally competent teaching practices as a condition of such licensure.

HB2103 (Del. Hillary Pugh Kent): Board of Education; Regulations Governing Allowable Credit for Teaching Experience; certain credit substitution allowance required. Requires the Board of Education to amend its Regulations Governing Allowable Credit for Teaching Experience for the purpose of salary placement credit to provide that teachers in the field of career and technical education, where the licensure requirement calls for occupational work experience beyond the apprenticeship level, may be allowed credit for one year of teaching experience for each one or two years of work experience. The bill contains a reenactment clause.

[HB2154](#) (Del. Betsy Carr) / [SB1310](#) (Sen. Jeremy S. McPike): Professions and occupations; alternative to education requirement for licensure of architects. Requires the Board for Architects, Professional Engineers, Land Surveyors, Certified Interior Designers and Landscape Architects to adopt regulations establishing work and education experience equivalencies that shall provide an alternative to the requirement of a professional degree in architecture from a program accredited by the National Architectural Accrediting Board. The bill also requires the Board to adopt regulations establishing a credit system to account for varying degrees of work and education experience and to develop requirements for applicants seeking licensure under this bill on an annual basis. The bill requires the Board to evaluate any past work or education experience of any applicant under this bill by July 1, 2028.

Procurement:

[HB2751](#) (Del. Michael B. Feggans): Prohibits any public body from discriminating against a bidder or offeror in the solicitation or awarding of contracts on the basis of status as a military family, defined in the bill. The bill provides that all public bodies shall establish programs to facilitate the participation of military family-owned businesses, as defined in the bill, in procurement transactions.

[HB2024](#) (Del. Holly M. Seibold) / [SB1165](#) (Sen. Saddam Azlan Salim): Virginia Public Procurement Act; environmental protection and product safety standards. Provides that no public body in any procurement policy, bid, request for proposal, public contract, or other document shall prohibit or otherwise exclude from use any materials contained in or products associated with solar photovoltaic equipment and facilities that meet the U.S. Environmental Protection Agency's Recommendations of Specifications, Standards, and Ecolabels.

Reporting and Oversight:

[HB1694](#) (Del. Alex Q. Askew) / [HB1613](#) (Del. Michael Feggans): Virginia Military Survivors and Dependents Education Program; annual report on eligibility and usage required. Directs the State Council of Higher Education for Virginia, in coordination with the Department of Veterans Services, to submit to the Senate Committee on Finance and Appropriations and the House Committee on Appropriations by November 1 of each year a report on (i) the number of individuals who are qualified survivors and dependents, as that term is defined in applicable law, and have been certified as eligible to participate in the Virginia Military Survivors and Dependents Education Program but are not yet admitted to a public institution of higher education in the Commonwealth and (ii) the best available estimate of the total number of qualified survivors and dependents who are participating in the Program and enrolled in the fall semester at each public institution of higher education in the Commonwealth.

HB1731 (Del. Karrie K. Delaney) / SB1005 (Sen. Jennifer Boysko): Services for sexual assault patients; provision of information for sexual assault patients; Task Force on Services for Survivors of Sexual Assault; work group; report. Changes instances of "sexual assault survivor" and its variations to "sexual assault patient." The bill requires health care facilities to provide information on local or statewide sexual and domestic violence advocacy services to adult and pediatric patients. The bill removes language requiring hospitals to enter into a memorandum of understanding with rape crisis centers, removes language allowing sexual assault patients to be transferred to clinics, and repeals the statute establishing the Task Force on Services for Survivors of Sexual Assault. The bill directs the Director of the Department of Criminal Justice Services to convene a work group to address sustainable funding for sexual assault medical forensic examinations and services. The bill requires the work group to submit a report with recommendations to the Chairs of the House Committee on Health and Human Services, the House Committee on Appropriations, the Senate Committee on Education and Health, and the Senate Committee on Finance and Appropriations by November 1, 2025.

HB2452 (Del. M. Keith Hodges): Baccalaureate public institutions of higher education; livestreaming, recording, and archiving boards of visitor's meetings; closed sessions; guidelines. Establishes several requirements, subject to a reenactment clause, relating to public access to meetings of the governing boards of baccalaureate public institutions of higher education. The bill also requires the State Council of Higher Education for Virginia, in consultation with the Virginia Freedom of Information Advisory Council and a representative from the Library of Virginia, to work with the public institutions of higher education in the Commonwealth and with technology experts to develop minimal uniform standards, to the extent practicable, for (i) providing the public with real-time access to the meetings of governing boards of public institutions of higher education and the meetings of committees of such boards, (ii) archiving the recordings of such meetings, and (iii) taking minutes at such meetings. The bill requires any such minimal uniform standards to be implemented by each public institution of higher education in the Commonwealth no later than July 1, 2026.

SB961 (Sen. Danica A. Roem): State Council of Higher Education for Virginia; Department of Veterans Services; Virginia Military Survivors and Dependents Education Program; enrollment and eligibility data; report. Requires the Department of Veterans Services and the State Council of Higher Education for Virginia to coordinate to report no later than December 15 of each year to the Chairmen of the House Committee on Appropriations and the Senate Committee on Finance and Appropriations (i) the number of qualified survivors and dependents who have been determined to be eligible for a waiver of tuition and mandatory fees at a public institution of higher education pursuant to the Virginia Military Survivors and Dependents Education Program but have not yet enrolled at such an institution and (ii) the best available estimate of the number of qualified survivors and dependents who are enrolled at each public institution of higher education with a waiver of tuition and mandatory fees pursuant to the Program as of December 1 of the current fall semester.

SB846 (Sen. Christie New Craig): Access to minor's records; records contained in or made available through secure website. Specifies that for the purposes of allowing a parent to access the academic or health records of such parent's minor child such access includes access to a secure website where such records are contained or made available.

SB907 (Sen. William M. Stanley, Jr.): Animal testing facility operated by a state agency; nonhuman primates. Requires any animal testing facility operated by a state agency that no longer has need for a nonhuman primate in its possession to offer for release such nonhuman primate to a certified sanctuary, as defined in the bill. The bill allows an animal testing facility to enter into an agreement with the certified sanctuary to implement the release of such nonhuman primate.

SB1127 (Sen. Jennifer B. Boysko): Animal testing facilities; public notification. Requires any animal testing facility to (i) within 30 days of receiving a U.S. Department of Agriculture (USDA) inspection report, make such inspection report publicly available along with any other relevant USDA final incident reports and relevant documents generated during or as a result of internal or external reviews and (ii) within 30 days of receiving any USDA official warning notice of alleged violation, settlement agreement or stipulation, administrative complaint, decision or order, or any other enforcement record, make such documents publicly available. Current law requires any animal testing facility, within 30 days of receiving an inspection report, to make such inspection report publicly available along with any other relevant USDA incident reports and relevant documents generated from internal reviews. The bill also allows an animal testing facility to redact information contained within such documents in accordance with the Virginia Freedom of Information Act.

SB1379 (Sen. Lashrecse D. Aird): Health; Research and Clinical Trial Cancer Consortium Initiative established; report. Establishes the Research and Clinical Trial Cancer Consortium Initiative for the purpose of coordinating, maximizing the efficiency of, and facilitating cancer clinical research and treatment efforts across the Commonwealth. The bill establishes the membership of the Initiative to include three nonlegislative citizen members and representatives of the following institutions relating to cancer clinical research and treatment: (i) the Massey Comprehensive Cancer Center at Virginia Commonwealth University, (ii) the University of Virginia Medical Center, (iii) the Leroy T. Canoles Jr. Cancer Research Center at the Eastern Virginia Health Sciences Center at Old Dominion University, (iv) the Fralin Biomedical Research Institute at Virginia Tech Carilion, (v) Hampton University, and (vi) three nonacademic health systems.

Student Financial Assistance:

HB1595 (Del. Michael B. Feggans) / **SB1106** (Sen. Ghazala Hashmi): **Higher education; financial assistance; Virginia National Guard State Tuition Assistance Program; eligibility criteria.** Makes several changes to the Virginia National Guard State Tuition Assistance Program, including (i) making the provisions relating to the requirements and conditions for eligibility for and award of grants under the Program subject to regulations as prescribed by the Adjutant General, (ii) eliminating the requirement to satisfy financial obligations with the institution of higher education at the beginning of each semester, and (iii) simplifying the requirements relating to academic performance and good standing.

Student Health:

HB 2240 (Del. Rae Cousins) / **SB1016** (Sen. Danica A. Roem): **Institutions of higher education; Hunger-Free Campus Food Pantry Grant Program established; report.** Establishes the Hunger-Free Campus Food Pantry Grant Program to address student food insecurity at public institutions of higher education and eligible private institutions of higher education, as defined by the bill. The bill provides that the Program shall be managed by the State Council of Higher Education for Virginia and available for participation by public institutions of higher education and eligible private institutions of higher education; however, participation in the Program is optional for such institutions. Under the bill, if a public institution of higher education or eligible private institution of higher education satisfies certain criteria set out in the bill, including creating initiatives on campus to address student food insecurity, it will receive a "Hunger-Free Campus Food Pantry" designation and the Council will award a grant to such institution. Any such institution that receives a grant under the bill is required to utilize the funds to support on-campus efforts and initiatives to eliminate student food insecurity at such institution through the maintenance and operation of the on-campus food pantry established pursuant to the Program. The bill requires the Council to submit a report to the Chairmen of the Senate Committee on Education and Health and the House Committee on Education no later than two years after the establishment of the Program.

SB1018 (Sen. Danica A. Roem): **Public institutions of higher education; Department of Social Services; SNAP eligibility, applications, and participation; guidance, resources, and education.** Requires the Department of Social Services (the Department) to (i) develop, annually update, and provide to each public institution of higher education in advance of the start of each school year an information sheet on the Supplemental Nutrition Assistance Program (SNAP) with information relating to SNAP eligibility, applications, participation, requirements, and such other information as the Department deems necessary or appropriate, relevant to students enrolled in public institutions of higher education and (ii) provide information, resources, and education to certain faculty members employed by each public institution of higher education regarding opportunities for assisting students enrolled in public institutions of higher education with completing SNAP applications. The bill requires each public institution of higher education to ensure that such SNAP information sheet developed by the Department is provided to

each student enrolled in such institution at the beginning of the fall semester of each school year or, in the case of any student who enrolls after the beginning of the fall semester, as soon as practicable after enrollment and is included in any orientation materials distributed to each new student.

SB1257 (Sen. Lamont Bagby): Public institutions of higher education; student and campus safety; training in opioid antagonist administration for resident assistants required. Requires each resident assistant in a student housing facility at a public institution of higher education to complete, prior to the commencement of his duties, training in the administration of an opioid antagonist to any student, faculty, or staff member who is believed to be experiencing or about to experience a life-threatening opioid overdose. The bill requires each public institution of higher education to adopt policies and procedures relating to the administration of an opioid antagonist by each resident assistant, including policies and procedures (i) requiring each resident assistant to complete such training pursuant to the provisions of the bill and (ii) arranging for the provision of such opioid antagonist administration training.

Technology:

HB2541 (Del. Kathy K.L. Tran): Information Technology Access Act; digital accessibility, definitions, procurement requirements. Makes numerous organizational changes to the Information Technology Access Act. The bill defines "information and communications technology" as it relates to digital accessibility, defined in the bill, for all persons with disabilities. The bill permits the head of each covered entity, defined in the bill, to designate an employee to serve as such covered entity's digital accessibility coordinator and provides that such digital accessibility coordinator is responsible for developing and implementing such covered entity's digital accessibility policy. The bill has delayed effective dates of April 24, 2026, and April 26, 2027, for specific covered entities according to population size.

HB2627 (Del. Jackie H. Glass): Autonomous driving systems; work group to identify & review issues presented by operation of system. Directs the Secretary of Transportation, in consultation with the Secretary of Public Safety and Homeland Security, to convene a work group to identify operational, technical, and legal issues presented by the operation of autonomous driving systems in the Commonwealth for the purpose of developing draft legislation addressing governance of such systems in the Commonwealth. The bill directs the work group to report its findings to the General Assembly by November 1, 2026.

Review and Approval of Charters
COMPLIANCE, AUDIT, AND RISK COMMITTEE

June 2, 2025

The Office of Audit, Risk, and Compliance (OARC) presents the Charter for the Office of Audit, Risk, and Compliance for review and approval in accordance with professional standards. OARC recommends modifications to the office charter that reflect current titles and organizational structure.

RECOMMENDATION:

That the Charter for the Office of Audit, Risk, and Compliance be approved by the Compliance, Audit, and Risk Committee.



Charter for the Office of Audit, Risk, and Compliance

No. 3350

Policy Effective Date:
2/9/1989

Last Revision Date:
6/2/2025

Policy Owner:
President Sands

Policy Author:
(Contact Person)
Sharon Kurek

1.0 Purpose
2.0 Policy
3.0 Procedures
4.0 Definitions
5.0 References
6.0 Approval and Revisions

1.0 Purpose

This policy outlines the policies and procedures covering the Office of Audit, Risk, and Compliance (OARC) at Virginia Polytechnic Institute and State University and serves as a charter for the department.

2.0 Policy

It is the policy of the Compliance, Audit, and Risk (CAR) Committee of the Board of Visitors and the management of Virginia Polytechnic Institute and State University to support the maintenance of audit, risk, and compliance functions to assist in the effective discharge of their fiduciary responsibilities in assessing the effectiveness of the internal control environment.

The Office of Audit, Risk, and Compliance (OARC) performs comprehensive assurance services through independent internal audit and 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 value through providing strategic insight, enabling informed decision, and promoting integrity and compliance.

1. *Audit*: Provide independent, objective assurance and advisory activities designed to add value and improve university operations.
2. *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.

2.1 Scope of the Office of Audit, Risk, and Compliance

The scope of OARC's work is to determine whether Virginia Tech's network of risk management, internal controls, compliance activities, and governance processes, as designed and represented by management, are adequate and functioning in a manner to ensure:

- Programs, plans, and strategic objectives are achieved.
- Risks are appropriately identified, managed, and considered in institutional decision making.
- Processes for the collection and administration of significant financial, managerial, and operating information provide management with accurate, reliable, and timely data.



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- Compliance with policies, procedures, standards, laws, regulations, contracts, or other requirements.
- Significant legislative or regulatory changes impacting the compliance activities are recognized and addressed properly.
- Resources are acquired, managed, and protected in an economical, efficient, and effective manner.
- Integrity, quality, and continuous improvement are fostered in the university's culture and control processes.

2.2 Accountability

The Vice President for Audit, Risk, and Compliance and Chief Risk Officer shall be accountable to senior leadership and the CAR Committee of the Board of Visitors to:

- Supervise the leaders responsible for Internal Audit and Institutional Compliance.
- Provide assessments on the adequacy and effectiveness of the university's processes for controlling its activities and managing its risks in the areas set forth under the mission and scope of work.
- Report significant issues related to the processes for controlling the activities of the university, including potential improvements to those processes, and provide information concerning such issues through resolution.
- Periodically provide information on the status and results of the annual audit plan, university compliance and risk management activities, and the sufficiency of department resources.
- Coordinate with, and provide oversight of, other compliance, control, and monitoring functions by working with subject matter experts and compliance risk owners.

2.3 Independence, Objectivity, and Professionalism

To provide for OARC's objectivity and professionalism, including the highest level of ethics and integrity, and maintain Internal Audit's independence:

- The Vice President for Audit, Risk, and Compliance and Chief Risk Officer reports to the President and the CAR Committee, and for day-to-day administrative oversight to the Executive Vice President and Chief Operating Officer.
- The Chief Audit Executive reports functionally to the CAR Committee and administratively to the Vice President for Audit, Risk, and Compliance and Chief Risk Officer.

OARC personnel will exhibit the highest level of professional objectivity and integrity in gathering, evaluating, and communicating information about the activity or process being examined. OARC assessments will consider all relevant facts and circumstances, and OARC staff will not be influenced by their own personal interests or by others interests in forming judgments.

The internal audit function conducts its activities in accordance with the Institute of Internal Auditors' International Professional Practices Framework, which are the Global Internal Audit Standards and Topical Requirements. The Chief Audit Executive will report annually to the CAR Committee and senior management regarding Internal Audit's conformance with the Global Internal Audit Standards, including maintaining its independence and objectivity, which will be assessed through an ongoing quality assurance and improvement program.



2.4 Authority

OARC is authorized to:

- Have unrestricted access, consistent with applicable law, to all university functions, data, records, information, physical property, and personnel that they deem necessary to carry out their responsibilities. OARC will exercise discretion in their review and will remain accountable for confidentiality and safeguarding records and information.
- Have direct and unrestricted access to the President and the CAR Committee of the Board of Visitors.
- Allocate resources, set frequencies, select subjects, determine scope of work, and apply techniques, and issue communications to accomplish OARC objectives.
- Obtain assistance for specialized services from within or outside the university to complete engagements.

As Internal Audit is an independent function, OARC staff assigned to its mandate are not authorized to:

- Have direct operational responsibility or authority over any of the procedures, systems, or activities audited.
- Initiate or approve accounting transactions external to OARC.
- Direct the activities of any employee not employed by OARC, except to the extent such employees have been appropriately assigned to assist with OARC engagements or activities.

2.5 Responsibility

OARC has the responsibility to enhance and protect organizational value by:

General:

- Evaluating and assessing existing significant functions and new or changing services, processes, operations, and control processes coincident with their development, implementation and/or expansion of the university.
- Conducting investigations of suspected fraudulent and non-compliant activities and appropriately notifying relevant university management, the CAR Committee, and the appropriate authorities.
- Communicating directly with the CAR Committee on any matters considered to warrant its attention as appropriate, including trends and emerging issues that could impact the university.
- Maintaining a professional staff with sufficient knowledge, skills, experience, and professional certifications to meet the requirements of this charter.

Enterprise Risk Management:

Enterprise Risk Management, under the direction of the Vice President for Audit, Risk, and Compliance and Chief Risk Officer, provides services including, but not limited to:

- Planning, facilitating, and overseeing the university's ERM processes.
- Executing the periodic university risk assessment process and advising risk owners in their identification, monitoring, and effectiveness of their mitigation activities.
- Ensuring risk management plans are maintained and university risk assessment results are reported to senior management and the CAR Committee.



Internal Audit:

Internal Audit, under the direction of the Chief Audit Executive, provides services including, but not limited to:

- Coordinating audit activities to provide a central source of information for management and the CAR Committee regarding all audit activities and to provide comprehensive, cost-effective audit coverage for the university.
- Developing, submitting for approval, and executing a comprehensive risk-based annual audit plan that considers the input of the CAR Committee and senior management.
- Adjusting the internal audit plan, as necessary, in response to changes in the institution's risk, operations, programs, systems, and controls, and communicating significant changes to the plan with the CAR Committee and senior management.
- Performing, documenting, and communicating internal audit engagements in accordance with the Global Internal Audit Standards.
- Appraising the adequacy of actions taken by management to correct significant reported internal control weaknesses and deficient conditions, and reporting this information to the CAR Committee and responsible senior manager as appropriate.
- Establishing and maintaining a quality assurance and improvement program to evaluate Internal Audit's conformance with the Global Internal Audit Standards, including internal assessments (both ongoing and periodic) and external assessments conducted at least once every five years by a qualified, independent assessor or assessment team, the results of which will be presented to senior management and the CAR Committee.

Institutional Compliance:

Institutional Compliance, under the direction of the Chief Risk Officer, provides services including, but not limited to:

- Providing oversight of the institutional compliance program and the distributed processes that support compliance across the university by working with subject matter experts and compliance risk owners.
- Conducting periodic risk assessments to identify potential areas of compliance vulnerability and risk, and ensuring management ownership for monitoring and managing compliance risks.
- Advising institutional compliance risk owners and decentralized compliance risk management leadership.

2.6 Coordination with External Auditing Agencies

To ensure appropriate coordination and completeness of the CAR Committee reporting responsibilities, senior managers should promptly notify OARC of any external audits or reviews. OARC will coordinate its audit efforts with those of the Auditor of Public Accounts or other external auditing agencies by participating in the planning and definition of the scope of proposed audits so the work of all auditing groups is complementary, and their combined efforts provide comprehensive, cost-effective audit coverage for the university. The Vice President for Audit, Risk, and Compliance and Chief Risk Officer, in consultation with the Chief Audit Executive, will work with the appropriate members of management to determine the level of involvement of OARC, if any, in the performance of each external audit. Duplication of work will be avoided as much as possible.



3.0 Procedures

Principal guidance and direction on how OARC accomplishes its mission and responsibilities is provided to the staff through an office procedures manual. The manual promotes adherence to the Global Internal Audit Standards.

4.0 Definitions

Abuse

The excessive or improper use of a thing or policy, or employment of something in a manner contrary to the natural or legal rules for its use. Abuse includes the destruction, diversion, manipulation, misapplication, mistreatment, or misuse of university resources, as well as the extravagant or excessive use of one's position or authority. Abuse can occur in financial or nonfinancial settings.

Advisory Services

Advisory and related client service activities, the nature and scope of which are agreed with the client, are intended to add value and improve an organization's governance, risk management, and control processes without assuming management responsibility.

Assurance

An objective examination of evidence for the purpose of providing an independent assessment on governance, risk management, and control processes for the organization. Examples may include financial, performance, compliance, system security, and due diligence engagements.

Charter

The charter is a formal document that defines OARC's purpose, authority, and responsibility. The charter establishes the office's position within the organization; authorizes access to records, personnel, and physical properties relevant to the performance of engagements; and defines the scope of internal audit activities.

Compliance

Activities that support coordination, management, and monitoring of the risks associated with federal, state, and institutional laws, regulations, and policies.

Conflict of Interest

Any relationship that is, or appears to be, not in the best interest of the organization. A conflict of interest could prejudice an individual's ability to perform his or her duties and responsibilities objectively.

Control

Any action taken by management, the board, and other parties to manage risk and increase the likelihood that established objectives and goals will be achieved. Management plans, organizes, and directs the performance of sufficient actions to provide reasonable assurance that objectives and goals will be achieved.



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Control Environment

The attitude and actions of the board and management regarding the importance of control within the organization. The control environment provides the discipline and structure for the achievement of the primary objectives of the system of internal control (e.g. integrity and ethical values; management's philosophy and operating style; organizational structure; and the assignment of authority and responsibility).

Control Processes

The policies, procedures (both manual and automated), and activities that are part of a control framework, designed and operated to ensure that risks are contained within the level that an organization is willing to accept.

Engagement

A specific assignment, task, or review activity, such as an internal audit, control self-assessment review, fraud examination, or consultancy. An engagement may include multiple tasks or activities designed to accomplish a specific set of related objectives.

Enterprise Risk Management

A process applied in strategy-setting and across the enterprise that is designed to identify potential events that may affect the entity, manage risk to be within the entity's risk tolerance, and support the achievement of entity objectives.

Fraud

The intentional misrepresentation or concealment of information in order to deceive, mislead, or acquires something of value. Fraud is an intentional deception perpetrated to secure an unfair advantage or personal benefit.

Governance

The combination of processes and structures implemented by the board to inform, direct, manage, and monitor the activities of the organization toward the achievement of its objectives. The governance process includes: promoting appropriate ethics and values within the organization; ensuring effective organizational performance management and accountability; communicating risk and control information to appropriate areas of the organization; and coordinating the activities of and communicating information among the board, external and internal auditors, and management.

Independence

The freedom from conditions that threaten the ability of a function to carry out its responsibilities in an unbiased manner.

International Professional Practices Framework

The conceptual framework that organizes the authoritative guidance promulgated by the Institute of Internal Auditors. Authoritative guidance is comprised of two categories including mandatory guidance (Global Internal Audit Standards, Topical Guidance) and supplemental guidance (global practice guides).

Objectivity

An unbiased mental attitude that allows individuals to make a balanced assessment of all the relevant circumstances and are not unduly influenced by their own interests or by others in forming judgments. Objectivity requires that individuals do not subordinate their judgment on matters to others.



Risk

The possibility of an event occurring that will have an impact on the achievement of objectives. Risk is commonly measured in terms of impact, likelihood, and velocity.

Risk Management

A process to identify, assess, manage, and control potential events or situations to provide reasonable assurance regarding the achievement of the organization's objectives.

Significance

The relative importance of a matter within the context in which it is being considered, including quantitative and qualitative factors, such as magnitude, nature, effect, relevance, and impact. Professional judgment assists internal auditors when evaluating the significance of matters within the context of the relevant objectives.

Waste

The careless expenditure, consumption, mismanagement, use, or squandering of university resources. Waste also includes incurring unnecessary costs due to inefficient or ineffective practices, systems, or controls.

5.0 References

Section 2.1-155.3 of the *Code of Virginia*, enacted in 1984.

State Fraud, Waste, and Abuse Hotline Policies and Procedures Manual, Office of the State Inspector General, Commonwealth of Virginia, 2023 edition.

The Institute of Internal Auditors' International Professional Practices Framework, including the Global Internal Audit Standards, effective January 2025.

6.0 Approval and Revisions

- Revision 0
Approved February 9, 1989, by the Director of Internal Audit, David C. Goodyear.
- Revision 1
Annual review. Section 2.8 - changed so that reports "approved" by the Finance and Audit Committee of the Board of Visitors shall be available to the public.
Approved March 29, 1990, by the Director of Internal Audit, David C. Goodyear.
- Revision 2
Changes were made to eliminate minor discrepancies between the audit manual and the policy statement as presented to the Board of Visitors.
Approved November 3, 1995, by the Director of Internal Audit, David C. Goodyear.
Annual review, November 5, 1998, by Office of the Executive Vice President. No revisions.
- Revision 3
Policy updated to reflect review by the Finance and Audit Committee of the Board of Visitors. Policy serves as a charter for the Internal Audit Department.



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Approved March 29, 2004 by the Executive Vice President and Chief Operating Officer, Minnis E. Ridenour.
Approved March 29, 2004 by the Finance and Audit Committee of the Board of Visitors.

- Revision 4

Policy updated to reflect review by the Finance and Audit Committee of the Board of Visitors, in conjunction with the Internal Audit Department's quality assurance review.

Approved March 14, 2005 by the Executive Vice President and Chief Operating Officer, James A. Hyatt.
Approved March 14, 2005 by the Finance and Audit Committee of the Board of Visitors.

- Revision 5 April 1, 2008:

Updates to position titles and/or responsibilities due to university reorganization.

- Revision 6

- Policy title changed from "Internal Audit Department" to "Internal Audit Charter."
- Section 2.2 revised to reflect change in Director of Internal Audit reporting relationship.
- Sections 2.5 and 2.7 revised to clarify the role of Internal Audit and the standards under which it conducts its activities.
- Section 2.9 revised to clarify the process for senior management areas submitting corrective action plans.

Approved November 7, 2011 by the university President, Charles W. Steger.

Approved November 7, 2011 by the Finance and Audit Committee of the Board of Visitors.

- Revision 7

- Full technical review correcting grammatical, punctuation, word usage, sentence structure, and minor content and/or format inconsistencies. The charter was also revised to incorporate the concept of objectivity, and to include applicable procedures and definitions.
- Policy title changed from "Internal Audit Charter" to "Charter for the University's Internal Audit Function."

Approved November 9, 2015 by the Finance and Audit Committee of the Board of Visitors and President, Timothy D. Sands.

- Revision 8

Revised to address the reorganization of the Board of Visitors' committee structure and additional responsibilities with regard to risk management and compliance. Additional revisions were made to reflect revised guidance from the Institute of Internal Auditors.

Approved November 5, 2017 by the Compliance, Audit, and Risk Committee of the Board of Visitors and President, Timothy D. Sands.

- Revision 9

Revisions from technical review correcting grammatical, punctuation, word usage, sentence structure, and minor content and/or format inconsistencies.

Approved November 18, 2019 by the Compliance, Audit, and Risk Committee of the Board of Visitors and President, Timothy D. Sands.



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- **Revision 10**
Revisions from technical review correcting grammatical, punctuation, and minor format inconsistencies. Additionally, section 2.9 was revised to clarify expectations on OARC's responsibility for coordinating external audits and reviews.
Approved November 15, 2020 by the Compliance, Audit, and Risk Committee of the Board of Visitors and President, Timothy D. Sands.
- **Revision 11**
Revised to delineate the roles and responsibilities for internal audit, enterprise risk management, and the institutional compliance program. Additional revisions were made to streamline for consistency.
Approved November 14, 2022 by the Compliance, Audit, and Risk Committee of the Board of Visitors and President, Timothy D. Sands.
- **Revision 12**
Updates to position titles and reporting lines due to university reorganization.
Approved June 5, 2023 by the Compliance, Audit, and Risk Committee of the Board of Visitors and President, Timothy D. Sands.
- **Revision 13**
Updates to Internal Audit mandate throughout to align with updated Global Internal Audit Standards.
Approved November 19, 2024 by the Compliance, Audit, and Risk Committee of the Board of Visitors and President, Timothy D. Sands.
- **Revision 14**
Updates to titles and organizational structure.
Approved June 2, 2025 by the Compliance, Audit, and Risk Committee of the Board of Visitors and President, Timothy D. Sands.



Charter for the Office of Audit, Risk, and Compliance

No. 3350

Policy Effective Date:
2/9/1989

Last Revision Date:
~~11/19/2024~~
6/2/2025

Policy Owner:
President Sands

Policy Author:
(Contact Person)
Sharon Kurek

1.0 Purpose
2.0 Policy
3.0 Procedures
4.0 Definitions
5.0 References
6.0 Approval and Revisions

1.0 Purpose

This policy outlines the policies and procedures covering the Office of Audit, Risk, and Compliance (OARC) at Virginia Polytechnic Institute and State University and serves as a charter for the department.

2.0 Policy

It is the policy of the Compliance, Audit, and Risk (CAR) Committee of the Board of Visitors and the management of Virginia Polytechnic Institute and State University to support the maintenance of audit, risk, and compliance functions to assist in the effective discharge of their fiduciary responsibilities in assessing the effectiveness of the internal control environment.

The Office of Audit, Risk, and Compliance (OARC) performs comprehensive assurance services through independent internal audit and 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 value through providing strategic insight, enabling informed decision, and promoting integrity and compliance.

1. *Audit*: Provide independent, objective assurance and advisory activities designed to add value and improve university operations.
2. *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.

2.1 Scope of the Office of Audit, Risk, and Compliance

The scope of OARC's work is to determine whether Virginia Tech's network of risk management, internal controls, compliance activities, and governance processes, as designed and represented by management, are adequate and functioning in a manner to ensure:

- Programs, plans, and strategic objectives are achieved.
- Risks are appropriately identified, managed, and considered in institutional decision making.
- Processes for the collection and administration of significant financial, managerial, and operating information provide management with accurate, reliable, and timely data.



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- Compliance with policies, procedures, standards, laws, regulations, contracts, or other requirements.
- Significant legislative or regulatory changes impacting the compliance activities are recognized and addressed properly.
- Resources are acquired, managed, and protected in an economical, efficient, and effective manner.
- Integrity, quality, and continuous improvement are fostered in the university's culture and control processes.

2.2 Accountability

The Vice President for Audit, Risk, and Compliance and Chief Risk Officer shall be accountable to senior leadership and the CAR Committee of the Board of Visitors to:

- Supervise the leaders responsible for Internal Audit and Institutional Compliance.
- Provide assessments on the adequacy and effectiveness of the university's processes for controlling its activities and managing its risks in the areas set forth under the mission and scope of work.
- Report significant issues related to the processes for controlling the activities of the university, including potential improvements to those processes, and provide information concerning such issues through resolution.
- Periodically provide information on the status and results of the annual audit plan, university compliance and risk management activities, and the sufficiency of department resources.
- Coordinate with, and provide oversight of, other compliance, control, and monitoring functions by working with subject matter experts and compliance risk owners.

2.3 Independence, Objectivity, and Professionalism

To provide for OARC's objectivity and professionalism, including the highest level of ethics and integrity, and maintain Internal Audit's independence:

- The Vice President for Audit, Risk, and Compliance and Chief Risk Officer reports to the President and the CAR Committee, and for day-to-day administrative oversight to the Executive Vice President and Chief Operating Officer.
- The Chief Audit Executive reports functionally to the CAR Committee and administratively to the Vice President for Audit, Risk, and Compliance and Chief Risk Officer.
- ~~The Chief Compliance Officer reports to the Vice President for Audit, Risk, and Compliance and Chief Risk Officer and is accountable to the CAR Committee.~~

OARC personnel will exhibit the highest level of professional objectivity and integrity in gathering, evaluating, and communicating information about the activity or process being examined. OARC assessments will consider all relevant facts and circumstances, and OARC staff will not be influenced by their own personal interests or by others interests in forming judgments.

The internal audit function conducts its activities in accordance with the Institute of Internal Auditors' International Professional Practices Framework, which are the Global Internal Audit Standards and Topical Requirements. The Chief Audit Executive will report annually to the CAR Committee and senior management regarding Internal Audit's



conformance with the Global Internal Audit Standards, including maintaining its independence and objectivity, which will be assessed through an ongoing quality assurance and improvement program.

2.4 Authority

OARC is authorized to:

- Have unrestricted access, consistent with applicable law, to all university functions, data, records, information, physical property, and personnel that they deem necessary to carry out their responsibilities. OARC will exercise discretion in their review and will remain accountable for confidentiality and safeguarding records and information.
- Have direct and unrestricted access to the President and the CAR Committee of the Board of Visitors.
- Allocate resources, set frequencies, select subjects, determine scope of work, and apply techniques, and issue communications to accomplish OARC objectives.
- Obtain assistance for specialized services from within or outside the university to complete engagements.

As Internal Audit is an independent function, OARC staff assigned to its mandate are not authorized to:

- Have direct operational responsibility or authority over any of the procedures, systems, or activities audited.
- Initiate or approve accounting transactions external to OARC.
- Direct the activities of any employee not employed by OARC, except to the extent such employees have been appropriately assigned to assist with OARC engagements or activities.

2.5 Responsibility

OARC has the responsibility to enhance and protect organizational value by:

General:

- Evaluating and assessing existing significant functions and new or changing services, processes, operations, and control processes coincident with their development, implementation and/or expansion of the university.
- Conducting investigations of suspected fraudulent and non-compliant activities and appropriately notifying relevant university management, the CAR Committee, and the appropriate authorities.
- Communicating directly with the CAR Committee on any matters considered to warrant its attention as appropriate, including trends and emerging issues that could impact the university.
- Maintaining a professional staff with sufficient knowledge, skills, experience, and professional certifications to meet the requirements of this charter.

Enterprise Risk Management:

Enterprise Risk Management, under the direction of the Vice President for Audit, Risk, and Compliance and Chief Risk Officer, provides services including, but not limited to:

- Planning, facilitating, and overseeing the university's ERM processes.
- Executing the periodic university risk assessment process and advising risk owners in their identification, monitoring, and effectiveness of their mitigation activities.



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- Ensuring risk management plans are maintained and university risk assessment results are reported to senior management and the CAR Committee.

Internal Audit:

Internal Audit, under the direction of the Chief Audit Executive, provides services including, but not limited to:

- Coordinating audit activities to provide a central source of information for management and the CAR Committee regarding all audit activities and to provide comprehensive, cost-effective audit coverage for the university.
- Developing, submitting for approval, and executing a comprehensive risk-based annual audit plan that considers the input of the CAR Committee and senior management.
- Adjusting the internal audit plan, as necessary, in response to changes in the institution's risk, operations, programs, systems, and controls, and communicating significant changes to the plan with the CAR Committee and senior management.
- Performing, documenting, and communicating internal audit engagements in accordance with the Global Internal Audit Standards.
- Appraising the adequacy of actions taken by management to correct significant reported internal control weaknesses and deficient conditions, and reporting this information to the CAR Committee and responsible senior manager as appropriate.
- Establishing and maintaining a quality assurance and improvement program to evaluate Internal Audit's conformance with the Global Internal Audit Standards, including internal assessments (both ongoing and periodic) and external assessments conducted at least once every five years by a qualified, independent assessor or assessment team, the results of which will be presented to senior management and the CAR Committee.

Institutional Compliance:

Institutional Compliance, under the direction of the Chief [Risk Compliance](#) Officer, provides services including, but not limited to:

- Providing oversight of the institutional compliance program and the distributed processes that support compliance across the university by working with subject matter experts and compliance risk owners.
- Conducting periodic risk assessments to identify potential areas of compliance vulnerability and risk, and ensuring management ownership for monitoring and managing compliance risks.
- Advising institutional compliance risk owners and decentralized compliance risk management leadership.

2.6 Coordination with External Auditing Agencies

To ensure appropriate coordination and completeness of the CAR Committee reporting responsibilities, senior managers should promptly notify OARC of any external audits or reviews. OARC will coordinate its audit efforts with those of the Auditor of Public Accounts or other external auditing agencies by participating in the planning and definition of the scope of proposed audits so the work of all auditing groups is complementary, and their combined efforts provide comprehensive, cost-effective audit coverage for the university. The Vice President for Audit, Risk, and Compliance and Chief Risk Officer, in consultation with the Chief Audit Executive, will work with the



appropriate members of management to determine the level of involvement of OARC, if any, in the performance of each external audit. Duplication of work will be avoided as much as possible.

3.0 Procedures

Principal guidance and direction on how OARC accomplishes its mission and responsibilities is provided to the staff through an office procedures manual. The manual promotes adherence to the Global Internal Audit Standards.

4.0 Definitions

Abuse

The excessive or improper use of a thing or policy, or employment of something in a manner contrary to the natural or legal rules for its use. Abuse includes the destruction, diversion, manipulation, misapplication, mistreatment, or misuse of university resources, as well as the extravagant or excessive use of one's position or authority. Abuse can occur in financial or nonfinancial settings.

Advisory Services

Advisory and related client service activities, the nature and scope of which are agreed with the client, are intended to add value and improve an organization's governance, risk management, and control processes without assuming management responsibility.

Assurance

An objective examination of evidence for the purpose of providing an independent assessment on governance, risk management, and control processes for the organization. Examples may include financial, performance, compliance, system security, and due diligence engagements.

Charter

The charter is a formal document that defines OARC's purpose, authority, and responsibility. The charter establishes the office's position within the organization; authorizes access to records, personnel, and physical properties relevant to the performance of engagements; and defines the scope of internal audit activities.

Compliance

Activities that support coordination, management, and monitoring of the risks associated with federal, state, and institutional laws, regulations, and policies.

Conflict of Interest

Any relationship that is, or appears to be, not in the best interest of the organization. A conflict of interest could prejudice an individual's ability to perform his or her duties and responsibilities objectively.

Control

Any action taken by management, the board, and other parties to manage risk and increase the likelihood that established objectives and goals will be achieved. Management plans, organizes, and directs the performance of sufficient actions to provide reasonable assurance that objectives and goals will be achieved.



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Control Environment

The attitude and actions of the board and management regarding the importance of control within the organization. The control environment provides the discipline and structure for the achievement of the primary objectives of the system of internal control (e.g. integrity and ethical values; management's philosophy and operating style; organizational structure; and the assignment of authority and responsibility).

Control Processes

The policies, procedures (both manual and automated), and activities that are part of a control framework, designed and operated to ensure that risks are contained within the level that an organization is willing to accept.

Engagement

A specific assignment, task, or review activity, such as an internal audit, control self-assessment review, fraud examination, or consultancy. An engagement may include multiple tasks or activities designed to accomplish a specific set of related objectives.

Enterprise Risk Management

A process applied in strategy-setting and across the enterprise that is designed to identify potential events that may affect the entity, manage risk to be within the entity's risk tolerance, and support the achievement of entity objectives.

Fraud

The intentional misrepresentation or concealment of information in order to deceive, mislead, or acquires something of value. Fraud is an intentional deception perpetrated to secure an unfair advantage or personal benefit.

Governance

The combination of processes and structures implemented by the board to inform, direct, manage, and monitor the activities of the organization toward the achievement of its objectives. The governance process includes: promoting appropriate ethics and values within the organization; ensuring effective organizational performance management and accountability; communicating risk and control information to appropriate areas of the organization; and coordinating the activities of and communicating information among the board, external and internal auditors, and management.

Independence

The freedom from conditions that threaten the ability of a function to carry out its responsibilities in an unbiased manner.

International Professional Practices Framework

The conceptual framework that organizes the authoritative guidance promulgated by the Institute of Internal Auditors. Authoritative guidance is comprised of two categories including mandatory guidance (Global Internal Audit Standards, Topical Guidance) and supplemental guidance (global practice guides).

Objectivity

An unbiased mental attitude that allows individuals to make a balanced assessment of all the relevant circumstances and are not unduly influenced by their own interests or by others in forming judgments. Objectivity requires that individuals do not subordinate their judgment on matters to others.



Risk

The possibility of an event occurring that will have an impact on the achievement of objectives. Risk is commonly measured in terms of impact, likelihood, and velocity.

Risk Management

A process to identify, assess, manage, and control potential events or situations to provide reasonable assurance regarding the achievement of the organization's objectives.

Significance

The relative importance of a matter within the context in which it is being considered, including quantitative and qualitative factors, such as magnitude, nature, effect, relevance, and impact. Professional judgment assists internal auditors when evaluating the significance of matters within the context of the relevant objectives.

Waste

The careless expenditure, consumption, mismanagement, use, or squandering of university resources. Waste also includes incurring unnecessary costs due to inefficient or ineffective practices, systems, or controls.

5.0 References

Section 2.1-155.3 of the *Code of Virginia*, enacted in 1984.

State Fraud, Waste, and Abuse Hotline Policies and Procedures Manual, Office of the State Inspector General, Commonwealth of Virginia, 2023 edition.

The Institute of Internal Auditors' International Professional Practices Framework, including the Global Internal Audit Standards, effective January 2025.

6.0 Approval and Revisions

- Revision 0
Approved February 9, 1989, by the Director of Internal Audit, David C. Goodyear.
- Revision 1
Annual review. Section 2.8 - changed so that reports "approved" by the Finance and Audit Committee of the Board of Visitors shall be available to the public.
Approved March 29, 1990, by the Director of Internal Audit, David C. Goodyear.
- Revision 2
Changes were made to eliminate minor discrepancies between the audit manual and the policy statement as presented to the Board of Visitors.
Approved November 3, 1995, by the Director of Internal Audit, David C. Goodyear.
Annual review, November 5, 1998, by Office of the Executive Vice President. No revisions.
- Revision 3
Policy updated to reflect review by the Finance and Audit Committee of the Board of Visitors. Policy serves as a charter for the Internal Audit Department.



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Approved March 29, 2004 by the Executive Vice President and Chief Operating Officer, Minnis E. Ridenour.
Approved March 29, 2004 by the Finance and Audit Committee of the Board of Visitors.

- Revision 4

Policy updated to reflect review by the Finance and Audit Committee of the Board of Visitors, in conjunction with the Internal Audit Department's quality assurance review.

Approved March 14, 2005 by the Executive Vice President and Chief Operating Officer, James A. Hyatt.
Approved March 14, 2005 by the Finance and Audit Committee of the Board of Visitors.

- Revision 5 April 1, 2008:

Updates to position titles and/or responsibilities due to university reorganization.

- Revision 6

- Policy title changed from "Internal Audit Department" to "Internal Audit Charter."
- Section 2.2 revised to reflect change in Director of Internal Audit reporting relationship.
- Sections 2.5 and 2.7 revised to clarify the role of Internal Audit and the standards under which it conducts its activities.
- Section 2.9 revised to clarify the process for senior management areas submitting corrective action plans.

Approved November 7, 2011 by the university President, Charles W. Steger.

Approved November 7, 2011 by the Finance and Audit Committee of the Board of Visitors.

- Revision 7

- Full technical review correcting grammatical, punctuation, word usage, sentence structure, and minor content and/or format inconsistencies. The charter was also revised to incorporate the concept of objectivity, and to include applicable procedures and definitions.
- Policy title changed from "Internal Audit Charter" to "Charter for the University's Internal Audit Function."

Approved November 9, 2015 by the Finance and Audit Committee of the Board of Visitors and President, Timothy D. Sands.

- Revision 8

Revised to address the reorganization of the Board of Visitors' committee structure and additional responsibilities with regard to risk management and compliance. Additional revisions were made to reflect revised guidance from the Institute of Internal Auditors.

Approved November 5, 2017 by the Compliance, Audit, and Risk Committee of the Board of Visitors and President, Timothy D. Sands.

- Revision 9

Revisions from technical review correcting grammatical, punctuation, word usage, sentence structure, and minor content and/or format inconsistencies.

Approved November 18, 2019 by the Compliance, Audit, and Risk Committee of the Board of Visitors and President, Timothy D. Sands.



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- **Revision 10**
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- **Revision 14**
Updates to titles and organizational structure.
Approved June 2, 2025 by the Compliance, Audit, and Risk Committee of the Board of Visitors and President, Timothy D. Sands.

Virginia Tech
Board of Visitors – Compliance, Audit, and Risk Committee
Entrance Conference Agenda
June 2, 2025

1. Introductions

a. Discussion of Auditor of Public Accounts (APA) audit team and resources –

Megan Richard, Project Manager

Noah Johnson, Auditor In-Charge

Other Audit Staff, including Information Systems Security auditors

2. Audit Objectives, Audit Plan and Audit Roles:

a. Audit timing

Audit Period – July 1, 2024 through June 30, 2025

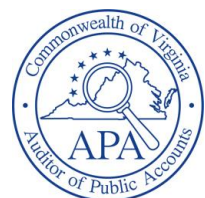
Planned Audit Timing – May 2025 through November 2025

Audit Deadline – November 17-18, 2025 BOV Meeting

- b. Audit objectives** – Our audit objectives are to determine if the financial statements present fairly the financial position, changes in financial position, and cash flows for the period in conformity with accounting principles generally accepted in the United States of America. We will also determine if disclosures in the financial statements are adequate and fairly stated, whether management has appropriately reviewed the financial statements, whether adequate internal controls exist over material account balances and transactions, and whether the University is in compliance with applicable laws, regulations, and provisions of contracts or grant agreements. These objectives will enable us to provide an opinion to the University's financial statements that will be included with the financial statements that are distributed by the University. We will also issue a report on internal controls and compliance that will include any findings or recommendations that we may issue as a result of the audit. We will follow up on any recommendations included in the prior year report to determine whether the University has addressed any previously communicated deficiencies, as applicable.

NCAA Agreed Upon Procedures will be performed annually. We will complete agreed-upon procedures and issue a report that includes a schedule of financial activity related to intercollegiate athletics, working with the University to issue this report by January 15, 2026.

- c. Commonwealth Single Audit support** – Federal funding received by institutions in the Commonwealth of Virginia is subject to the Single Audit Act. Code of Federal Regulations, Title 2, Section 200 described the requirements for compliance and the associated audit requirements. There are no major programs applicable to the University for fiscal year 2025. Any recommendations or noncompliance meeting reporting thresholds will be included in the University's audit report and the Commonwealth's Single Audit report. If the University has completed corrective action, follow up testing will be performed to ensure previously communicated deficiencies related to Student Financial Aid have been resolved.



- d. **Overview of the relationship between APA, internal audit, and foundation auditors** – The APA is the Commonwealth of Virginia’s independent external auditor responsible for annual financial statement audits of public agencies and institutions, and various other required audits. The APA reports to the Virginia General Assembly. Internal Audit is responsible for the institution’s audit workplan as approved by the institution’s Board of Visitors. Foundation auditors are responsible for the financial statement audits of the foundation. We make reference to the work of these auditors in our financial statement opinion, but we generally do not take responsibility for the work of these auditors.

3. Discussion of Risk with Board Members

The APA encourages the Board of Visitors to provide input regarding the risks they perceive to the University in completing its mission. While Board members can direct their comments to the Audit Committee Chair or the Internal Audit Director to be forwarded to the APA Project Manager, we also plan to meet directly with the Audit Committee Chair. We will discuss the following issues:

- Any areas of fraud risk
- Any areas of institutional risk
- Any matters that the Board believes should be considered in planning

4. Terms of the Engagement (See Attached Summary)



Terms of the Engagement

Responsibilities during the audit process:

Auditor's (APA) Responsibilities

Overall Audit Objectives

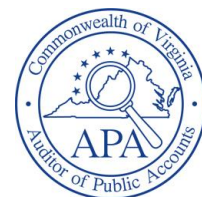
We will conduct our audit in accordance with auditing standards generally accepted in the United States of America (GAAS) and standards for financial audit contained in the *Government Auditing Standards*. The objectives of our audit are to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes our opinions about whether your financial statements are fairly presented, in all material respects, in conformity with U.S. generally accepted accounting principles. Reasonable assurance is a high level of assurance but is not absolute assurance and therefore is not a guarantee that an audit conducted in accordance with GAAS and *Governmental Auditing Standards* will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users made on the basis of these financial statements.

Accounting Principles generally accepted in the United States of America, as promulgated by the Governmental Accounting Standards Board (GASB) require that certain information be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by GASB, who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We will apply certain limited procedures to the required supplementary information (RSI) in accordance with GAAS, which will consist of inquiries of management about the methods of preparing the RSI and comparing the RSI for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We will not express an opinion or provide any assurance on the following RSI based on these limited procedures:

- Management Discussion and Analysis (MD&A)
- Schedule of Virginia Tech's Share of Net Pension Liability
- Schedule of Virginia Tech's Pension Contributions
- Schedule of Virginia Tech's Share of OPEB Liability (Asset)
- Schedule of Virginia Tech's Share of OPEB Contributions
- Notes to Required Supplementary Information

Supplementary information other than RSI is presented for the purpose of additional analysis and is not a required part of the basic financial statements. For the following supplementary information, we will subject the information to the auditing procedures applied in the audit of the basic financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the basic financial statements or to the basic financial statements themselves, and additional procedures in accordance with GAAS. We intend to provide an opinion on the following supplementary information in relation to the basic financial statements as a whole:

- Virginia Tech Foundation, Inc. (Optional Supplementary Information)
- Affiliated Corp. Financial Highlights (Optional Supplementary Information)



For the following other information, we will read the information for indications of material inconsistencies with the basic financial statements or the auditor's understanding, and material misstatements of fact or information that is otherwise misleading. We will not express an opinion or provide any assurance on the following other information:

- Snapshot
- University Highlights
- Financial Highlights
- Message from the Executive Vice President and Chief Operating Officer

Audit Procedures - General

As part of an audit conducted in accordance with GAAS and *Government Auditing Standards*, we exercise professional judgment and maintain professional skepticism throughout the audit. An audit also includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements; therefore, our audit will involve judgment about the number of transactions to be examined and the areas to be tested. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. We will plan and perform the audit to obtain reasonable, rather than absolute assurance, about whether the financial statements are free of material misstatement whether from (1) errors, (2) fraudulent financial reporting, (3) misappropriation of assets, or (4) violations of laws or governmental regulations that are attributable to the entity or to acts by management or employees acting on behalf of the entity.

Because of the inherent limitations of an audit, together with the inherent limitations of internal control, an unavoidable risk that some material misstatements may not be detected exists, even though the audit is properly planned and performed in accordance with GAAS and *Government Auditing Standards*. Because the determination of abuse is subjective, *Government Auditing Standards* do not expect auditors to perform specific procedures to detect waste or abuse in financial audits nor do they require auditors to provide reasonable assurance of detecting waste or abuse. An audit is not designed to detect immaterial misstatements or violations of laws or governmental regulations that do not have a direct and material effect on the financial activity.

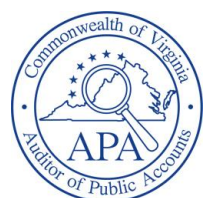
We will also conclude, based on the audit evidence obtained whether there are conditions or events considered in the aggregate, which raise substantial doubt about the entity's ability to continue as a going concern for a reasonable period of time.

Audit Procedures - Internal Control and Compliance

We will obtain an understanding of internal controls relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we will express no such opinion. An audit is not designed to provide assurance on internal control or to identify significant deficiencies or material weaknesses. However, we will communicate in writing to management and those charged with governance any significant deficiencies or material weaknesses in internal control relevant to the audit of the financial statements that we have identified during the audit. Also, as part of obtaining reasonable assurance about whether the financial statements are free of material misstatement, we will perform tests of compliance with the provisions of applicable laws, regulations, contracts, agreements, and grants. However, the objective of our audit will not be to provide an opinion on overall compliance, and we will not express such an opinion.

Audit Procedures – Group Audits

Our audit will include obtaining an understanding of the consolidated group, sufficient to assess the risks of material misstatement of financial information derived from significant components to design the nature, timing, and extent of



further audit procedures, including the basis for the decision to make reference in our audit opinion to audits of significant components performed by other auditors.

Audit Procedures – Risk of Material Misstatement and Significant Risks

Our audit will identify and assess the risk of material misstatement of the financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or override of internal control. Significant risks represent events or transactions where inherent risk of material misstatement is elevated due to the likelihood and magnitude of potential misstatement. Based on our existing understanding of the University and its environment, and preliminary planning procedures performed as of the date of this memo, we have identified the following significant risks requiring special audit attention:

- Management Override of Control – management is in a unique position to perpetrate fraud because of management’s ability to manipulate accounting records and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. Although the level of risk of management override of controls will vary from entity to entity, the risk is, nevertheless present at all entities.
- Improper Revenue Recognition – Recognition of revenue in the proper period and amount is inherently risky and may be subject to manipulation, particularly when accounting for long-term contractual arrangements with other entities and federal grants.
- Complexity of Governmental Accounting – New accounting standards may not be properly identified or considered by management in preparing the financial statements, resulting in improper financial reporting.

Audit planning and risk assessment is an iterative process throughout the audit. Therefore, we will communicate any additional significant risks identified throughout fieldwork that may warrant the attention of management and those charged with governance if and when those circumstances arise.

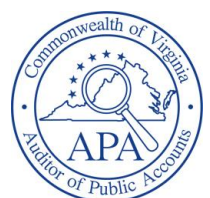
Communication with Those Charged with Governance

We are responsible for communicating significant matters related to the financial statement audit that are, in the auditor's professional judgment, relevant to the responsibilities of those charged with governance in overseeing the financial reporting process. GAAS and *Government Auditing Standards* do not require the auditor to design procedures for the purpose of identifying other matters to communicate with those charged with governance.

Management’s Responsibilities

Our audit will be conducted on the basis that Management **acknowledge and understand that they have the following responsibilities:**

- Selection and application of accounting principles and preparation and fair presentation of the financial statements in accordance with accounting principles generally accepted in the United States of America
- Design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error
- Identify and ensure compliance with applicable laws, regulations, contracts, and grant agreements
- Informing the APA about all known or suspected fraud affecting the entity involving (1) management, (2) employees who have significant roles in internal control, and (3) others where the fraud could have a material effect on the financial statements



- Informing the APA (and others as required by the Code of Virginia § 30-138) of knowledge of any allegations of fraud or suspected fraud affecting the University received in communications from employees, former employees, regulators, or others
- As received, forward copies of each federal audit performed on agency or institution programs or activities to the Auditor of Public Accounts as required by Chapter 1, §4-8.02a., of the 2021 Virginia Acts of Assembly. To forward these reports to the Auditor of Public Accounts, use APAFederal@apa.virginia.gov. If the federal report is only available in hardcopy or contains FOIA exempt information, DO NOT email the report, use this same email account to notify the Auditor of Public Accounts of the federal report and provide the contact information of the individual with the report.
- Informing the APA of any potential documents that are FOIA exempt
- Ensuring that financial information is reliable and properly recorded
- Making all financial records and related information available to the APA
- Providing the APA with (1) access to all information of which you are aware that is relevant to the preparation and fair presentation of the financial statements, (2) additional information that we may request for the purpose of the audit, and (3) unrestricted access to persons within the government from whom we determine it necessary to obtain audit evidence
- Responding to audit findings and recommendations, as well as providing your planned corrective actions and the timing and format for providing that information
- Providing the APA at the end of the audit with a written letter confirming certain representations made during the audit
- Adjusting the financial statements to correct material misstatements and providing the APA with a representation that the effects of any uncorrected misstatements are immaterial, both individually and in the aggregate, to the financial statements taken as a whole
- Preparation of the supplementary information in conformity with U.S. generally accepted accounting principles. You agree to include our report on the supplementary information in any document that contains and indicates that we have reported on the supplementary information. Your responsibilities include acknowledging to us in the written representation letter that (1) you are responsible for presentation of the supplementary information in accordance with GAAP; (2) that you believe the supplementary information, including its form and content, is fairly presented in accordance with GAAP; (3) that the methods of measurement or presentation have not changed from those used in the prior period (or, if they have changed, the reasons for such changes); and (4) you have disclosed to us any significant assumptions or interpretations underlying the measurement or presentation of the supplementary information.
- For Group audits, management is responsible for the following:
 - Informing the component's management of any matter that the group engagement team becomes aware that may be significant to the financial statements of the component, but of which component management may be unaware.
 - Implementing procedures to determine if there are subsequent events for components through the APA's audit report date.
 - Implementing procedures to identify and disclose the component's related parties and related party transactions.
 - Implementing policies and procedures related to the consolidation of group financial information.

Audit Committee

- Communicate with APA about audit scope
- Communicate with management and internal audit regarding progress
- Receive reports and findings from management and external audit



Other Elements of the Audit Process

Overall planned scope of the audit

- **Approach to internal control** – We review internal controls to identify those areas where we can replace substantive testing with transactional testing. We look for management to have written formal policies and procedures and check for the implementation of those procedures.
- **Concept of materiality** – We do not review all transactions or accounts in detail. We use materiality to focus our work on those financial statement line items and those transactions that are material or significant to the University.

Identification of potential fraud risks

- **Approach to fraud** – Most of our audit is focused on our opinion on the financial statements and materiality. Our primary interest related to fraud would be in how it may affect the financial statements and those controls that the financial statements rely upon. The audit is not designed to detect error or fraud that is immaterial to the financial statements. However, we review policies and procedures for fraud risk and may direct our testwork towards addressing fraud risk.
- **Responsibility for identifying fraud risks and fraud** – Auditing standards require us to assess fraud risk, interview management and staff about their knowledge of fraud and fraud risk, and review exceptions for indications of possible fraudulent transactions. Auditors should be looking for red flag fraud indicators. Even though government entities are not always profit oriented, the auditors remain vigilant about financial statement fraud.
- **Report fraudulent transactions as required by Code of Virginia § 30-138** - Agencies are responsible for reporting circumstances that suggest a reasonable possibility that a fraudulent transaction has occurred involving funds or property under their control, where an officer or employee of the state or local government may be involved. Items should be reported to the Auditor of Public Accounts, the State Inspector General, and the Superintendent of State Police.

Audit Reporting

We will issue a written report upon completion of our audit of the University's financial statements. We will make reference to the Component Auditor's audit of Virginia Tech Foundation, Inc. in our report on the University's financial statements. Our report will be addressed to the board of directors of University. Circumstances may arise in which our report may differ from its expected form and content based on the results of our audit. Depending on the nature of these circumstances, it may be necessary for us to modify our opinion, add an emphasis-of-matter or other-matter paragraph(s), or if necessary, withdraw from the engagement. If our opinions on the basic financial statements are other than unmodified, we will discuss the reasons with you in advance. If, for any reason, we are unable to complete the audit or are unable to form or have not formed opinions, we may decline to express opinions or to issue a report as a result of this engagement.

We will also provide a report (that does not include an opinion) on internal control related to the financial statements and compliance with the provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a material effect on the financial statements as required by *Government Auditing Standards*. The report on internal control and compliance will include a statement that the report is intended solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.



The Federal Landscape and Potential Impacts to Virginia Tech

Chris Yianilos, Office of Government & Community Relations

June 2, 2025

Federal Executive and Legislative Actions Impacting Higher Education

1. Proposed President's Budget
2. Changes to Facilities & Administrative (F&A) Rates
3. Miscellaneous Policy Proposals



President's Budget Request (PBR)

Proposed for FY2026

Virginia Tech's FY2024 Federal Research Expenditures

Department of Defense: \$79.5M

DHHS/National Institutes of Health: \$68.9M

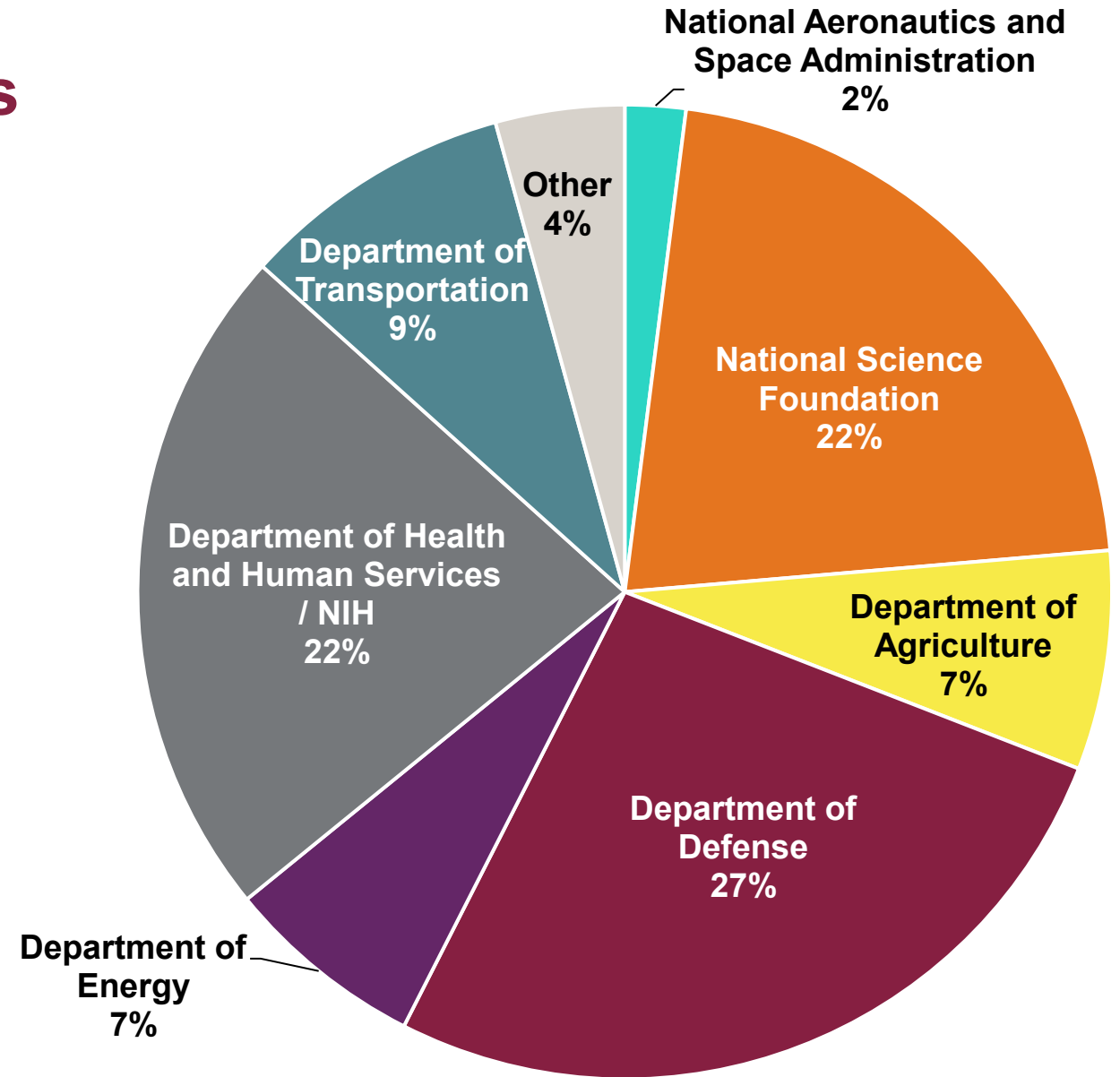
National Science Foundation: \$64.5M

Department of Transportation: \$27.4M

Department of Agriculture: \$29.0M

Department of Energy: \$19.6M

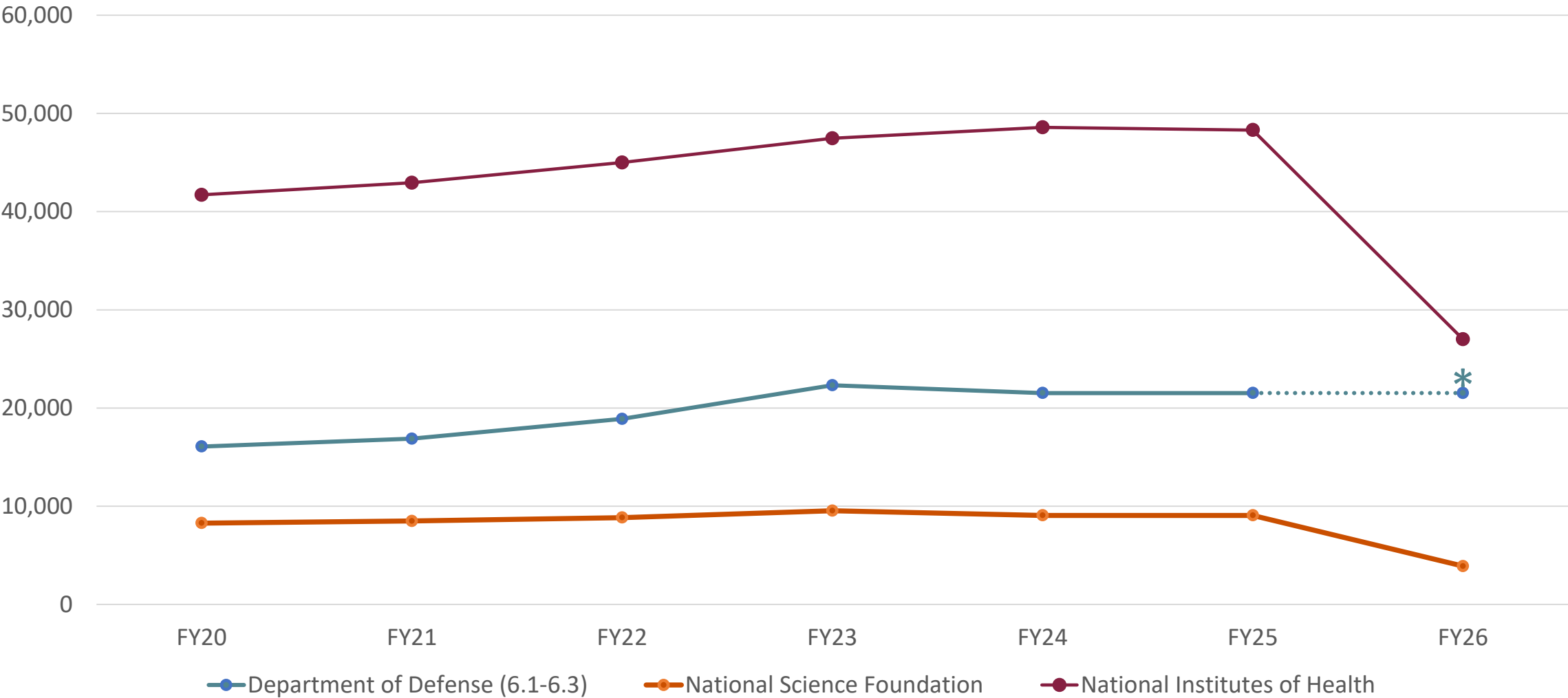
National Aeronautics & Space Administration: \$6.2M



Federal Research Funding (in millions)

FY20-FY26

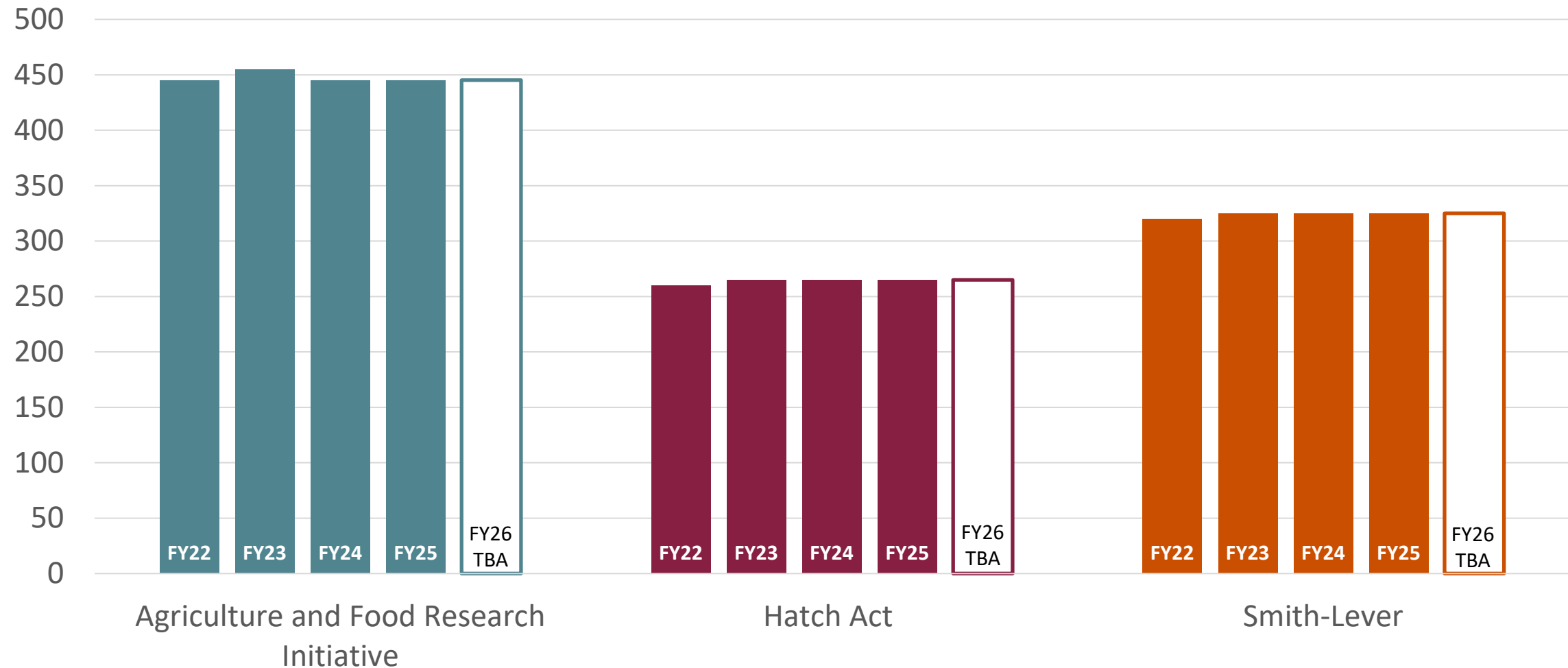
* FY 26 – Based on President Trump’s “Skinny” Budget Proposal



USDA Competitive and Capacity Grant Programs

FY22-FY26

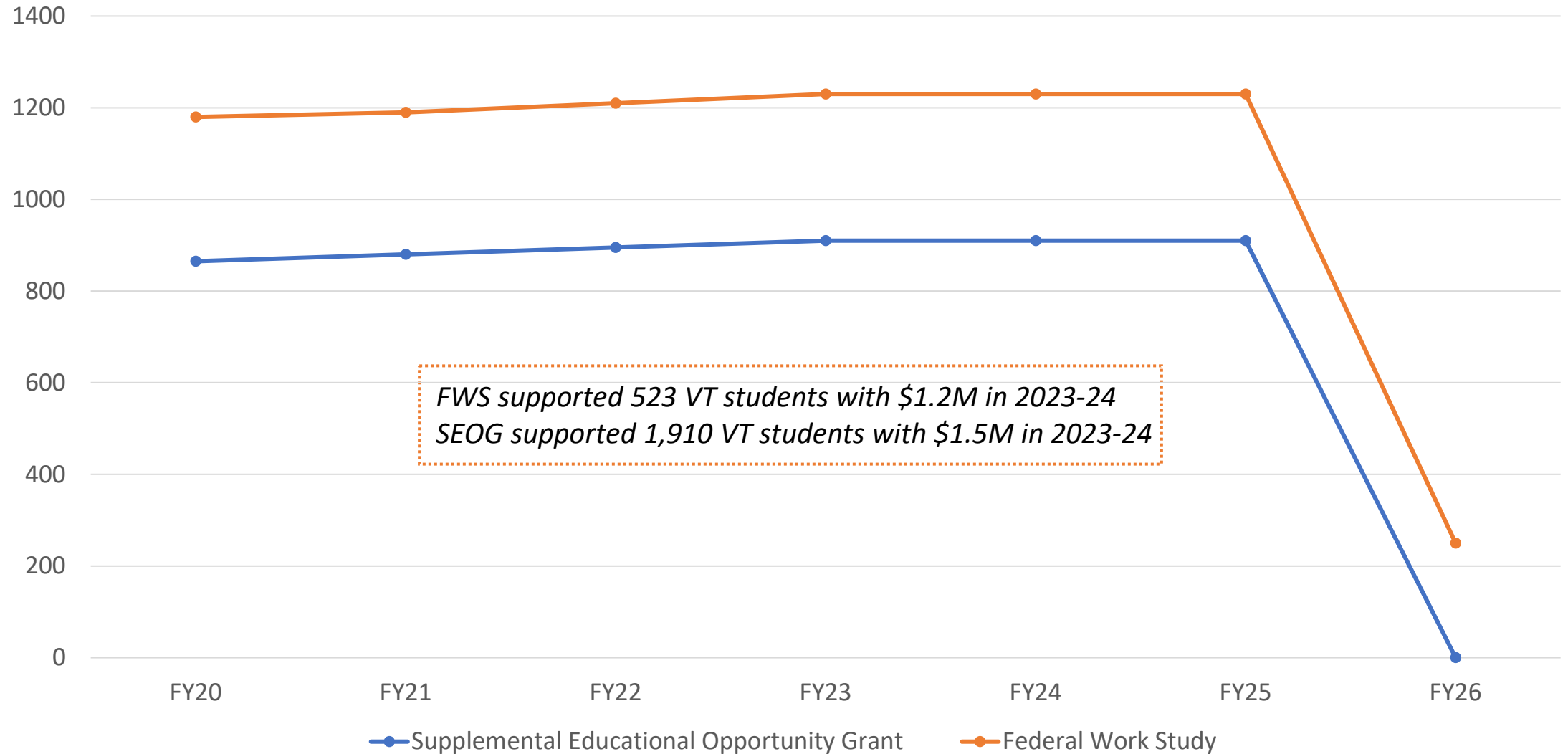
* FY 26 – Based on President Trump’s Skinny Budget Proposal



Student Financial Aid (in millions)

FY22-FY26

* FY 26 – Based on President Trump’s “Skinny” Budget Proposal





Facilities and Administrative (F&A) Rates

Potential Impacts from Proposed Changes

Facilities & Administrative

What is F&A?

In research, there are “direct” and “indirect costs.” Federal grants and contracts allow universities to get reimbursed for both.

Direct Costs

Typically include expenses for researchers' salaries, materials and supplies, and instrumentation used to perform the research.

Indirect Costs

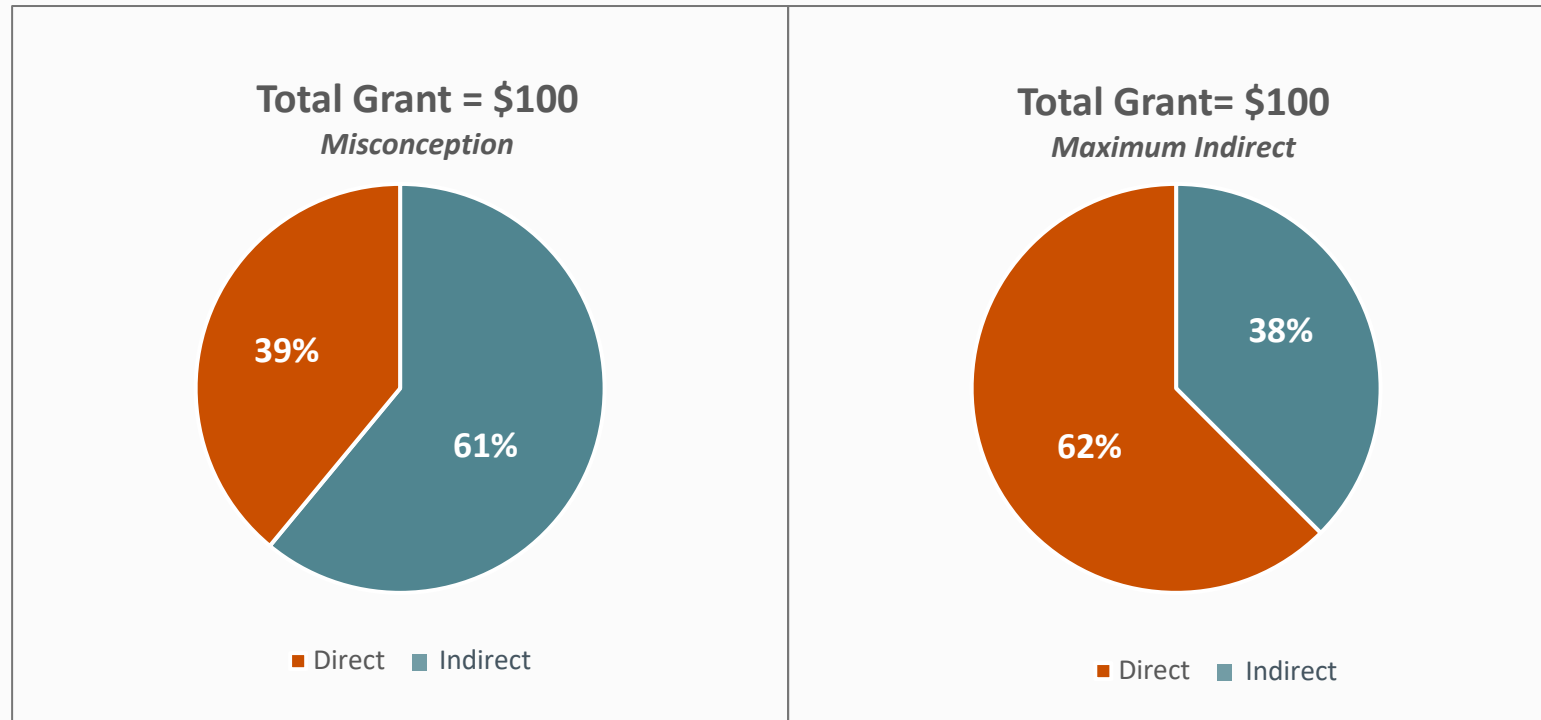
May include required federal regulatory compliance; the costs to build, operate, and maintain research facilities; and administrative costs required to manage grants

Recent Changes to F&A

- **Our negotiated F&A rate with the Office of Naval Research is 61% for on-campus research.**
 - *The Trump administration has proposed 15% F&A caps on grants and contracts at certain federal agencies.*

Common Misconceptions About F&A

Misconception: The majority of grant funding goes towards indirect costs with a 61% F&A rate.



Common Misconceptions About F&A

Misconception #2: The indirect cost rate is too high compared to actual costs.

Reality:

- Audit and negotiation with the federal government every three years to determine an appropriate F&A rate.
- Caps on administrative costs since 1991
- Unreimbursed F&A

Estimated Financial Impacts

Agencies that have proposed 15% F&A caps and estimated impacts to Virginia Tech:

- National Institutes of Health (NIH) - estimated **\$13 million** impact
- Department of Energy (DOE) - estimated **\$5 million** impact
- National Science Foundation (NSF) - estimated **\$13 million** impact
- Department of Defense (DOD) – estimated **\$15 million** impact

If a 15% F&A cap were applied across all federal agencies, the estimated impact would be \$55 million annually.



Miscellaneous

Other Potential Policy Impacts

Broader Policies and Potential Impacts

1. Federal Reduction in Workforce
2. Potential Cost Shifting in Federal Programs
3. Grant and Contract Terminations
4. International Students
5. Student Financial Aid
6. Risk-Sharing
7. Endowment tax

June 2, 2025

Enterprise Risk Management Update

Sharon M. Kurek, CPA, CCEP, CFE, MBA

*Vice President for Audit, Risk, and Compliance &
Chief Risk Officer*



ENTERPRISE RISK MANAGEMENT

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 appetite, and
- support the achievement of Virginia Tech's mission and objectives.

RESIDUAL RISK ASSESSMENT

IMPACT	
Level	Risk description
1 - Insignificant	No impact on reputation No potential impact on enrollment/market share No potential impact on the retention/recruitment of faculty No potential impact on overall research funding Responsibility of junior management and staff to resolve
2 - Minor	Consequences can be absorbed under normal operating conditions Local impact on reputation Potential negative impact on image, enrollment Potential negative impact on retention/recruitment of faculty Little impact on overall research funding Responsibility of middle management to resolve
3 - Moderate	State-wide impact on reputation Enrollment of students or image will be affected in the short-term Recruitment and retention of faculty will be affected in the short-term Loss of research funding for X-X grantees Responsibility of senior and middle management to resolve
4 - Major	Adverse impact on university reputation at the regional level Accreditation is threatened Long-term reduction in enrollment Ability to retain and recruit faculty Significant loss of research funding from multiple grantees resulting in curtailment of major sponsored programs Responsibility of the Board and senior management to resolve
5 - Critical	Loss of accreditation National / Global impact on reputation Significant reduction in enrollment Ability to retain and recruit faculty Revocation of sponsored research funding across the institution Responsibility of the Board and the President to resolve

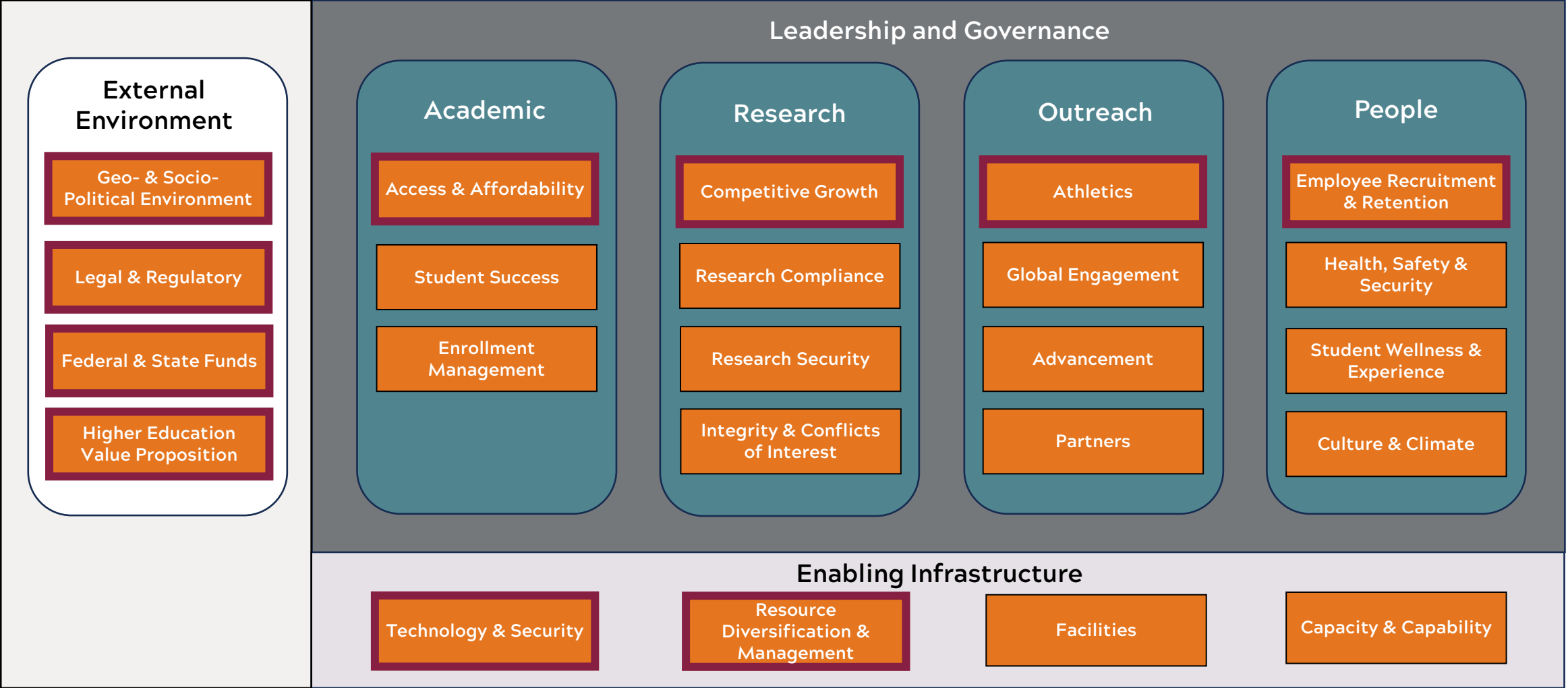
Residual (Net) Risk: The result of an assessment of the potential "impact" and "likelihood" of a risk after taking into account the effectiveness of the controls and other mitigations put into place to manage the risk.

PROBABILITY (Likelihood of Occuring)		
Level	Risk description	Probability
1 - Remote	Event may only occur in exceptional circumstances	0-5%
2 - Unlikely	Event could occur at some time	6-35%
3 - Moderate	Event should occur at some time	36 - 65%
4 - Likely	Event will probably occur in most circumstances	66-95%
5 - Almost certain	Event is expected to occur in most circumstances	96 - 100%

VELOCITY (Speed of Onset)	
Level	Risk description
1 - Slow	Very slow onset; longer than 9 months to impact after occurrence
3 - Medium	Medium onset; between 3 to 9 months; Limited time for reaction and response planning
5 - Rapid	Very rapid onset; little or no warning, instantaneous; within 3 months after occurrence

Enterprise Risk Landscape

June 2025

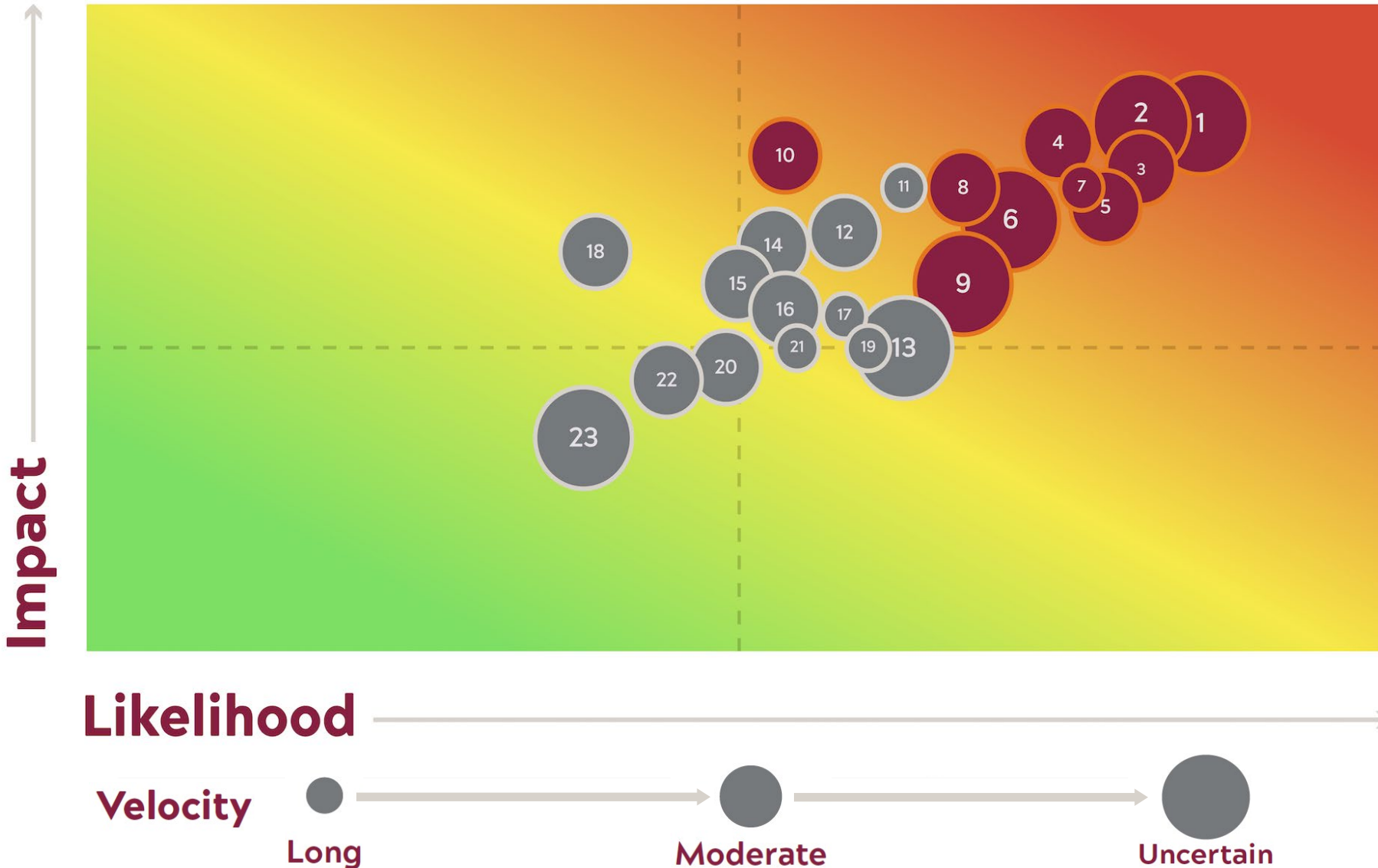


Enterprise Risk Heat Map

June 2025

Graph Legend

Number	Risk
1	Geo & Socio-Political Environment
2	Legal & Regulatory
3	Federal & State Funds
4	Higher Education Value Proposition
5	Research: Competitive Growth
6	Technology & Security
7	Access & Affordability
8	Resource Diversification & Management
9	Athletics
10	Employee Recruitment & Retention
11	Student Success
12	Research Compliance
13	Health, Safety & Security
14	Research Security
15	Student Wellness & Experience
16	Culture and Climate
17	Facilities
18	Enrollment Management
19	Global Engagement
20	Advancement
21	Partners
22	Capacity & Capability
23	Integrity & Conflicts of Interest



Changes in Risk: FY24 to FY25

Legend

- Risk level unchanged compared to prior year assessment
- ➡ Risk increased compared to prior year assessment
- ⬅ Risk decreased compared to prior year assessment

#	Risk	Arrow Indicates Change in Risk from FY2024 to FY2025	
1	Geo & Socio-Political Environment	➡	●
2	Legal & Regulatory	➡	●
3	Federal & State Funds	➡	●
4	Higher Education Value Proposition	➡	●
5	Research: Competitive Growth	➡	●
6	Technology & Security	●	●
7	Access & Affordability	●	●
8	Resource Diversification & Management	●	●
9	Athletics	●	●
10	Employee Recruitment & Retention	⬅	●
11	Student Success	●	●
12	Research Compliance	➡	●
13	Health, Safety & Security	●	●
14	Research Security	➡	●
15	Student Wellness & Experience	⬅	●
16	Culture and Climate	●	●
17	Facilities	●	●
18	Enrollment Management	⬅	●
19	Global Engagement	●	●
20	Advancement	➡	●
21	Partners	➡	●
22	Capacity & Capability	●	●
23	Integrity & Conflicts of Interest	●	●

ERM Top 10 Risks – Owners & BOV Alignment

Risk Area	Risk Statement	
	Owner(s)	BOV Committee(s)
1 - Geo- & Socio-Political Environment	Guide the university's response to external and global factors impacting its community and mission	
	Sands; Yianilos	Compliance, Audit, and Risk
2 - Legal & Regulatory	The university faces significant risks from increasing visibility and emphasis on legal and regulatory requirements, as well as potential non-compliance with policies and procedures	
	Heidbreder, Kurek	Compliance, Audit, and Risk
3 - Federal & State Funds	The university faces substantial risk exposure due to significant loss of state and or federal funding for university programs to support its operational and capital needs	
	Sebring; Allen; Yianilos	Finance and Resource Management
4 - Higher Education Value Proposition	Decreasing public trust in the value and transformative impact of education on individuals and society, encompassing academic, professional, personal, and societal benefits	
	Sands	Board Level
5 - Research: Competitive Growth	Grow and diversify the research portfolio by prioritizing strengths and focusing on emerging areas	
	Clarke; Sui	Academic, Research, and Student Affairs + Finance and Resource Management

ERM Top 10 Risks – Owners & BOV Alignment

Risk Area	Risk Statement	
	Owner(s)	BOV Committee(s)
6 - Technology & Security	Modernize IT Infrastructure and address the complexities of operating and securing the hybrid model of centralized and decentralize academic, research, and administrative computing	
	Sebring; Pitt	Governance and Administration
7 - Access & Affordability	Enhance ongoing resource availability and support for educational access and affordability	
	Sebring; Clarke; Pratt	Academic, Research, and Student Affairs + Finance and Resource Management
8 - Resource Diversification & Management	Diversify revenue and effectively allocate available university personnel, finances, and space in alignment with strategic goals	
	Sebring; Clarke; Allen	Finance and Resource Management
9 - Athletics	Navigate the increasingly complex and high-profile landscape of intercollegiate athletics, balancing regulatory compliance, financial sustainability, and reputational integrity amid rapid industry transformation	
	Babcock	Governance and Administration
10 - Employee Recruitment & Retention	Recruit, develop, and retain high-performing talent to meet projected workforce needs in support of strategic and human resource goals	
	Clarke; Fricker; Sebring; Garey	Academic, Research, and Student Affairs + Governance and Administration

RISK AREA – COMMITTEE ALIGNMENT

Academic, Research, and Student Affairs

- Access & Affordability *
- Competitive Growth *
- Employee Recruitment & Retention *
- Enrollment Management
- Global Engagement
- Integrity & Conflicts of Interest
- Student Success
- Student Wellness & Experience

Buildings and Grounds

- Facilities

Compliance, Audit, and Risk

- Geo- & Socio-Political Environment *
- Legal & Regulatory *
- Research Compliance
- Research Security

Finance and Resource Management

- Access & Affordability *
- Advancement
- Competitive Growth *
- Federal & State Funds *
- Resource Diversification & Management *

Governance and Administration

- Athletics *
- Capacity & Capability
- Employee Recruitment & Retention *
- Health, Safety & Security
- Technology & Security *

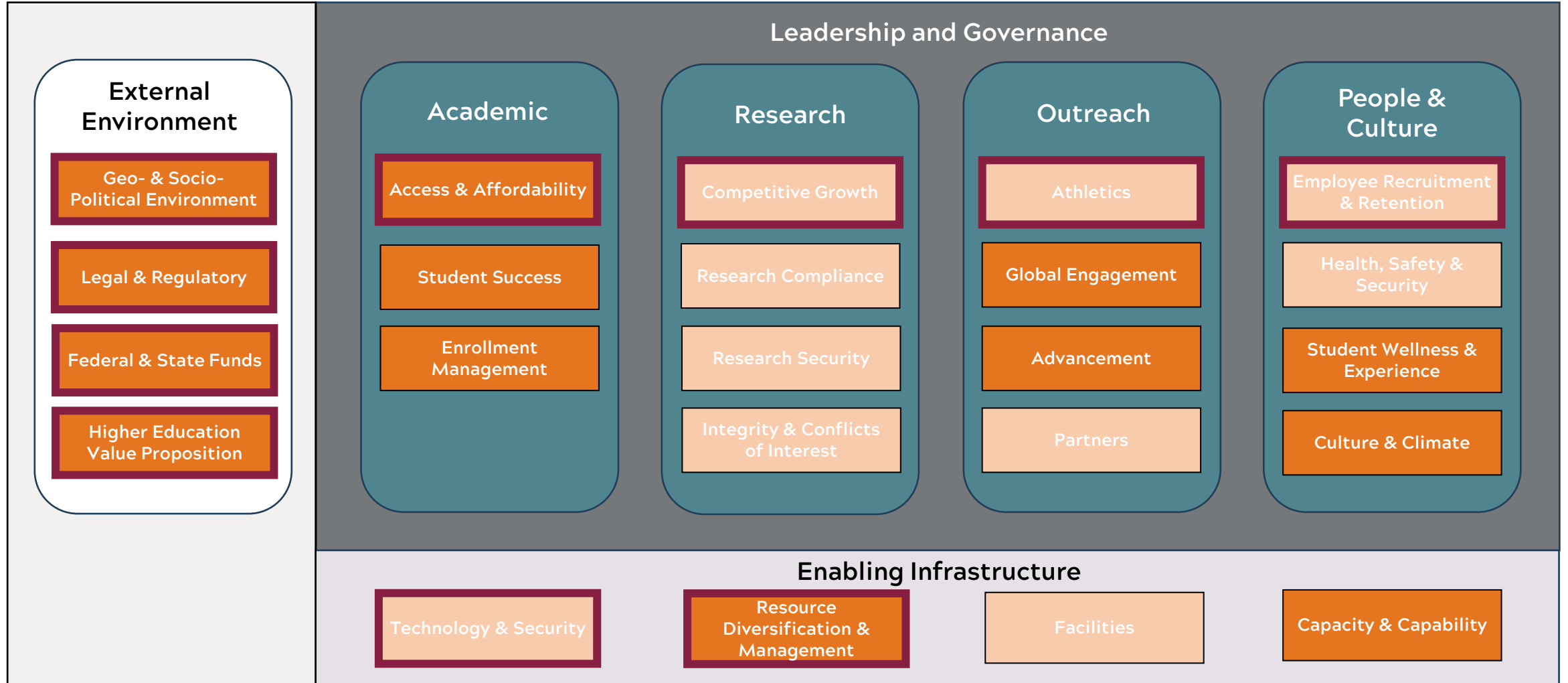
Board Level

- Higher Education Value Proposition *
- Culture & Climate
- Partners

Note: * indicates a Top Ten enterprise risk

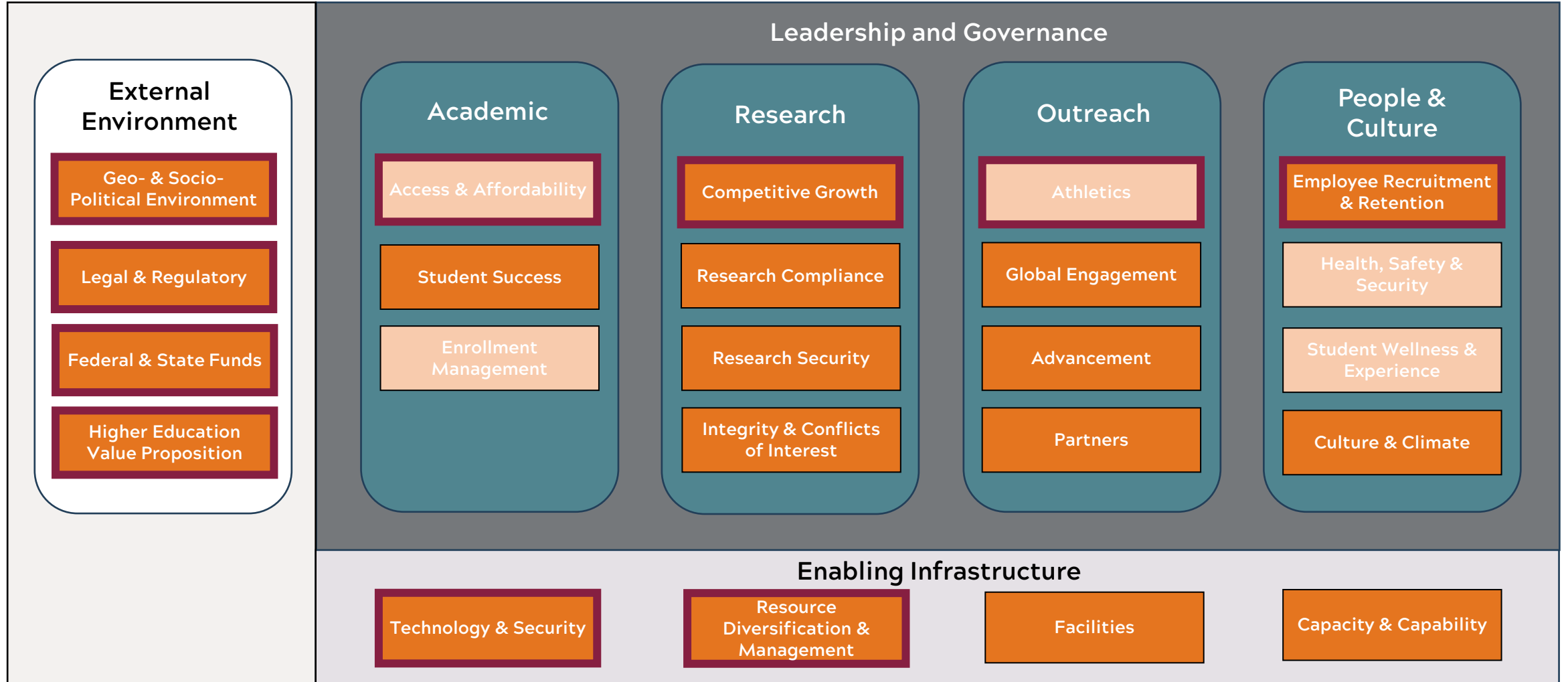
Mapping ERM to Strategic Priorities

Virginia Tech Advantage



Mapping ERM to Strategic Priorities

Virginia Tech Global Distinction



FY 2024-25 ERM Summary

- Conducted a tabletop exercise with the Risk & Compliance Steering Committee and research stakeholders on research security and compliance scenarios.
- Led an ERM exercise with President's Council on risk tolerance, appetite, mitigations, and opportunity risks in evolving regulatory landscape.
- Developed a comprehensive risk register for the university across risk, audit, compliance, and ARMICS programs. In process of implementing technology solution to visualize connected risk view and assist risk owners in monitoring and mitigation.
- Refreshed the OARC strategic plan, articulating program-level goals for the next three years, including:
 - Developing risk-level KRIs, KPIs, and mitigation strategies with risk owners
 - Utilizing GRC platform for dashboarding capabilities



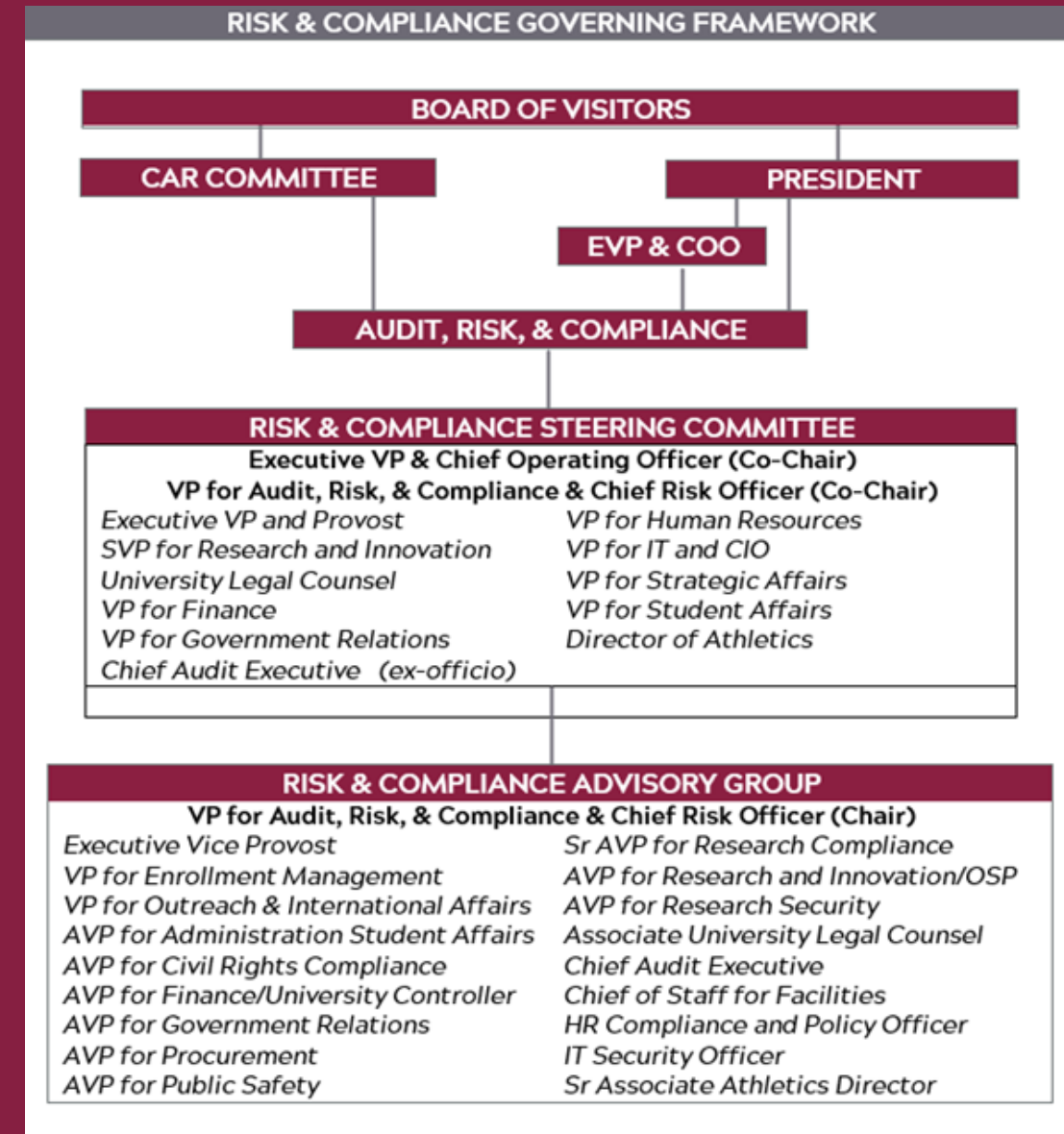
QUESTIONS?

APPENDIX

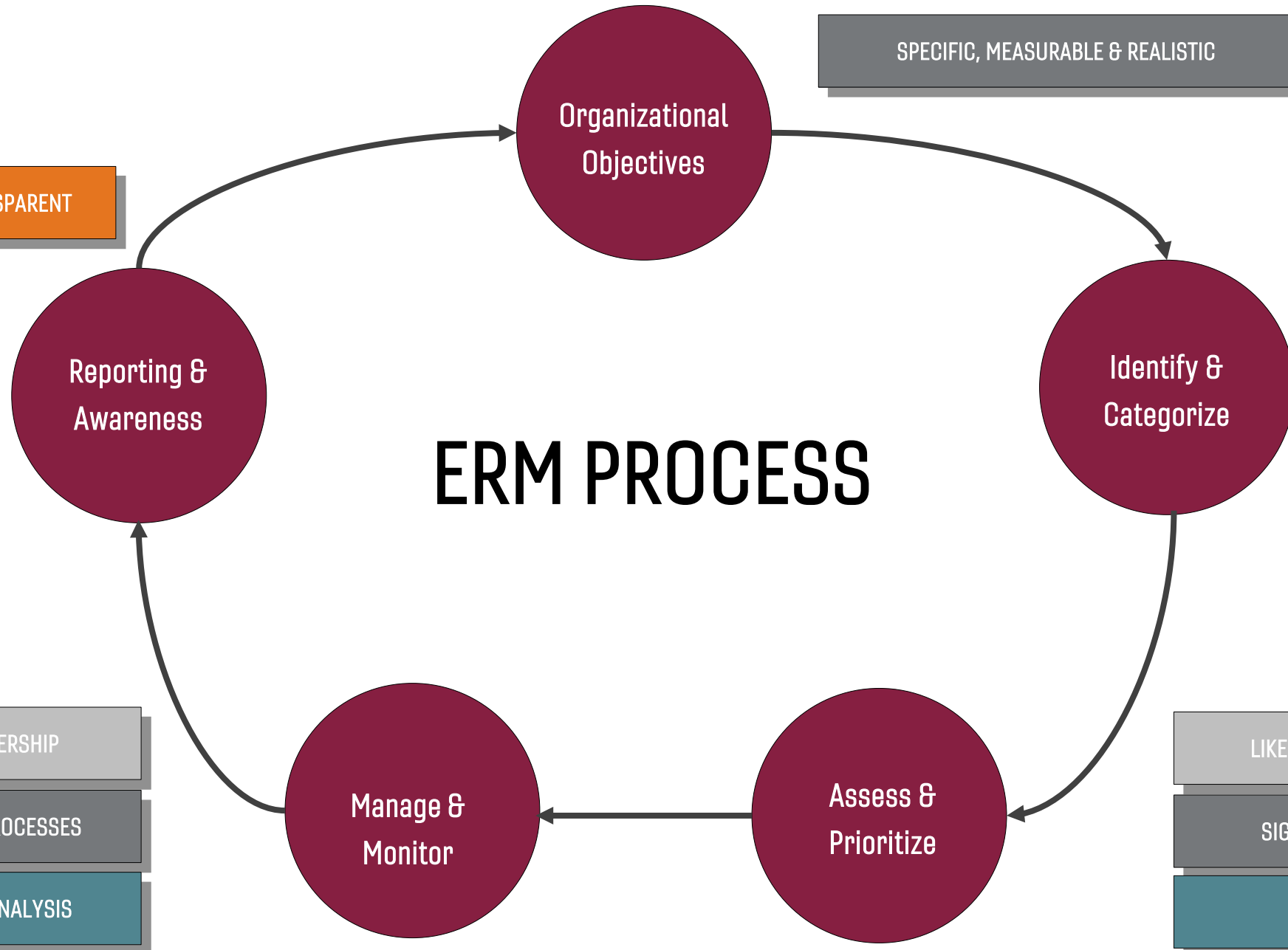
GOVERNANCE STRUCTURE

The Steering and Advisory Committees:

- Support the implementation and execution of the ERM and ICP programs
- Provide oversight and insight for strategic decision making and effective resource allocation
- Help to set program priorities and promote an institution-wide perspective related to risk and compliance
- Meet quarterly



ERM PROCESS





Office of Audit, Risk, and Compliance
Fiscal Year 2025–26 Audit Plan
June 2, 2025

OVERVIEW

Internal Audit conducts risk-based assurance engagements, IT general controls reviews, management advisory services, and investigations. The risk-based assurance engagement is an objective examination of evidence to provide an independent assessment of governance, risk management, and the control systems within the university. IT general controls reviews seek to align Internal Audit's assurance activities with the Information Technology Security Office's guidance and efforts to increase the overall efficiency and effectiveness of IT risk coverage across the institution on an on-going basis. The nature and scope of management advisory service activities add value and improve the university's governance, risk management, and control processes without the internal auditor assuming management responsibility. Investigations are initiated from various sources, including the Office of Audit, Risk, and Compliance (OARC) managed Hokie Hotline, and are coordinated through the institutional compliance program with support from Internal Audit, as appropriate.

RISK ASSESSMENT PROCESS

Enterprise Risk Assessment

The institution's Enterprise Risk Management (ERM) program provides enhanced visibility into the university's risks and aligns strategic planning with risk awareness. OARC facilitates the ERM program by working with university leadership to establish and maintain the framework for collectively identifying, assessing, and managing risks across the enterprise. The ERM program intends to strengthen the university's ability to achieve its mission and strategic objectives by:

- Obtaining a holistic view of the most critical risks to the achievement of Virginia Tech's mission and objectives;
- Creating a risk-aware culture, including the management of risks to an appropriate level;
- Improving focus and perspective on both internal and external risks and opportunities, including emerging risks and value drivers;
- Enhancing decision making and alignment with strategic goals; and
- Improving efficiency and optimizing allocation of resources through risk prioritization.

University leadership provided feedback to the ERM process by identifying risks and assessing the risks in terms of likelihood of occurrence, significance of impact, and velocity of onset, all grouped by the categories depicted below:

ERM RISK CATEGORIES	ALTITUDES OF RISK
Strategic	Systemic and Existential
Financial	Institutional
Compliance	Unit-Level
Operational	
Reputational	

In order to maximize efficiency and engagement from university senior leadership, Internal Audit leveraged this complimentary process as an element of the traditional annual risk assessment in support of audit plan development.

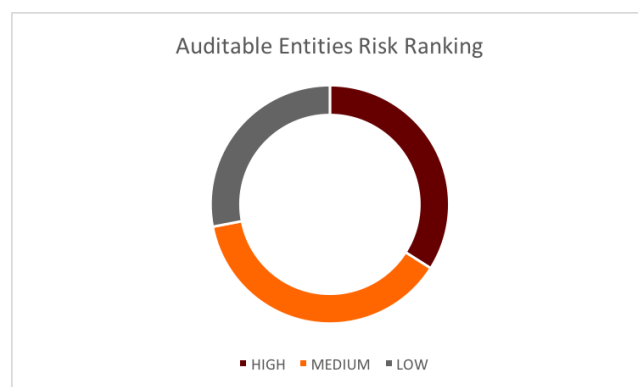
OARC Audit Planning Risk Assessment

Departments and administrative operations were grouped into approximately 175 auditable entities on common missions and the existing organizational structure. For each auditable entity, OARC reviewed financial data, including expenditures, revenues, cash receipts, federal contracts and grants, and total employees. The relative risk was assessed on a judgmental basis for the following qualitative and quantitative factors.

RISK FACTORS
Quality and Stability of Control Environment
Business Exposure (Materiality and Liquidity of Operational Resources)
Public and Political Sensitivity
Compliance Requirements
Information Technology and Management Reporting

Elements considered within these factors included:

- Management's awareness of internal controls;
- Stability and expertise of management;
- Interval since the last audit review;
- Complexity of operations and technology applications;
- Materiality or financial impact to the university;
- Potential impact to reputation;
- Impact of noncompliance with internal and external policy, procedure, regulatory, and statutory requirements; and
- Reliance on information and management reporting for operating decisions, monitoring performance, providing services, and allocating resources.



The chart depicts the results of the risk assessment classifications. The risk assessment results were consistent with previous risk assessments conducted by OARC.

IT Risk Assessment

Internal Audit has also created a university-wide information technology (IT) risk-based audit plan mapped to the ISO 27002 standard, a best practice for developing and maintaining enterprise-wide IT security that is also referenced by university policies. OARC consulted with key IT personnel to ensure that audit coverage is maximized and properly targeted.

The IT risk assessment is driven by the Center for Internet Security's Critical Security Controls and Virginia Tech's Minimum Security Standards, which lay the institution's IT security foundation. OARC considers these controls and the relative risk of the decentralized computing environment as it identifies the topical audits in the plan. Careful consideration is made to ensure coverage includes administrative, academic, and research computing.

The IT audit approach is bifurcated into two processes. First, the risk assessment contemplates topical audits to gain a better understanding and provide confidence on the university-wide control environment. Second, each senior management area receives a dedicated information technology general controls review to assess compliance with the institution's Minimum Security Standards on a cyclical basis. Beginning with this audit plan, Internal Audit will accelerate its prior five-year review cycle to a three-year cycle.

CORE AUDIT PLAN

Internal Audit has identified certain critical areas for inclusion in the core audit plan to ensure that adequate coverage is provided over a reasonable time. To obtain additional insight and to validate the plan, OARC management conducted surveys and discussions with senior leadership to identify reputation factors, regulatory changes, organization shifts, new initiatives, and deployment of new systems or technology tools.

The critical areas for core audit plan inclusion are:

- Academic Units
- Auxiliary Enterprises and Athletics
- Campus Safety and Security
- Enrollment Services
- Facilities and Operations
- Financial Management
- Human Resources
- Information Technology
- Off-Campus Locations
- Research
- Student Services

The core audit plan includes several multi-year audits that will allow for ongoing reviews of selected components of entities with high compliance risk and complex operations. These entities are Athletics, Human Resources, Research, and University Scholarships and Financial Aid. While most years these four entities receive audit coverage, this is subject to external coverage and evaluated in light of the comprehensive risk assessment.

FISCAL YEAR 2025–26 AUDIT PLAN

The audit plan focuses on delivering value to the institution with an emphasis on the following risk areas: strategic, operational, financial, compliance, and IT. If new topics emerge during the audit plan period that require more immediate attention, reconfiguration of the plan can be undertaken to accommodate these changes. The fiscal year 2025–26 audit plan includes 34 projects, and Internal Audit's goal is to complete 85 percent of the audit plan. As each audit is undertaken, risks will be re-evaluated to ensure proper audit coverage with consideration of confidentiality, integrity, and availability.

Risk-Based Assurance

Planned Engagement	Overview	Risk Area
Affiliated Corporations	The institution maintains an extensive relationship with a matrix of affiliate corporations. These efforts seek to ensure selected corporations are meeting fiduciary responsibilities and appropriately managing risks. These efforts are coordinated with the Controller's Office and first started in 2025.	Operational – Financial Management
Air Transportation Services	Air Transportation Services, a unit within the Division of Auxiliary and Business Services, provides safe, on-demand air transportation for employees, or employees of university-related corporations, on official university business. The department is staffed by five pilots and supported by a flight operations manager and operates from a hangar located at the Virginia Tech Montgomery Executive Airport. The last audit was conducted in 2011.	Compliance – Operations
Animal Care and Resources	The Animal Resources and Care division provides resources and expertise to support scientifically sound animal research and teaching activities using healthy animals in the appropriate environment. By applying current veterinary standards and animal welfare practices that meet or exceed regulatory requirements, the division ensures humane animal care and use. The last audit was conducted in 2018.	Compliance - Research
Athletics *	The Department of Athletics, an approximately \$120 million enterprise, sponsors 22 athletic teams at the NCAA Division I level. A component of Athletics is typically included in the audit plan each year.	Compliance - Athletics
Bursar	The specific responsibilities of the Office of the University Bursar (OUB) include: providing timely and accurate billings to students and general users of the university's services and ensuring that payments and credits are received and properly applied to each customer's account in a timely manner; receipt and timely application of all other cash payments made to the university; and disbursement of payroll, all university payables, and collection of delinquent accounts and notes receivable. The last audit was conducted in 2019.	Financial – Financial Management
Capital Construction Audit Program	The institution has maintained an on-going capital construction audit program for all capital projects utilizing the guaranteed maximum price contracting methodology. Executed by third-party construction auditing experts and overseen by Internal Audit, these reviews are a partnership with the divisions of Facilities and Finance.	Financial – Facilities
Clery Act Compliance	The Clery Act requires all colleges and universities that participate in federal financial aid programs to keep and disclose information about crime on and near their respective campuses, including timely warnings of crimes that may represent a serious or ongoing threat to the safety of students or employees. A review of this activity has not been previously conducted.	Compliance – Safety and Security

Planned Engagement	Overview	Risk Area
College of Veterinary Medicine Research	Virginia-Maryland College of Veterinary Medicine has a robust research program that spans basic biomedical sciences in infectious (viral, bacterial, and parasitic) and non-infectious (immune-mediated and oncologic) diseases to veterinary clinical research to translational and public health. The program's overall goal is to apply research to improve the lives of pets and people. The last audit was conducted in 2015.	Operational – Academic
Controlled Substances	Controlled substances are drugs or chemicals whose production, possession, and use are regulated by the government. These substances are often categorized into schedules based on their potential for abuse, accepted medical use, and potential for addiction. The regulatory compliance requirements of these substances can be complex to manage and mitigate. A review of these activities has not been previously conducted.	Compliance – Safety and Security
Data: Student Residency Status	The establishment of residency status is an important step in student processing. This data centric review will seek to look at data to identify potential errant or inconsistent residency processes. The last audit was conducted in 2014.	Compliance – Enrollment Management
Facility & Event Safety	The institution operates a variety of venues and events where patron safety is high risk. The processes and procedures for managing these events are most often a hybrid effort across multiple offices. A review of these activities has not been previously conducted.	Operational – Safety and Security
Fire Code Compliance	The institution is subject to compliance requirements with the Virginia Statewide Fire Prevention Code and has policies and procedures deployed to comply and mitigate the identified risks. The last audit was conducted in 2018.	Compliance – Facilities and Operations
Health and Counseling Centers	The Cook Counseling Center and Schiffert Health Centers provide comprehensive mental and physical health services for students. Supported primarily by a student health fee, students are provided free or reduced cost access to these facilities. The last audit was conducted in 2015.	Operational – Student Services
Human Resources – Leave Accounting *	The institution offers an array of leave benefits to allow time off to meet various employee needs. Additionally, Human Resources is responsible for various federal and state leave programs such as FMLA and disabilities. The last audit was conducted in 2016.	Compliance – Financial Management
Immigration Services - Employees	As a global land-grant university, the institution teaches and employs a diverse set of international faculty, staff, and students. To assist these individuals in navigating the complex regulatory immigration environment, the institution has established several offices to provide support and to ensure compliance requirements are being met. The student components of these efforts were reviewed in 2025.	Compliance – Human Resources
Industrial and Systems Engineering	The Grado Department of Industrial and Systems Engineering, within the College of Engineering, engages a wide range of research including manufacturing systems, human factors and ergonomics, and management systems. The research enterprise seeks to positively influence society by providing new knowledge, and train students to develop into independent researchers who will continue to advance the forefront of science and technology. The last audit was conducted in 2009.	Operational – Academic
Internal Controls Monitoring	This review will establish an updated framework to review and report out on common internal controls across the entire institution. Utilizing the previous Policy Compliance Review framework, and in partnership with distribute control owners, we seek to develop an aggregated look at the level of compliance with basic control parameters across all senior management areas.	Compliance

Planned Engagement	Overview	Risk Area
IT: Centralized Logging and Monitoring	The institution's logging services collect and store logs from various campus systems in a secure, centralized location. This allows the institution to monitor activity, detect security incidents, and troubleshoot issues efficiently. The last audit was conducted in 2020.	Operational – Information Technology
IT: Data Backup and Recovery	Data backup and recovery are critical components to ensure the institution is positioned to respond to operational interruptions. Data loss, system failure, or cyberattacks are all events that warrant robust backup and recovery processes and tools. A dedicated review of these activities has not been previously conducted.	Operational – Information Technology
IT: Low-Risk Procurement Compliance	Department Heads or above are delegated the authority to sign contracts and make procurements of low-risk software and information technology services, including "click-through" agreements, that do not go through Procurement. The institution has deployed a standard and procedures to track these purchases. This review will seek to ensure units are adhering to these requirements. A review of these activities has not been previously conducted.	Compliance – Information Technology
Office of Sponsored Programs *	Office of Sponsored Programs (OSP) provides a comprehensive array of support services for faculty and staff as they pursue and manage external funding projects. OSP also functions as the steward of the institution's research portfolio and its staff are responsible for ensuring that all research proposals and projects comply with university, federal, and sponsor regulations, policies, and procedures. A component of Research, often in OSP, is typically included in the audit plan each year.	Operational – Research
School of Neuroscience	The School of Neuroscience, within the College of Science, aspires to be at the forefront of research and training in Neuroscience. The school was founded in 2016. This school has not been previously reviewed.	Operational – Academic
Virginia Cooperative Extension and 4-H Programs	Virginia Cooperative Extension (VCE) offers a comprehensive collection of resources, programs, and services that are research-proven, accessible, and contain actionable information that supports the success and resilience of individuals and communities throughout the Commonwealth of Virginia and beyond. Additionally, VCE coordinates the Commonwealth's 4-H youth program. This review will be conducted across the five divisional units. A review of this nature has not been previously conducted.	Operational – Off-Campus Locations

* Entity receives an annual audit on different components of their operation.

Reimagining Policy Compliance Reviews and Accelerated IT General Controls Reviews

Internal Audit will reimagine its traditional policy compliance review program to focus on two efforts. First, the traditional operational elements (e.g. financial, human resources, vehicle management) of the reviews will be reenvisioned as university-wide internal control environment reviews with a single report on compliance by senior management area. By doing so, the comprehensive report will provide senior leadership with a wider view of basic compliance with core internal controls to help focus compliance efforts and identify significant areas for attention.

Next, in accordance with the Board of Visitors request, each senior management area will receive an information technology general controls review which seeks to assess conformance with the institution's Minimum Security Standards once every three years, an acceleration from the current five-year cycle. Internal Audit will seek to align this activity with the Information Technology Security Office's risk assessment and monitoring efforts to

increase the overall efficiency and effectiveness of institution-wide coverage of this critical risk area. The scheduled areas for this year's review are noted below.

Planned Engagements
College of Science
Office of the Executive Vice President & Chief Operating Officer and Selected Related Areas
Office of the Executive Vice President & Provost
Office of the President
Pamplin College of Business
Vice President for Facilities
VTC School of Medicine

Management Advisory Services

Planned Engagements	Overview	Risk Area
CMMC Readiness Review	The Department of Defense is nearing the end of a lengthy rule-making process called the Cybersecurity Maturity Model Certification (CMMC). Once implemented, the goal is to reinforce cybersecurity safeguards across sensitive unclassified information. While the exact regulatory timeline is unknown, this project will review the steps taken by the institution to prepare for this regulation.	Compliance – Information Technology
Endpoint Management Processes	The Division of Information Technology is interested in identifying the various processes and software deployed across the decentralized information technology units to comply with the institution's standards for encryption, malware, and patching. Additional inquiry could include decentralized backup and recovery processes.	Operational – Financial Management
IT Procurement Processes	The Procurement Office is interested in reviewing information technology procurement processes. In addition to core policy and process review, the institution recently moved information technology procurement from the Division of Information Technology to Procurement within the Vice President for Finance's portfolio.	Operational – Information Technology
Research Accounting Processes – HERD	The National Science Foundation's Higher Education Research and Development (HERD) survey is the primary source of information on research and development expenditures at U.S. colleges and universities. The survey collects information on research expenditures by field of research and source of funds and gathers information on types of research, expenses, and headcounts of personnel. The survey is an annual census of institutions. At the university, the survey is a collaboration of processes that is spearheaded by the Controller's Office. This review will look at processes and procedures used to compile and review the survey for accuracy.	Operational – Financial Management

Miscellaneous Activities

Activity	Overview
Annual Risk Assessment and Audit Plan Development	Participate in the annual institutional risk assessment process, coordinated from OARC's ERM program, and develop the annual audit plan.
Audit Follow-Up	Conduct follow-up audit procedures to ensure that management is implementing controls as described within their responses to audit report recommendations.
External Audit Coordination	Manage and serve as the liaison for all external audit services, including contracted and regulatory-imposed audits.
Special Projects	Investigate fraud, waste, and abuse allegations.

AUDIT RESOURCES

The fiscal year 2025–26 audit plan is based on professional staffing of 12 full-time equivalents (FTEs). This plan includes a small adjustment to reflect historic trends of some turnover and extended family leave within the fiscal year. The FTE calculation includes the continuation of the student internship program in which two Virginia Tech students are employed, and the use of outsourced consultants for some information technology and construction audit engagements.

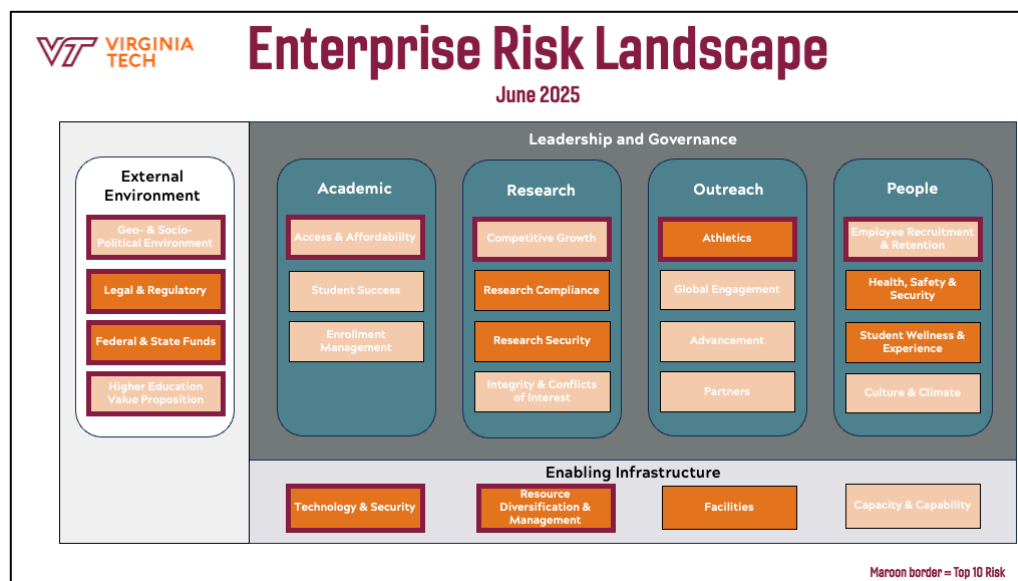
Approximately 77 percent of Internal Audit’s available resources are committed to the completion of planned audit projects, management advisory reviews, and investigations. The annual audit plan is designed to provide appropriate coverage utilizing a variety of audit methodologies, including audits of individual units, functional and process audits, university-wide reviews, and information system projects. Internal Audit conducts follow-up audit procedures throughout the year to ensure that management is implementing controls as described within their responses to audit report recommendations.

Audit resources are allocated as follows:

- 58 percent of Internal Audit’s available resources are committed to the completion of planned audit projects and follow-up audit procedures.
- 11 percent to accommodate requests from management and consultations with university departments.
- 8 percent to conduct investigations into fraud, waste, and abuse allegations.
- 10 percent for employee professional development, internal quality improvement projects, and other internal administrative functions.
- 13 percent for compensated absences such as annual, sick, and holiday leave.

AUDIT PLAN MAPPED TO ERM

As part of the ERM program, university leadership has identified key residual risks across six thematic areas. This year’s plan spans all six thematic areas and 10 of 23 risk areas. Specific risk areas include:





Proposed Audit Plan

FISCAL YEAR 2025-26

Overview

The annual risk assessment process informs and guides the audit plan development.

OARC conducts:

- Risk-based Assurance Engagements
- IT General Controls Reviews
- Management Advisory Services
- Investigations

Risk Assessment Process

Designed as an ongoing and iterative process, the annual risk assessment takes into account many factors.

OARC Planning
Risk Assessment

IT Risk
Assessment



External Factors and
Benchmarking

ERM Risk
Landscape



Core Audit Plan

The annual audit plan includes several critical areas to ensure a consistent focus on certain core university functions

Academic Units

Auxiliary Enterprises and Athletics

Campus Safety and Security

Enrollment Services

Facilities and Operations

Financial Management

Human Resources

Information Technology

Off-Campus Locations

Research

Student Services

Risk-based Audit Projects

The audit plan focuses on strategic, operational, financial, compliance, and IT risk areas. The audit plan will be reconfigured as needed when new topics requiring more immediate attention emerge.

- Affiliated Corporations
- Air Transportation Services
- Animal Care and Resources
- Athletics
- Bursar
- Capital Construction Audit Program
- Clery Act Compliance
- College of Vet Medicine Research
- Controlled Substances
- Data Analytics: Student Residency Status
- Facility and Event Safety
- Fire Code Compliance
- Health and Counseling Centers
- Human Resources – Leave Accounting
- Immigration Services – Employees
- Industrial and Systems Engineering
- Internal Controls Monitoring
- IT: Centralized Logging and Monitoring
- IT: Data Backup and Recovery
- IT: Low Risk Procurement Compliance
- Office of Sponsored Programs
- School of Neuroscience
- Virginia Cooperative Extension and 4-H Programs

IT General Controls Reviews

Internal Audit will end its traditional policy compliance review program and deploy an accelerated IT general controls review process.

1. The critical internal controls reviewed as part of the previous policy compliance reviews will be conducted and synthesized as a university-wide review with a single report on compliance by senior management area.
2. In accordance with the Board of Visitors Compliance, Audit and Risk Committee's request, each senior management area will receive an information technology general controls review, which seeks to assess conformance with the institution's IT Minimum Security Standards, once every three years.
 - College of Science
 - Office of the Executive Vice President and Chief Operating Officer and selected related areas
 - Office of the Executive Vice President and Provost
 - Office of the President
 - Pamplin College of Business
 - Vice President for Facilities
 - VTC School of Medicine

Management Advisory Services

The nature and scope of management advisory service activities, developed through agreement with the client, add value and improve the university's governance, risk management, and control processes without the internal auditor assuming management responsibility.

- CMMC Readiness Review
- Endpoint Management Processes
- IT Procurement Processes
- Research Accounting Processes – HERD (ongoing)



Audit Resources

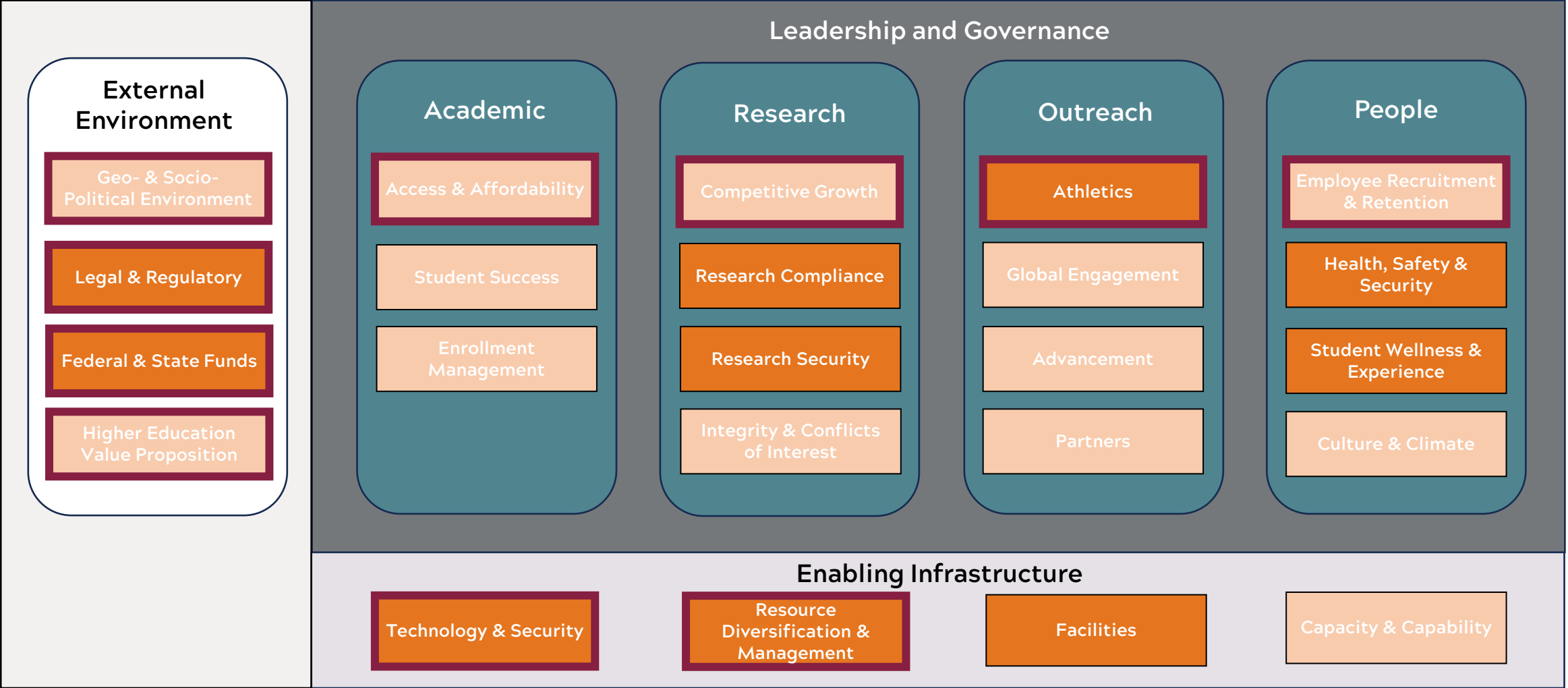
- 10 FTEs – professional audit staff
- 2 part-time graduate assistants
- Co-sourced partners
(construction, IT)

Resource Allocations

- 58% - completion of audit projects and follow up
- 11% - accommodate management requests
- 8% - conduct investigations
- 10% - professional development and administration
- 13% - compensated absences (annual, sick, holiday)

Enterprise Risk Landscape

June 2025



Questions?

Open Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE 9:00 a.m., Room 260 New Classroom Building June 3, 2025

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Motion to Reconvene in Session	Jim Miller
2. Welcome and Opening Remarks	Dave Calhoun
3. Consent Agenda	Dave Calhoun
a. Approval of Items Discussed in Joint Closed Session	
b. Approval of Minutes of the March 24-25, 2025 Meeting	
* c. Approval of 2025-26 Hotel Roanoke Conference Center Commission Budget	
* d. Approval of a 9(d) Debt Financing Resolution for the New Business Building	
* e. Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies	
# 4. Update on Advancement	Charlie Phlegar
*+ 5. Approval of Year-to-Date Financial Performance Report (July 1, 2024 – March 31, 2025)	Tim Hodge Rob Mann Simon Allen
*#+ 6. Approval of 2025-26 University Operating and Capital Budgets	Simon Allen Tim Hodge Rob Mann
#+ 7. Update on the Development of the 2026-2032 Six-Year Plan	Simon Allen Tim Hodge
#+ 8. Discussion of Enrollment Demand	Juan Espinoza
* 9. Approval of 2025-26 Faculty Compensation Plan	Simon Allen Tim Hodge
* 10. Approval of 2025-26 Compensation for Graduate Assistants	Tim Hodge
11. Discussion of Future Agenda Topics and Closing Remarks	Dave Calhoun

* Requires full Board approval

Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)

Briefing Report

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

June 3, 2025

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 Joint Closed Session:** The Committee will review and approve the items discussed in joint closed session.
 - b. **Approval of Minutes of the March 24-25, 2025 Meeting:** The Committee will review and approve the minutes of the March 24-25 meeting.
 - * c. **Approval 2025-26 Hotel Roanoke Conference Center Commission Budget:** The Hotel Roanoke Conference Center Commission was established by resolutions adopted by Virginia Tech and the City of Roanoke, under Commonwealth of Virginia enabling legislation. The enabling legislation provided that the Commission shall annually prepare and submit to both the City of Roanoke and Virginia Tech a proposed operating budget showing its estimated revenues and expenses for the forthcoming fiscal year. If the estimated expenses exceed the estimated revenues, the portion of the unfunded balance is to be borne equally by each participating party for the operation of the conference center.
 - * d. **Approval of 9(d) Debt Financing Resolution for the New Business Building:** The Committee will review for approval a debt financing resolution. This resolution identifies the Executive Vice President and Chief Operating Officer, the Vice President for Finance and Chief Financial Officer, and the Assistant Vice President for Finance and Associate Treasurer as Authorized Officers to execute and deliver all certificates and instruments and to take such further action as may be considered necessary or desirable in connection with the sale and issuance of the New Business Building. The financing for this project is not to exceed \$37.5 million.
 - * e. **Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies:** This is the university's annual notification to the Board of Visitors detailing the provisions of the Appropriation Act relating to indebtedness of state agencies, or unauthorized deficits.

- # 4. **Update on Advancement:** Charlie Phlegar, Senior Vice President for Advancement, will provide an update on new gifts and commitments and cash for the fiscal year. This will be Charlie Phlegar's last Board update as he is retiring this summer.
- * 5. **Approval of Year-to-Date Financial Performance Report (July 1, 2024 – March 31, 2025):** The Committee will review for approval the Year-to-Date Financial Performance Report for July 1, 2024 to March 31, 2025. 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. As of March 31, 2025, operating revenues and expenditures are on track.
- *# 6. **Approval of 2025-26 University Operating and Capital Budgets:** The Committee will review for approval the proposed university operating and capital budgets for 2025-26.

The Operating Budget for the 2025-26 fiscal year has a recommended internal budget for all operations of \$2.5 billion. This is an increase of \$174.2 million, approximately 7.6 percent, over the adjusted budget for last year (on a like-for-like basis the budget is 2.9% larger, with the remaining growth driven by certain activity processing being relocated from the Foundation to the University) . The university's total General Fund allocation is estimated to be approximately \$464.8 million, an increase of \$8.0 million over last year's adjusted budget. General Fund revenues will provide \$420.6 million in support for the instructional, research, and extension programs, \$40.6 million for student financial assistance, and \$3.7 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 \$36.0 million attributable to the Educational and General programs and \$30.5 million of projected growth in Auxiliary Enterprises. The Auxiliary Enterprise budget includes the budgets of four Auxiliary Systems; the Dormitory and Dining Hall System, the Electric Service Utility System, the University Services System, and, the Athletic Facilities System, in accordance with the resolutions authorizing and securing revenue bonds. The university's Educational and General budget will be \$1.2 billion and the Auxiliary Enterprise revenue budget is \$522.2 million for fiscal year 2025-26. The projected annual budget for Sponsored Programs is \$479.1 million, a decrease of \$4.7 million, or 1.0 percent lower than the adjusted budget for last year. The projected 2025-26 budget includes \$108.7 million of private funds which were previously paid directly by the Virginia Tech Foundation.

Understanding that strategic investments will not be realized solely through incremental new revenue, the university is planning for \$25 million of reinvestments over the next five years to support a portion of the multi-year initiative vision. For 2025-26, the university has identified \$10.7 million of university reinvestments and DEI Resolution savings. The reinvestments and savings will be aligned with initiatives to advance Global Distinction and the Virginia Tech Advantage.

The Capital Budget capital outlay program for 2025-26 is comprised of 16 Educational and General projects and three Auxiliary Enterprise projects for a total of 19 projects. The total multi-year capital program for 2025-26 includes approximately \$1.16 billion of authorizations with an annual expenditure budget of approximately \$147 million for 2025-26.

- #+ 7. **Update on the Development of the 2026-2032 Six-Year Plan:** The Committee will receive an update on the development of the 2026-2032 Six-Year Plan.
- #+ 8. **Discussion of Enrollment Demand:** The Vice President for Enrollment will lead a discussion of enrollment demand. Juan Espinoza, Vice President for Enrollment Management, will share key findings from the university's recent enrollment survey. Overall, the survey results indicate that Virginia Tech's brand is very strong, with major attributes including a vibrant campus life and school spirit, athletics, a strong alumni network, and opportunities to participate in undergraduate research projects. Additionally, prices and aid are well-optimized to market preferences, but with less flexibility in pricing for out-of-state students than in-state students.
- * 9. **Approval of 2025-26 Faculty Compensation Plan:** The Committee will review for approval the 2025-26 Faculty Compensation Plan. Based on the university's understanding of the state budget, a three percent faculty salary increase, effective on the July 1, 2025 paycheck, has been planned.

The university traditionally implements such state increases differentially on the basis of merit. In anticipation of this program, merit recommendations were developed during the spring of 2025, consistent with the proposed 2024-25 Faculty Compensation Plan. Implementation of this increase is subject to Board approval.

To maintain and improve upon the university's standing relative to the 50th percentile of the Top 20 Land Grant peers, the higher levels of competing offers received by key faculty, and to minimize the high cost of turnover, the university will continue to explore opportunities to improve the competitiveness of Virginia Tech faculty compensation.

- * 10. **Approval of 2025-26 Compensation for Graduate Assistants:** The Committee will review for approval the proposed 2025-26 schedule of stipends and support for the health insurance program for graduate students. The university proposes a 3.0 percent increase in the stipend scale, \$107 stipend supplement increase for graduate students, and the establishment of a minimum stipend of \$2,800 per month. The university also proposes streamlining the graduate assistant compensation to 11 pay range "steps" for 2025-26.
- 11. **Discussion of Future Agenda Topics and Closing Remarks:** The Committee will discuss possible topics for future meetings and other topics as needed.

Consent Agenda

- a. Approval of Items Discussed in Joint Closed Session
- b. Approval of Minutes of the March 24-25, 2025 Meeting
- * c. Approval of 2025-26 Hotel Roanoke Conference Center Commission Budget
- * d. Approval of a 9(d) Debt Financing Resolution for the New Business Building
- * e. Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies

Committee Minutes

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

Latham Ballroom A/B, the Inn at Virginia Tech

March 24-25, 2025

Open Session

March 24, 2025

Board members present: Janice Austin – Administrative and Professional Faculty Representative, Ed Baine (Rector), LaTawnya Burleson – Staff Representative, Dave Calhoun (Vice Rector), Sandy Davis, Nancy Dye, William Holtzman (via Zoom)*, Donald Horsley, Anna James, Starlette Johnson, Letitia Long, Ryan McCarthy, Rachel Miles – Faculty Representative, Jim Miller, Leslie Orellana – Undergraduate Student Representative, J. Pearson, William Poland – Graduate and Professional Student Representative, John Rocovich, Jeanne Stosser

**One Board member participated remotely from Florida while on vacation in accordance with Code of Virginia §2.2-3708.3(B) and the board's bylaws. A quorum was physically present.*

University personnel and guests: Lisa Abbott, Zackaria Al-Husainawi, Simon Allen, Lauren Augustine, Ella Aussey, William Babb, Bradley Babcock, Lauren Bach, James Bailey, Callan Bartel, Kenneth Belcher, Lisa Belden, Laura Belmonte, Haley Bennett, Ashleigh Bingham, Harrison Blythe, Michael Borowski, Stephanie Brady, James Bridgeforth, David Brunsmma, Rebecca Caldwell, Julie Carlson, Gregory Carter, Kaitlin Carter, Caleb Charpentier, Shayan Choudhry, Megan Christle, Kimberly Clark, Cyril Clarke, Emma Clevinger, Lance Collins, Al Cooper, Reeve Cordice, Catherine Cotrupi, Paige Crane, Thomas Crawford, Chandler Crean, Rachel Dalton, Kairavi Dandekar, Jessica Davis, Meaghan Dee, Benjamin D'Elia, Michelle Deramo, Andrew Dolbin-Macnab, Holli Drewry, Jared Duffy, Cedric Dunham Iii, Kevin Dye, Corey Earles, Jeffrey Earley, Eric Earnhart, Matthew Ebert, Alexander Efird, Abbey Erwin, Juan Espinoza, Ronald Fricker, Michael Friedlander, Ian Friend, Rachel Gabriele, Cliff Gaines, Jennifer Gallagher, Bryan Garey, Edward Gitre, Martha Glass, April Goode, Ellington Graves, Rebekah Gunn, Andrew Gunsch, Gia Ha, Nina Ha, Allison Hagee, Chelsea Haines, Brandon Hall, Silke Hauf, Kay Heidbreder, Janet Hilder, Timothy Hodge, Rachel Holloway, Elizabeth Hooper, Kristen Houston, Bailey Howell, Cyndi Hutchison, Alexis Isaac, Elizabeth Jamison, Robin Jones, Thomas Jones, Maryam Kamran, Eric Kaufman, Frances Keene, Nicholas Kocz, Meghan Kuhn, Sharon Kurek, Katherine Lafon, Ashley Leduc, Walter Lee, Kimberly Loeffert, Madeleine Macdougall, Meghan Madel, Robert Mann, Sarah Margolis, Sandra Martin, Elizabeth McClanahan, Megan Mchenry, Steven Mcknight, Nancy Meacham, Jessica Meltsner, Joseph Merola, Mallory Miller, Joseph Mills, Laurel Miner, Jeffrey Mitchell, Ronnie Mondal, Mike Mulhare, John Nuckols, Shane

*** Requires full Board approval**

Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)

Justin Nuuhiwa, Kelly Oaks, Kim O'Rourke, Marilyn Ortega, Stephanie Overton, Sarah Ovink, Mark Owczarski, Anna Gabrielle Patarinski, Jamie Penven, Charles Phlegar, Alexandra Pirkle, Lauren Pollard, Jonathan Porter, Courtney Powell, Menah Pratt, Kathryn Rappold, Patricia Raun, Ashley Reed, Susanna Rinehart, Daniel Robertson, Tanya Rogers, Julia Ross, Karen Sanders, Tim Sands, Saonee Sarker, Ryan Saunders, Glenda Scales, Kiera Schneiderman, Orlando Schwery, Amy Sebring, Rohsaan Settle, Brennan Shepard, Damira Shields, Oliver Shuey, Mark Sikes, Christine Smith, Jaida Smith, Maya Snyder, Tristan Southerland, Richard Sparks, Michael Staples, Michael Stowe, Emma Stubbe, Dan Sui, Aimee Surprenant, Don Taylor, Dwyn Taylor, Johnathan Taylor, Jon Clark Teglas, Alexander Thomas, Cathryn Thomas, Crasha Townsend, Timberly Tran, Mary Trigiani, Josef Uyeda, Jose Vargas-Muniz, Peggy Vilardo, Heather Wagoner, Haleigh Wallace, Bevelee Watford, Jennifer Wayne, Shauna Webb, Melinda West, Sarah Wickwire, Stacey Wilkerson, Lisa Wilkes, Iyaira Williams, Wendi Williams, Tiffany Willis, Paul Winistorfer, Christopher Wise, Christopher Yianilos

1. Motion to Reconvene in Open Session

2. Welcome and Opening Remarks

3. Consent Agenda: The Committee considered for approval and acceptance the items listed on the Consent Agenda.

a. Approval of Items Discussed in Closed Session: The Committee reviewed for approval the Ratification of Personnel Changes Report. During this presentation, Simon Allen, Vice President for Finance and Chief Financial Officer, noted that the salary threshold for inclusion in this report increased from \$125,000 to \$150,000. All other criteria remain unchanged.

b. Approval of Minutes of the November 19, 2024 Meeting

The Committee approved the items on the Consent Agenda.

4. State Legislative and Budget Update: The Committee received a state legislative update, including an overview of the legislation that passed and failed during the 2025 General Assembly session. This update also included information on the commonwealth's fiscal year 2026 budget and the one-time nature of much of the support.

***#+ 5. Resolution for Approval of 2025-26 Tuition and Fee Rates:** The Committee reviewed for approval a resolution to approve the proposed 2025-26 tuition and fee rates. The 2004 General Assembly authorized "Board of Visitors . . . of

*** Requires full Board approval**

Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)

institutions of higher education may set tuition and fee charges at levels they deem to be appropriate for all resident student groups based on, but not limited to, competitive market rates...” The Committee received an overview of the unavoidable cost drivers of tuition and fee rates, including state-mandated faculty and staff compensation, healthcare rate increases, and other unavoidable cost increases.

For 2025-26, the university proposes increases in tuition rates (2.9 percent) and mandatory educational and general (E&G) fee rates (0.4-2.7 percent) for: in-state and out-of-state undergraduate and graduate students; Virginia/Maryland Regional College of Veterinary Medicine students; and Virginia Tech Carilion School of Medicine students.

The university recommends an increase of \$186 to the total comprehensive fee and 4.4 percent average increase in room and board.

The Committee recommended the Resolution for Approval of 2025-26 Tuition and Fee Rates to the full Board for approval. Dave Calhoun introduced an amendment to the resolution based on the Governor’s amendment, released on March 24. The amendment read, “Contingent upon the outcome of the state budget, should a limit on tuition and mandatory educational and general fees for in-state undergraduates be adopted, the increases approved herein shall be modified to comply.”

- #+** 6. **Federal Legislative Update and Financial Impacts:** The Committee received a federal legislative update, including an overview of the financial impacts of recent federal legislative changes.
- *** 7. **Approval of Year-to-Date Financial Performance Report (July 1, 2024 – December 31, 2024):** The Committee reviewed for approval the Year-to-Date Financial Performance Report for July 1, 2024 to December 31, 2024. For the second quarter, budget adjustments were made to reflect revisions to projected revenues and expenditures. The report showed the actual revenues and expenses compared to the budgets and the overall status and expenditures of ongoing capital projects. As of December 31, 2024 operating revenues and expenditures are on track.

The Committee recommended the Year-to-Date Financial Performance Report to the full Board for approval.

*** Requires full Board approval**

Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)

8. Update on Advancement: University Advancement provided a mid-year report on activities and fundraising efforts including giving totals, campaign fundraising and engagement progress, and strategic work on a future roadmap.

9. University's Annual Financial Statements: The Committee received an overview of the university's annual financial statements for the fiscal year ending June 30, 2024. The financial statements have been prepared in accordance with generally accepted accounting principles, and the Auditor of Public Accounts (APA) issued an unmodified (or clean) opinion with no material weaknesses.

The institution is in a solid financial position. The steady return on net position indicates sustainable growth, positioning the institution well for future investments and economic uncertainties. Total revenues for fiscal year 2024 were \$2.37 billion, an increase of \$169.3 million or 7.7 percent over fiscal year 2023. Total operating expenses for fiscal year 2024 were \$1.95 billion, an increase of \$143.5 million or 7.9 percent over fiscal year 2023.

10. Intercollegiate Athletics Programs Report for Year Ended June 30, 2024: The Committee received a report on the Auditor of Public Accounts (APA) Intercollegiate Athletics Program Schedule of Revenues and Expenses review for fiscal year 2024. The APA has not identified any matters requiring adjustments to the Schedule at the time of the report. In addition to the Schedule, the agreed-upon procedures address internal controls, affiliated and outside organizations, and separate procedures for specific revenues and expenses.

Total revenues for fiscal year 2024 were \$140 million, an increase of \$10 million or 7.7 percent. Total expenses for fiscal year 2024 were \$133 million, an increase of \$16 million or 13.7 percent. Athletics-related long-term debt, leases and subscriptions at the end of fiscal year 2024 totaled \$89.7 million.

11. Discussion of Future Agenda Topics and Closing Remarks: The Committee did not discuss future agenda topics in the interest of time, and the Committee chair offered closing remarks.

There being no further business, the meeting adjourned at 3:43 p.m.

*** Requires full Board approval**

Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)

Joint Open Session

March 25, 2025

Board members present: Janice Austin – Administrative and Professional Faculty Representative, Ed Baine (Rector), LaTawnya Burleson – Staff Representative, Dave Calhoun (Vice Rector), Sandy Davis, Nancy Dye, William Holtzman (via Zoom)*, Donald Horsley, Anna James, Starlette Johnson, Letitia Long, Ryan McCarthy, Rachel Miles – Faculty Representative, Jim Miller, Leslie Orellana – Undergraduate Student Representative, J. Pearson, William Poland – Graduate and Professional Student Representative, John Rocovich, Jeanne Stosser

**One Board member participated remotely from Florida while on vacation in accordance with Code of Virginia §2.2-3708.3(B) and the board's bylaws. A quorum was physically present.*

University personnel and guests: Simon Allen, Susan Anderson, Mac Babb, Callan Bartel, Kenneth Belcher, Ashleigh Bingham, James Bridgeforth, Eric Brooks, Ren C., Ann Cassell, Cyril Clarke, Emma Clevinger, Al Cooper, Reeve Cordice, Catherine Cotrupi, Alison Cross, Daniel Crowder, Kyla Dance, Michele Deramo, Corey Earles, Jeff Earley, Eric Earnhart, Alisha Ebert, Alexander Efird, Juan Espinoza, Thomas Feely, Ron Fricker, Michael Friedlander, Ian Friend, Rachel Gabriele, Bryan Garey, Avery Gendell, Emily Gibson, Maurice Givens, Martha Glass, April Goode, Nina Ha, Chelsea Haines, Kay Heidbreder, Tim Hodge, Rachel Holloway, Elizabeth Hooper, Travis Jessee, Andrew Jessup, Anne Keeler, Frances Keene, Steve Kleiber, Meghan Kuhn, Kyle LeDuc, Barbara Lockee, Rob Mann, Elizabeth McClanahan, Steven McKnight, Nancy Meacham, Elizabeth Mitchell, Jeff Mitchell, Liza Morris, Mike Mulhare, Justin Noble, Stephanie Overton, Mark Owczarski, Gabrielle Patarinski, Charles Phlegar, Ashley Reed, Paul Richter, Tanya Rogers, Julia Ross, Lisa Royal, Tim Sands, Saonee Sarker, Ryan Saunders, Amy Sebring, Brennan Shepard, Damira Shields, Oliver Shuey, Mark Sikes, Ken Smith, Michael Staples, Michael Stowe, Dan Sui, Aimee Surprenant, Kristen Swanson Houston, John Talerico, Don Taylor, Marc Verniel, Rob Viers, Heather Wagoner, Haleigh Wallace, Jennifer Wayne, Stacey Wilkerson, Lisa Wilkes, Teresa An Wilson, Paul Winistorfer, Chris Wise, Chris Yianilos

- *#+ 1. Approval of the General Fund Capital Outlay Plan for 2026-2032:** The Committees reviewed for approval the 2026-2032 General Fund Capital Outlay Plan. The university prepares an updated Six-Year Capital Outlay Plan every two years as part of its normal planning and budgeting cycle. The Plan is a critical component of positioning the university for state support of major Educational and General projects and for advancing high priority projects that may be funded entirely with nongeneral fund resources. Traditionally, the state requires each institution to submit a capital plan in June of the year before a new biennium begins. The next state capital outlay plan will be for 2026-2032, and it will be

*** Requires full Board approval**

Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)

established in the 2025-26 budget development process. Based on that timetable, a plan from the university for 2026-2032 will be due to the state in June of 2025.

Preliminary work has been done to identify potential projects for inclusion in the 2026-2032 Capital Outlay Plan in anticipation of future guidance and instructions from the state. These projects are consistent with programmatic needs established for the planning period and with the strategic plan of the university, and they position the university with options to respond to guidance from the state.

Since the submission date for the new Plan may occur before the June 2025 Board of Visitors meeting, the university is requesting the review and approval of the list of potential projects for inclusion in the 2026-2032 Capital Outlay Plan for General Fund projects. The university will provide an update to the status of the 2026-2032 Plan, including the nongeneral fund portion of the Plan, at a future Board of Visitors meeting.

The Committees recommended the General Fund Capital Outlay Plan for 2026-2032 to the full Board for approval.

- * 2. **Approval of Resolution to Construct the New Business Building:** The Committees reviewed for approval a resolution to construct the New Business Building. This 92,300 gross square foot building will provide expanded, modern educational space sufficient to meet the demand for the Pamplin College of Business programs. The \$94 million total project cost will be funded with private gifts, nongeneral fund resources earmarked for the project, and debt that will be serviced by nongeneral fund revenues generated by the College.

The Committees recommended the Resolution to Construct the New Business Building to the full Board for approval.

- 3. **On-Campus Housing Update:** The Committees received an update on the university's on-campus housing. Executive Vice President and Provost Cyril Clarke emphasized its role in enrollment management and student success, outlining current occupancy allocations. Executive Vice President and Chief Operating Officer Amy Sebring described the on-campus housing inventory profile and provided context on renewal efforts and related strategies. The discussion reinforced the need for a strategic, data-driven approach to align on-campus housing with institutional goals and financial sustainability.

* Requires full Board approval

Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)

- * 4. **Approval of Resolution on the Student Life Village and Slusher Hall:** The Committees reviewed for approval a resolution on the Student Life Village and Slusher Hall. The Committees then considered a division of the question that separated the original resolution into two resolutions: one regarding plans for Slusher Hall, and another to discontinue planning for the Student Life Village.

The resolution regarding plans for Slusher Hall was not approved. The resolution to discontinue planning for the Student Life Village was recommended to the full Board for approval.

5. **Motion for Joint Closed Session:** The Committees made a motion for Joint Closed Session.

Nancy Dye moved that the Finance and Resource Management and Buildings and Grounds Committees of the Virginia Tech Board of Visitors convene in Closed Session, pursuant to §2.2-3711, Code of Virginia, as amended, to consider the following:

- Discussion or consideration of the disposition of publicly held real property, where discussion in an open meeting would adversely affect the bargaining position or negotiating strategy of the public body.
- Discussion concerning a prospective business or industry or the expansion of an existing business or industry where no previous announcement has been made of the business' or industry's interest in locating or expanding its facilities in the community.

all pursuant to the following subpart of §2.2-3711(A)(3) and §2.2-3711(A)(5), Code of Virginia, as amended.

The Committees discussed a real estate development opportunity. No action was taken.

6. **Motion for Joint Open Session:** The Committees motioned to reconvene in Joint Open Session.

WHEREAS, the Finance and Resource Management Committee of 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 provisions of the Virginia Freedom of Information Act; and

* Requires full Board approval

Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)

WHEREAS, §2.2-3711 of the Code of Virginia requires a certification by the Finance and Resource Management Committee that such closed meeting was conducted in conformity with Virginia Law;

NOW, THEREFORE, BE IT RESOLVED, that the Finance and Resource Management Committee of 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 Finance and Resource Management Committee.

There being no further business, the meeting adjourned at 12:23 p.m.

* Requires full Board approval

Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)

Approval of 2025-26 Hotel Roanoke Conference Center Commission Budget

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

May 16, 2025

The Hotel Roanoke Conference Center Commission was established by resolutions adopted by Virginia Tech on November 18, 1991 and by the City Council of the City of Roanoke, Virginia on April 13, 1992, pursuant to Chapter 440 of the 1991 Acts of Assembly of the Commonwealth of Virginia, adopted March 20, 1991, and as amended in 1994 and 1997. Section 21 B of the enabling legislation provides that the Commission shall annually, prior to April 1 of each year, prepare and submit to the participating parties (City of Roanoke and Virginia Tech) (i) a proposed operating budget showing its estimated revenues and expenses on an accrual basis for the forthcoming fiscal year, and if such estimated expenses exceed such estimated revenues, the portion of the deficit proposed to be borne by each participating, and (ii) a proposed capital budget showing its estimated expenditures for such fiscal year for assets costing more than \$20,000 (or such higher amount as the Commission and the participating parties may determine) and having an estimated useful life of twenty years or more and the source of funds for such expenditures, including any amount requested from the participating parties.

The Commission has adopted and approved the operating budget and planned capital expenditures for fiscal year 2025-2026 as shown on the following pages. Virginia Tech and the City of Roanoke will make equal contributions of \$80,000 to the Commission for fiscal year 2025-2026.

RECOMMENDATION:

That the Hotel Roanoke Conference Center Commission budget and capital plan for FY2025-2026 be approved.

June 3, 2025

**HOTEL ROANOKE CONFERENCE CENTER COMMISSION
OPERATING BUDGET
JULY 2025 - JUNE 2026**

Revenue from Participating Parties

City of Roanoke	\$ 80,000	
Virginia Tech	<u>\$ 80,000</u>	
Total Revenue from Participating Parties		<u>\$160,000</u>

Revenue from Operations

Conference Service	\$4,385,742	
Garage and Parking	\$759,856	
Miscellaneous Income	<u>\$658,940</u>	
Total Revenue from Operations		<u>\$5,804,538</u>

Total Revenue		<u>\$5,964,538</u>
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Expenses – Commission Administrative

Salaries & Fringe Benefits	\$83,255	
Fees for Professional Services	\$72,745	
Administrative Supplies	\$1,500	
Training & Development	\$2,500	
Total Expenses – Commission	<u>\$160,000</u>	

Expenses – Departmental

Conference Services	\$2,157,917	
Garage & Parking	<u>\$336,967</u>	
Total Departmental Expenses		<u>\$2,494,884</u>

Undistributed Operating Expenses

Administrative & General	\$586,322	
Information & Telecommunications Systems	\$94,395	
Sales & Marketing	\$922,832	
Property Operations	\$421,383	
Utilities	<u>\$345,102</u>	
Total Undistributed Expenses		<u>\$2,370,034</u>

Total Expenses		<u>\$4,864,918</u>
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Gross Operating Profit		<u>\$939,620</u>
Management Fees	<u>\$100,000</u>	

Non-Operating Income & Expenses

Commission	\$148,530	
Property & Other Taxes	\$1,930	
Other Expenses	\$5,700	
Insurance	<u>\$34,422</u>	

Total Non-Operating Income & Expenses Total	<u>\$190,582</u>	<u>\$290,582</u>
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Earnings Before Interest, Taxes, Depreciation FF&E Reserve	<u>\$290,227</u>	<u>\$649,038</u>
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Net Income		<u>\$358,811</u>
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Exhibit A

Hotel Roanoke Conference Center Capital Plan Budget FY2025-2026

Designer Fees for Public Space Renovations (Includes: Both Ballrooms, Washington Lecture, Paint, Vinyl, Carpeting, FF&E, Window Treatments, Water Filler Stations, etc.)	\$75,000
Design Fees for Public Space Restrooms	15,000
Designer Fees for Meeting Rooms Renovations/Upgrade (Includes: Carpet/Pad, Wall Vinyl, Planner Kits, Whiteboard, Painting, Doors, Hardware, Artwork, Drapery, Water Filling Stations, and Possible Technology Adjustments.) – Last performed 12/13. *This Item was Held from Last Year.	25,000
Renovation of All Public Space Restrooms	275,000
Acoustical Ceiling Replacement (Phase 2 of 2)	100,000
Patch & Seal Commonwealth Dr. (50/50) \$75k Shared	37,500
Replace Entire Main Service Hallway Flooring & Teammate Locker Rooms (33/67) \$100k Shared	33,000
Elevator #7 Replace Door Operator (32/68) \$52k Shared	16,640
Meeting Room Updates – Replace Carpet, Wall Vinyl, Paint, Tackable Surface, Doors, etc. *See Design Points (Scope) for Exact Listing.	650,000
Replace Service Corridor Floor (Upper & Lower Lever) – Last Replaced in 2010.	75,000
Upgrade CCTV Systems Including NVRs (33/67) \$30k Shared	9,900
Lithonia Upgrade (Phase 3 of 3) *Estimate	250,000
Replace Chiller #1 (33/67) \$800k Shared	264,000
Air Handler Units on Kitchen Roof (Phase 3 of 3) (68/32) \$58k Shared	18,560
Electric Car Charging (50/50) \$60k Shared	30,000
Replacement of 17" Meeting Room Digital Signs (Per Count: 31) \$7,500 Shared	7,500
Phone System (PBX and Admin Phone System) (33/67) \$159k Shared	49,500
Parking Lot Lighting Conversion to LED (50/50) \$80k Shared	40,000
Heating Boiler (Phase 3 of 3) (33/67) \$75k Shared	24,750
Admin PC Replacement (33/67) \$10k Shared	3,300
Contingency for Emergency Repairs/Replacement	50,000
Replace (2) Reach-In Coolers (32/68) \$12k Shared	3,840
Replace Large Exterior Doors at Tim Taylor's Office	9,000
Varimixer 80qt. Replacement (32/68) \$25k Shared	8,000
Tilt Skillet – 30gal. / Vario (32/68) \$40k Shared	12,800
Alto Shan Cook / Hold – 2 Units (32/68) Shared	9,600
Double Basket Fryer (New) (32/68) \$3k Shared	960
Replace Glass Washer Bar (32/68) \$5k Shared	1,600
Banquet Mobile Beer Chill Units (4) (Phase 1 of 2) (32/68) \$6k Shared	1,920
Replace Wooden Chiavari Chairs with Cushions	30,000
Replace Risers / Staging (Phase 1 of 2)	30,000
Electric Shuttle (25/75) \$35k Shared	8,750
Convection Oven (1-Stack) (Phase 2 of 4) (32/68) \$50k Shared	16,000
Silver Top Banquet Tables (Including Carts), Tray Jacks (Including Covers), Trays (67/33) \$45k Shared	30,150
Coat Racks – Wheeled	5,000
Easels & Black Covers with HR Logo	4,000
Audio System Modernization (Ex. Amplifiers, Digital Sound System, Network Hardware, In-Room Controls & Speakers) & Video Equipment Upgrades (Recording Rack)	150,000
Replace Exhaust Fans in CC (Phase 1 of 2)	5,000
40' x 40' MityLite Magnattach Dance Floor in Silver Ash with Silver Edging and Carts	40,000
Total	\$2,416,270

Approval of a 9(d) Debt Financing Resolution for the New Business Building

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

The New Business Building project will construct a 92,300 square foot building for the Pamplin College of Business. The New Business Building is envisioned as a four-story structure that will connect with the Data and Decision Sciences Building through a common area and provide expanded, modern, educational space sufficient to meet demand for the business programs. The site for the academic building is the northwest corner of campus near Prices Fork Road and West Campus Drive. The total \$94 million project need will be funded by \$36 million of private gift receipts, \$20.5 million of overhead, and \$37.5 million of bond proceeds. Debt will be serviced by outstanding pledge payments and the College of Business.

The debt will be issued as a general revenue pledge bond issued directly by the university. The resolution authorizes (1) the Executive Vice President and Chief Operating Officer, (2) the Vice President for Finance and Chief Financial Officer, and the (3) Assistant Vice President for Finance and Associate Treasurer (Authorized Officers) to execute and deliver all certificates and instruments and to take all such further action as may be considered necessary or desirable in connection with the sale and issuance of the bonds subject to the following parameters: (a) the principal amount to be paid under the bonds for any "new money" financing shall not exceed \$37.5 million in the aggregate plus amounts needed to fund issuance costs, original issue discount, other financing expenses and any other increase permitted by law; (b) the final maturity on any bonds shall not exceed 50 years from their date of issuance; and (c) subject to the foregoing, the actual amount, interest rates, principal maturities, and date of the bonds shall be approved by an Authorized Officer, as evidenced by the execution thereof.

**RESOLUTION OF THE BOARD OF VISITORS OF
VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY
FINANCING AUTHORIZATION FOR A NEW SCHOOL OF BUSINESS BUILDING**

WHEREAS, Chapter 26, Title 23.1 of the Code of Virginia of 1950, as amended, establishes a public institution of higher education under the name and style of Virginia Polytechnic Institute and State University (University) which is governed by a Board of Visitors (Board); and

WHEREAS, by Chapter 10, Title 23.1 of the Virginia Code (Restructuring Act), the University entered into a management agreement with the Commonwealth of Virginia (Management Agreement), which was enacted as Chapters 933 and 943 of the 2006 Virginia Acts of Assembly, pursuant to which the University is empowered with the authority to issue bonds for any purposes that is consistent with its institutional mission; and

WHEREAS, the Restructuring Act further authorizes the University to provide for the payment of the principal of and the interest on any bonds from, among other things, its revenues generally or from the income and revenues derived from the operation, sale, or lease of a particular project or projects; and

WHEREAS, the Board periodically desires to finance, on more than one occasion, projects for the University with financing pursuant to the Restructuring Act and the Management Agreement (Restructuring Act Financing); and

WHEREAS, the Board desires to authorize Restructuring Act Financing by the issuance of general revenue pledge bonds, in one or more series and on more than one occasion (Bonds) for the purposes of (1) financing all or a portion of the costs of a new building for the University's School of Business, and (2) financing if and as needed, capitalized interest, working capital and the costs of issuing the Bonds, all subject to the limitations and parameters set forth in this resolution (Project); and

WHEREAS, each series of Bonds will be issued under a bond resolution (Bond Resolution) the form of which will be determined in accordance with this resolution; and

WHEREAS, the Board desires to designate certain University officers delegated authority to approve the forms of and to execute and deliver the Bonds, the Bond Resolutions, and any amendments thereto, and any other documents necessary or desirable in connection with foregoing (Financing Documents);

NOW, THEREFORE, BE IT RESOLVED BY THE BOARD:

Section 1. The Project is hereby designated to be undertaken and financed by the University and, accordingly, the Executive Vice President and Chief Operating Officer, the Vice President for Finance and Chief Financial Officer, and the Assistant Vice President for Finance and Associate Treasurer (Authorized Officers) are each hereby delegated and invested with full power and authority to approve the forms of the Financing Documents, and any pledge to the payment of the Bonds and any amendment thereto of total gross University-sponsored overhead, unrestricted endowment income, tuition and fees, indirect cost recoveries, auxiliary enterprise revenues, general and nongeneral fund appropriations and other revenues not required by law or previous binding contract to be devoted to some other purpose, restricted by a gift instrument for another purpose or excluded from such pledge as provided in the Financing Documents, subject to the provisions of Section 3 hereof.

Section 2. The Authorized Officers are authorized and directed to determine whether to finance the Project and whether that financing will be undertaken through the issuance of Bonds. Subject to the provisions of Section 3 hereof, the Authorized Officers are each hereby delegated and invested with full power and authority to execute, deliver and issue, on behalf of the University, (a) the Financing Documents, with approval of such documents in accordance with Section 1 hereof evidenced conclusively by the execution and delivery of the respective document, and (b) any other documents, instruments or certificates as may be deemed necessary or desirable to finance costs of the Project through and participate in the Program, and to further carry out the purposes and intent of this resolution. The Authorized Officers are authorized and directed to take such steps and deliver such certificates in connection with delivery of the Financing Documents, and any amendment thereto, as may be required under any existing obligations, including bond resolutions relating to any outstanding general revenue pledge bonds.

Section 3. The authorizations given above as to the approval, execution, delivery and issuance of the Financing Documents are subject to the following parameters: (a) the principal amount to be paid under the Bonds for any "new money" financing shall not exceed \$37.5 million in the aggregate plus amounts needed to fund issuance costs, original issue discount, other financing expenses and any other increase permitted by law; (b) the final maturity on any Bonds shall not exceed 50 years from their date of issuance; and (c) subject to the foregoing, the actual amount, interest rates, principal maturities, and date of the Bonds shall be approved by an Authorized Officer, as evidenced by the execution thereof.

All officers of the University are authorized and directed to take all such further actions, including without limitation the designation of underwriters, paying agents, remarketing agents, trustees and liquidity providers for the Bonds, and to execute all such instruments, agreements, documents, and certificates as they shall deem necessary or desirable to carry out the terms of the financing plans presented to this meeting, including without limitation any liquidity facilities, swap or other interest rate management agreements associated with the Bonds.

Section 4. All acts of all officers of the University which are in conformity with the purposes and intent of this resolution and in carrying out the financing plans presented to this meeting are ratified, approved and affirmed. This resolution shall take effect immediately upon its adoption.

RECOMMENDATION:

That the resolution authorizing the issuance of 9(d) bonds for the New Business Building be approved.

June 3, 2025

Notification of Provisions of the Appropriation Act Relating to Indebtedness of State Agencies (Unauthorized Deficits)

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

June 3, 2025

§ 4-3.00 DEFICIT AUTHORIZATION AND TREASURY LOANS

§ 4-3.01 DEFICITS

a. GENERAL:

1. Except as provided in this section no state agency shall incur a deficit. No state agency receiving general fund appropriations under the provisions of this act shall obligate or expend moneys in excess of its general fund appropriations, nor shall it obligate or expend moneys in excess of nongeneral fund revenues that are collected and appropriated.

2. The Governor is authorized to approve deficit funding for a state agency under the following conditions:

- a) an unanticipated federal or judicial mandate has been imposed,
- b) insufficient moneys are available in the first year of the biennium for start-up of General Assembly-approved action, or
- c) delay pending action by the General Assembly at its next legislative session will result in the curtailment of services required by statute or those required by federal mandate or will produce a threat to life, safety, health or property.

d) Such approval by the Governor shall be in writing under the conditions described in § 4-3.02 a Authorized Deficit Loans of this act and shall be promptly communicated to the Chairmen of the House Appropriations and Senate Finance Committees within five calendar days of deficit approval.

3. Deficits shall not be authorized for capital projects.

4. The Department of Transportation may obligate funds in excess of the current biennium appropriation for projects of a capital nature not covered by § 4-4.00 Capital Projects, of this act provided such projects a) are delineated in the Virginia Transportation Six-Year Improvement Program, as approved by the Commonwealth

Transportation Board; and b) have sufficient cash allocated to each such project to cover projected costs in each year of the Program; and provided that c) sufficient revenues are projected to meet all cash obligations for such projects as well as all other commitments and appropriations approved by the General Assembly in the biennial budget.

b. UNAUTHORIZED DEFICITS: If any agency contravenes any of the prohibitions stated above, thereby incurring an unauthorized deficit, the Governor is hereby directed to withhold approval of such excess obligation or expenditure. Further, there shall be no reimbursement of said excess, nor shall there be any liability or obligation upon the state to make any appropriation hereafter to meet such unauthorized deficit. Further, those members of the governing board of any such agency who shall have voted therefor, or its head if there be no governing board, making any such excess obligation or expenditure shall be personally liable for the full amount of such unauthorized deficit and, at the discretion of the Governor, shall be deemed guilty of neglect of official duty and be subject to removal therefor. Further, the State Comptroller is hereby directed to make public any such unauthorized deficit, and the Director, Department of Planning and Budget, is hereby directed to set out such unauthorized deficits in the next biennium budget. In addition, the Governor is directed to bring this provision of this act to the attention of the members of the governing board of each state agency, or its head if there be no governing board, within two weeks of the date that this act becomes effective. The governing board or the agency head shall execute and return to the Governor a signed acknowledgment of such notification.

c. **TOTAL AUTHORIZED DEFICITS:** The amount which the Governor may authorize, under the provisions of this section during the current biennium, to be expended from loans repayable out of the general fund of the state treasury, for all state agencies, or other agencies combined, in excess of general fund appropriations for the current biennium, shall not exceed one and one-half percent (1 1/2%) of the revenues collected and paid into the general fund of the state treasury as defined in § 4-2.02 b. of this act during the last year of the previous biennium and the first year of the current biennium.

d. The Governor shall report any such authorized and unauthorized deficits to the Chairmen of the House Appropriations and Senate Finance Committees within five calendar days of deficit approval. By August 15 of each year, the Governor shall provide a comprehensive report to the Chairmen of the House Appropriations and Senate Finance Committees detailing all such deficits.

Update on Advancement

Charlie Phlegar, Senior Vice President for Advancement

June 3, 2025

Financial Performance Report – Operating and Capital

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

July 1, 2024 to March 31, 2025

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 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 year-to-date budget is prepared from historical data which reflects trends in expenditures from previous years as well as known changes in timing. Differences between the actual income and expenditures and the year-to-date budget may occur for a variety of reasons, such as an accelerated or delayed flow of documents through the accounting system, a change in spending patterns at the college level, or increases in revenues for a particular area.

Quarterly budget estimates are prepared to provide an intermediate measure of income and expenditures. Actual revenues and expenditures may vary from the budget estimates. The projected year-end budgets are, however, the final measure of operating budget performance.

Capital program performance is measured against the Total Project Budget. The Total Project Budget amounts reflect appropriations and authorizations established by the state or Board of Visitors for each capital project. These amounts are recorded in the accounting system with revenue and expenditure budgets upon the effective date of each project, which normally occurs on July 1 or after Board of Visitors approval. Under restructuring authorities, university administration may make minor changes to a Total Project Budget, within ten percent, and the revised Total Project Budget is shown on the subsequent quarterly report. The Cumulative Expenditures reflect lifetime-to-date activity until a project is complete, and a project's life spans multiple fiscal years. The Annual Budgets are estimates of expected activity for a 12-month portion of the life of a project. Spending pace for a project may periodically slow or accelerate during a year for a variety of reasons including shifts in construction start dates, contractor performance or billing cycles, and supply chain disruptions. The Annual Budgets are revised accordingly and shown on the subsequent quarterly report.

RECOMMENDATION:

That the report of income and expenditures for the University Division and the Cooperative Extension/Agricultural Experiment Station Division for the period of July 1, 2024 through March 31, 2025 and the Capital Outlay report be accepted.

June 3, 2025

OPERATING BUDGET

2024-25

Dollars in Thousands

	July 1, 2024 to March 31, 2025			Annual Budget for 2024-25		
	Actual	Budget	Change	Original	Adjusted	Change
Educational and General Programs						
<u>University Division</u>						
<u>Revenues</u>						
General Fund	\$209,011	\$209,011	\$0	\$288,480	\$294,023	\$5,543 (6)
Tuition and Fees	717,039	714,596	2,443	736,209	733,609	-2,600 (7)
All Other Income	45,428	46,962	-1,534 (1)	59,850	62,519	2,669 (8)
Total Revenues	\$971,478	\$970,569	\$909	\$1,084,539	\$1,090,151	\$5,612
<u>Expenses</u>						
Academic Programs	\$-498,074	\$-500,160	\$2,086	\$-653,902	\$-657,286	\$-3,384
Support Programs	-339,234	-339,723	489	-430,637	-432,865	-2,228
Total Expenses	\$-837,308	\$-839,883	\$2,575	\$-1,084,539	\$-1,090,151	\$-5,612 (6,7,8)
NET	\$134,170	\$130,686	\$3,484	\$0	\$0	\$0
<u>CE/AES Division</u>						
<u>Revenues</u>						
General Fund	\$69,332	\$69,332	\$0	\$92,942	\$92,847	\$-95 (9)
Federal Appropriation	12,030	12,789	-759 (2)	15,647	17,761	2,114 (10)
All Other Income	1,439	1,257	182	1,426	1,601	175 (11)
Total Revenues	\$82,801	\$83,378	\$-577	\$110,015	\$112,209	\$2,194
<u>Expenses</u>						
Academic Programs	\$-81,878	\$-81,430	\$-448 (2)	\$-101,199	\$-103,217	\$-2,018
Support Programs	-6,604	-6,901	297	-8,816	-8,992	-176
Total Expenses	\$-88,482	\$-88,331	\$-151	\$-110,015	\$-112,209	\$-2,194 (9,10,11)
NET	\$-5,681	\$-4,953	\$-728	\$0	\$0	\$0
Auxiliary Enterprises						
Revenues	\$442,096	\$433,417	\$8,679 (3)	\$480,384	\$491,746	\$11,362 (3)
Expenses	-341,167	-354,282	13,115 (3)	-459,984	-495,305	-35,321 (3)
Reserve Drawdown/(Deposit)	-100,929	-79,135	-21,794 (3)	-20,400	3,559	23,959 (3)
NET	\$0	\$0	\$0	\$0	\$0	\$0
Sponsored Programs						
Revenues	\$398,606	\$386,707	\$11,899 (4)	\$510,079	\$525,079	\$15,000 (12)
Expenses	-388,053	-394,449	6,396 (4)	-510,079	-525,079	-15,000 (12)
Reserve Drawdown/(Deposit)	-10,553	7,742	-18,295	0	0	0
NET	\$0	\$0	\$0	\$0	\$0	\$0
Student Financial Assistance						
Revenues	\$63,575	\$63,996	\$-421	\$63,337	\$65,209	\$1,872 (13)
Expenses	-62,779	-62,423	-356	-63,337	-65,209	-1,872 (13)
Reserve Drawdown/(Deposit)	-796	-1,573	777	0	0	0
NET	\$0	\$0	\$0	\$0	\$0	\$0
All Other Programs *						
Revenue	\$11,433	\$11,893	\$-460	\$18,211	\$18,018	\$-193 (14)
Expenses	-7,338	-10,110	2,772 (5)	-18,211	-19,765	-1,554 (14)
Reserve Drawdown/(Deposit)	-4,095	-1,783	-2,312 (5)	0	1,747	1,747 (14)
NET	\$0	\$0	\$0	\$0	\$0	\$0
Total University						
Revenues	\$1,969,989	\$1,949,960	\$20,029	\$2,266,565	\$2,302,412	\$35,847
Expenses	-1,725,127	-1,749,478	24,351	-2,246,165	-2,307,718	-61,553
Reserve Drawdown/(Deposit)	-116,373	-74,749	-41,624	-20,400	5,306	25,706
NET	\$128,489	\$125,733	\$2,756	\$0	\$0	\$0

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

OPERATING BUDGET

1. University Division All Other Income revenues are lower than projected due to lower ancillary self-supporting activity and continuing education programs.
2. The budget for federal revenue is established to match projected allotments from the federal government that are expected to be drawn down during the state fiscal year. All expenses in federal programs are covered by drawdowns of federal revenue up to allotted amounts. Federal revenue in the Cooperative Extension and Agriculture Experiment Station Division is lower than projected due to timing of federal drawdowns.
3. Quarterly and projected annual variances are explained in the Auxiliary Enterprises section of this report.
4. Historical patterns have been used to develop a measure of the revenue and expenditure activity for Sponsored Programs. Actual revenues and expenses may vary from the budget estimates because projects are initiated and concluded on an individual basis without regard to fiscal year. Total sponsored research revenues are higher than projected. The sponsored research expenditures are 7.9% higher than March 31, 2024.
5. Expenses for All Other Programs were lower than projected due to lower than projected Surplus Property activity.
6. The annual University Division general fund budget was increased \$5.4 million for the VT share of Statewide one-time Virginia Military Survivors and Dependents Education Program (VMSDEP) waiver pool. The budget was increased \$0.2 million for central appropriation adjustments. The budget was decreased \$0.1 million for the Tech Talent master's MOU adjustment. The corresponding expenditure budgets have been adjusted accordingly.
7. The annual budget for Tuition & Fees was decreased \$2.1 million for higher than projected VMSDEP waiver activity and \$1.0 million for one-time student financial aid support. To reflect updated enrollment level and mix, the budget for undergraduate was increased \$1.7 million, for graduate increased \$0.8 million, for professional programs decreased \$0.7 million, and for summer 2024 decreased \$1.3 million. The corresponding expenditure budgets have been adjusted accordingly.
8. The University Division All Other Programs Income budget was increased \$2.0 million to reflect increased activity in the CVM Veterinary Teaching Hospital and \$0.7 million for the finalization of the VTC SOM budget. The corresponding expenditure budgets have been adjusted accordingly.
9. The annual budget for Cooperative Extension/Agriculture Experiment Station Division General Fund decreased \$0.1 million for the general fund share of state compensation programs and fringe benefit rate changes. The corresponding expenditure budgets have been adjusted accordingly.
10. The federal revenue budget in the Cooperative Extension/Agricultural Experiment Station Division has been increased \$2.1 million for the carryover of federal funds to FY25. The corresponding expenditure budgets have been adjusted accordingly.
11. The All Other Income budget in the Cooperative Extension/Agriculture Experiment Station Division has been increased \$0.2 million for higher than projected VCE self-generated revenue. The corresponding expenditure budgets have been adjusted accordingly.
12. The Sponsored Programs grants and contracts revenue and expenditure budgets were increased \$15 million to reflect higher than projected activity levels.
13. The student financial assistance revenue and expenditure budgets were increased \$0.3 million for the FY25 Pell Grant Initiative Programs, \$0.4 million for increased Virginia Military Survivors and Dependents Education Program and \$1.2 million to support the nongeneral fund scholarship program.
14. The projected annual budgets for All Other Programs were decreased \$0.2 million to finalize budgets. The projected annual expense budgets were increased \$1.7 million for outstanding 2023-24 commitments that were initiated but not completed before June 30, 2024.

AUXILIARY ENTERPRISES

Dollars in Thousands

	July 1, 2024 to March 31, 2025			Annual Budget for 2024-25		
	Actual	Budget	Change	Original	Adjusted	Change
Residence and Dining Halls *						
Revenues	\$176,605	\$174,102	\$2,503 (1)	\$184,819	\$182,289	\$-2,530 (5,6)
Expenses	-114,478	-119,216	4,738 (1)	-179,256	-183,297	-4,041 (5,6,7)
Reserve Drawdown/(Deposit)	-62,127	-54,886	-7,241 (1)	-5,563	1,008	6,571 (6,7)
Net	\$0	\$0	\$0	\$0	\$0	\$0
Parking and Transportation						
Revenues	\$25,357	\$25,440	\$-83	\$26,078	\$27,828	\$1,750 (8)
Expenses	-15,810	-16,651	841	-23,789	-24,917	-1,128 (6,7,8)
Reserve Drawdown/(Deposit)	-9,547	-8,789	-758	-2,289	-2,911	-622 (6,7,8)
Net	\$0	\$0	\$0	\$0	\$0	\$0
Telecommunications Services						
Revenues	\$24,006	\$22,556	\$1,450 (2)	\$23,347	\$23,587	\$240 (6)
Expenses	-16,449	-17,725	1,276 (2)	-22,557	-26,206	-3,649 (6,7)
Reserve Drawdown/(Deposit)	-7,557	-4,831	-2,726 (2)	-790	2,619	3,409 (6,7)
Net	\$0	\$0	\$0	\$0	\$0	\$0
University Services * **						
Revenues	\$68,273	\$67,211	\$1,062 (3)	\$69,450	\$69,450	\$0
Expenses	-54,400	-58,150	3,750 (3)	-68,664	-74,041	-5,377 (6,7,9)
Reserve Drawdown/(Deposit)	-13,873	-9,061	-4,812 (3)	-786	4,591	5,377 (6,7,9)
Net	\$0	\$0	\$0	\$0	\$0	\$0
Intercollegiate Athletics *						
Revenues	\$86,914	\$86,300	\$614	\$101,540	\$110,820	\$9,280 (6,10)
Expenses	-88,570	-88,784	214	-96,923	-111,338	-14,415 (6,7,10)
Reserve Drawdown/(Deposit)	1,656	2,484	-828	-4,617	518	5,135 (6,7,10)
Net	\$0	\$0	\$0	\$0	\$0	\$0
Electric Service *						
Revenues	\$37,018	\$35,800	\$1,218	\$48,576	\$49,415	\$839 (6)
Expenses	-34,463	-35,236	773	-46,410	-49,096	-2,686 (6,7)
Reserve Drawdown/(Deposit)	-2,555	-564	-1,991	-2,166	-319	1,847 (6,7)
Net	\$0	\$0	\$0	\$0	\$0	\$0
Inn at VT/Skelton Conf. Center						
Revenues	\$10,573	\$9,915	\$658	\$14,171	\$14,171	\$0
Expenses	-10,379	-10,401	22	-12,788	-14,276	-1,488 (7)
Reserve Drawdown/(Deposit)	-194	486	-680	-1,383	105	1,488 (7)
Net	\$0	\$0	\$0	\$0	\$0	\$0
Other Enterprise Functions ***						
Revenues	\$13,350	\$12,093	\$1,257 (4)	\$12,403	\$14,186	\$1,783 (6,11)
Expenses	-6,618	-8,119	1,501 (4)	-9,597	-12,134	-2,537 (6,7,11)
Reserve Drawdown/(Deposit)	-6,732	-3,974	-2,758 (4)	-2,806	-2,052	754 (6,7,11)
Net	\$0	\$0	\$0	\$0	\$0	\$0
TOTAL AUXILIARIES						
Revenues	\$442,096	\$433,417	\$8,679	\$480,384	\$491,746	\$11,362
Expenses	-341,167	-354,282	13,115	-459,984	-495,305	-35,321
Reserve Drawdown/(Deposit)	-100,929	-79,135	-21,794	-20,400	3,559	23,959
Net	\$0	\$0	\$0	\$0	\$0	\$0

* University Systems include Dormitory and Dining Hall System, University Services System, Intercollegiate Athletics System, and Electric Service System. The Systems were created to provide assurance to bond holders that system revenues are pledged for the payment of debt service and to allow for dedicated repair and replacement that are not subject to liens of any creditor of the university.

** University Services System includes Career & Professional Development, Center for the Arts, Health Services, Recreational Sports, Student Engagement & Campus Life, Cultural and Community Centers, Student Organizations, and the VT Rescue Squad.

*** Other Enterprise Functions include Hokie Passport, Library Photocopy, Licensing & Trademark, Little Hokie Hangout, New Student and Family Programs, Pouring Rights, Software Sales, Tailor Shop and Clearing Accounts.

AUXILIARY ENTERPRISE BUDGET

1. Revenues in Residence and Dining Halls are higher than projected due to higher than budgeted self-generated revenues primarily from interest earnings and summer conferences. Expenses are lower than projected due to the timing of expenses and one-time facility improvement projects.
2. Revenues in Telecommunications Services are higher than projected due to higher than budgeted self-generated revenues. Expenses are lower than projected due to the timing of network telecommunication projects.
3. Revenues for the University Services System are higher than projected due to higher than budgeted self-generated revenues. Expenses lower than projected due to timing of operating expenses and facility projects scheduled for summer months.
4. Revenues for Other Enterprise Functions are higher than projected due to increased business volume in New Student Programs and Licensing. Expenses are lower than projected due to the timing of operating expenses and facility projects.
5. The annual revenue and expense budgets for Residence and Dining Halls were decreased \$6.3 million for lower dining business volume and increased \$2.5 million for higher residential occupancy and one-time furniture and equipment replacement.
6. In June 2024, the annual revenue, expense, and reserve budgets for Auxiliary Enterprises were adjusted for technical alignments and finalization of fixed cost estimates.
7. The annual expense budget for Auxiliary Enterprises was increased \$22.1 million for outstanding 2023-24 commitments and projects that were initiated but not completed before June 30, 2024.

Auxiliary Enterprise	Outstanding Commitments
Residence and Dining Halls	\$ 6,575,218
Parking and Transportation	1,564,851
Telecommunication Services	3,407,884
University Services System	4,241,856
Intercollegiate Athletics	2,513,098
Electric Service	1,097,019
Inn at Virginia Tech	1,489,009
Other Enterprise Functions	1,252,065
Totals	\$ 22,141,000

8. The annual revenue, expense, and reserve budgets for Parking and Transportation Services were increased \$1.8 million for higher business volume and decreased \$0.3 million for lower operating expenses.
9. The annual expense and reserve budgets for the University Services System were increased \$1.7 million for Student Engagement and Campus Life maintenance project expenses.
10. The annual revenue and expense budgets for Intercollegiate Athletics were increased \$1.3 million to accommodate the football team's participation in the Duke's Mayo Bowl. The annual revenue budget was increased \$1.2 million for concert revenue, \$0.6 million for self-generated revenues, \$0.2 million for licensing revenues, and \$8.5 million for private support, partially offset by ACC conference revenue shortfall of \$2.7 million. The annual expense budget was increased \$0.9 million for concert expenses, \$0.9 million for salary adjustments, \$4.1 million for team travel and sports operating expenses, \$4.1 million for facility projects and maintenance, and \$0.4 million for student athlete medical costs.
11. The annual expense and reserve budgets for Other Enterprise Functions were increased for scholarship expenses in Licensing and Trademark. In addition, the annual revenue, expense, and reserve budgets were increased for the transition of Virginia Tech Services to an auxiliary unit.

CAPITAL OUTLAY PROJECTS
AUTHORIZED AS OF MARCH 31, 2025
Dollars in Thousands

	PROJECT INITIATED	FISCAL YEAR ACTIVITY		TOTAL PROJECT BUDGET					CUMULATIVE EXPENDITURES
		ANNUAL BUDGET	YTD EXPENDITURES	STATE SUPPORT	NONGENERAL FUND	REVENUE BOND	TOTAL BUDGET		
EDUCATIONAL AND GENERAL PROJECTS									
<u>Design Phase</u>									
New Business Building	Apr 2022	\$ 6,300	\$ 2,704	\$ -	\$ 8,000	\$ -	\$ 8,000	3,877	(1)
Expand VT-C SOM & Fralin Biomedical Research Institute	Sept 2023	3,500	1,940	-	9,000	-	9,000	1,959	(2)
Improve Center Woods Complex	Nov 2023	829	328	14,404	296	-	14,700	345	(3)
Improve Campus Accessibility	Jul 2024	881	14	8,000	-	-	8,000	14	(4)
Planning: CVM Teaching Hospital Renovation & Expansion	Aug 2024	500	7	-	4,300	-	4,300	7	(5)
Planning: Improvements to Eastern Shore AREC	Sept 2024	500	21	1,515	-	-	1,515	21	(6)
Planning: Repair Derring Hall Envelope	Oct 2024	250	67	1,624	-	-	1,624	67	(7)
Planning: Rescue Squad Facility	Nov 2024	400	5	-	2,000	-	2,000	5	(8)
<u>Construction Phase</u>									
Maintenance Reserve	On-going	18,580	13,426	20,645	-	-	20,645	13,426	(9)
Livestock & Poultry Research Facilities, Phase I	Oct 2016	4,000	2,253	31,764	-	-	31,764	27,244	(10)
Building Envelope Improvements	Aug 2022	8,000	1,023	-	13,580	33,620	47,200	6,858	(11)
Life, Health, Safety, Accessibility, & Code Compliance	Jul 2020	2,800	2,297	10,400	-	-	10,400	8,455	(12)
Mitchell Hall (Replace Randolph Hall)	Jul 2020	30,000	13,166	264,453	27,828	-	292,281	29,029	(13)
<u>Equipment and Special Initiatives</u>									
Fralin Biomedical Research Institute Equipment	Jul 2020	245	145	18,133	-	-	18,133	18,034	(14)
Equipment for Workforce Development	May 2021	5,000	3,686	42,437	-	-	42,437	15,830	(15)
<u>Close-Out</u>									
Corps Leadership and Military Science Building	Jun 2019	2,036	844	-	21,600	30,400	52,000	50,424	(16)
Hitt Hall	Apr 2017	9,112	6,372	-	33,600	51,400	85,000	80,257	(17)
Undergraduate Science Laboratory Building	Jul 2017	16,000	12,545	90,412	-	-	90,412	83,515	(18)
Innovation Campus - Academic Building	Jul 2019	40,895	34,279	177,164	80,336	44,636	302,136	269,991	(19)
TOTAL EDUCATIONAL AND GENERAL PROJECTS		\$ 149,829	\$ 95,123	\$ 680,950	\$ 200,540	\$ 160,056	\$ 1,041,547	\$ 609,357	

CAPITAL OUTLAY BUDGET

Education and General Projects

1. New Business Building: This project will design a 92,300 gross square foot building for the Pamplin College of Business. Working drawings are underway and construction pricing expected in May 2025.
2. Planning: Expand Virginia Tech-Carilion School of Medicine and Fralin Biomedical Research Institute: This planning project will design a new 100,000 gross square foot building for the VT-C School of Medicine, 25,000 gross square foot ground floor parking, and renovate 51,000 gross square feet of the existing School of Medicine and Research Institute building to be backfilled by the Fralin Biomedical Research Institute. Schematic design is nearing completion and cost estimates are underway.
3. Improve Center Woods Complex: This project will demolish the existing 12 facilities that have surpassed their useful life and construct 25,900 GSF of research laboratories, research support spaces, equipment storage and offices. Construction was authorized during the 2023 General Assembly Session. The total project budget reflects the capital budget request submission and may be revised by the Commonwealth's Six-Year Capital Advisory Committee (Six-PAC) at the completion of preliminary design. Preliminary design is underway.
4. Improve Campus Accessibility: This project improves pedestrian connectors to ensure accessible service in the southeastern zone of campus project and targets the section of the infinite loop from East Eggleston Hall to Dietrick Hall. Schematic design is underway.
5. Planning: College of Veterinary Medicine Teaching Hospital Renovation & Expansion: This planning project will design a new 32,000 gross square foot addition and 25,000 gross square foot renovation for the College of Veterinary Medicine Teaching Hospital's academic program. Procurement for AE services is in process.
6. Planning: Improvements to Eastern Shore AREC: This planning project will design a 13,500 square foot services complex to support research at the Eastern Shore AREC and renovate the 14,000 square foot main building. Procurement for AE services are complete and schematic design is underway.
7. Planning: Repair Derring Hall Envelope: This planning project will design a repair solution for the exterior envelope of Derring Hall. Planning amount was received from the Commonwealth. Recommendations for repairs are complete and design is underway.
8. Planning: Rescue Squad Facility: This planning project will design a new 12,500 gross square foot facility for the Virginia Tech Rescue Squad (VTRS). Procurement of AE services is in process.
9. Maintenance Reserve: The total project budget reflects \$1.759 million of carryforward from fiscal year 2024 and \$18.885 million of new appropriations from the State for fiscal year 2025. The annual budget amount reflects the pace necessary to meet the state's 85 percent spending performance requirement.
10. Livestock & Poultry Research Facilities, Phase I: The new swine, poultry, beef, and equine facilities are substantially complete. A supplement from the State to support the fifth and final bid package has been received. Construction of three hay barns and the demolition swine facilities past their useful life are underway with substantial completion expected December 2025.
11. Building Envelope Improvements: This project will complete envelope improvements to four buildings.
12. 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 complete. Accessible pathway improvements from Perry Street to the Drillfield are under construction with substantial completion expected May 2025. The accessible pathways between Patton Hall, Holden Hall, and McBryde Hall is expected September 2025.
13. Mitchell Hall (Replace Randolph Hall): This project will replace Randolph Hall with an approximately 285,500 gross square foot building to accommodate engineering instruction and research. Demolition and sitework is underway. Initial pricing for the remainder of the project, GMP-2, was received with subcontractor pricing for mechanical and electrical trades resulting in budget that would exceed the project's authorization. Supplement funding for those trades is included in the Budget Bill for the 2025 General Assembly session.
14. Fralin Biomedical Research Institute Equipment: This funding supports the procurement and installation of specialized research equipment for the Fralin Biomedical Research Institute.
15. Equipment for Workforce Development: This project supports space and equipment purchases for the instructional programs associated with the Tech Talent Investment Program.
16. Corps Leadership and Military Science Building: The project is closed.
17. Hitt Hall: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.
18. Undergraduate Science Laboratory Building: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.
19. Innovation Campus – Academic Building: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.

Capital Outlay Projects Authorized as of March 31, 2024 (Continued)

Dollars in Thousands

	PROJECT INITIATED	FISCAL YEAR ACTIVITY		TOTAL PROJECT BUDGET				
		ANNUAL BUDGET	YTD EXPENDITURES	STATE SUPPORT	NONGENERAL FUND	REVENUE BOND	TOTAL BUDGET	CUMULATIVE EXPENDITURES
AUXILIARY ENTERPRISE PROJECTS								
<u>Design Phase</u>								
<u>Construction Phase</u>								
Maintenance Reserve	On-going	\$ 14,500	\$ 9,896	\$ -	\$ 14,500	\$ -	\$ 14,500	\$ 9,896 (1)
<u>Close-Out</u>								
New Upper Quad Residence Hall	Jun 2019	600	301	-	16,071	25,929	42,000	39,793 (2)
Student Wellness Improvements	Jun 2016	12,000	9,682	-	25,574	44,426	70,000	66,139 (3)
Football Locker Room Renovations	Jun 2023	2,500	1,632	-	5,900	-	5,900	4,593 (4)
Planning: Student Life Village, Phase I	Jun 2023	7,500	4,087	-	19,500	-	19,500	4,401 (5)
TOTAL AUXILIARY ENTERPRISE PROJECTS		\$ 37,100	\$ 25,597	\$ -	\$ 81,545	\$ 70,355	\$ 151,900	\$ 124,821
GRAND TOTAL		\$ 186,929	\$ 120,720	\$ 680,950	\$ 282,085	\$ 230,411	\$ 1,193,447	\$ 734,178

CAPITAL OUTLAY BUDGET (Continued)

Auxiliary Enterprise Projects

1. 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 2025. 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.
2. New Upper Quad Residence Hall: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.
3. Student Wellness Improvements: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.
4. Football Locker Room Renovation: The project is complete and will be closed and financial accounts terminated when final invoices are received and paid.
5. Planning for Student Life Village, Phase I: Following the March 2025 Board of Visitors decision, the Student Life Village project will no longer proceed. The project will be closed and financial accounts terminated when final invoices are received and paid.

Financial Performance Report

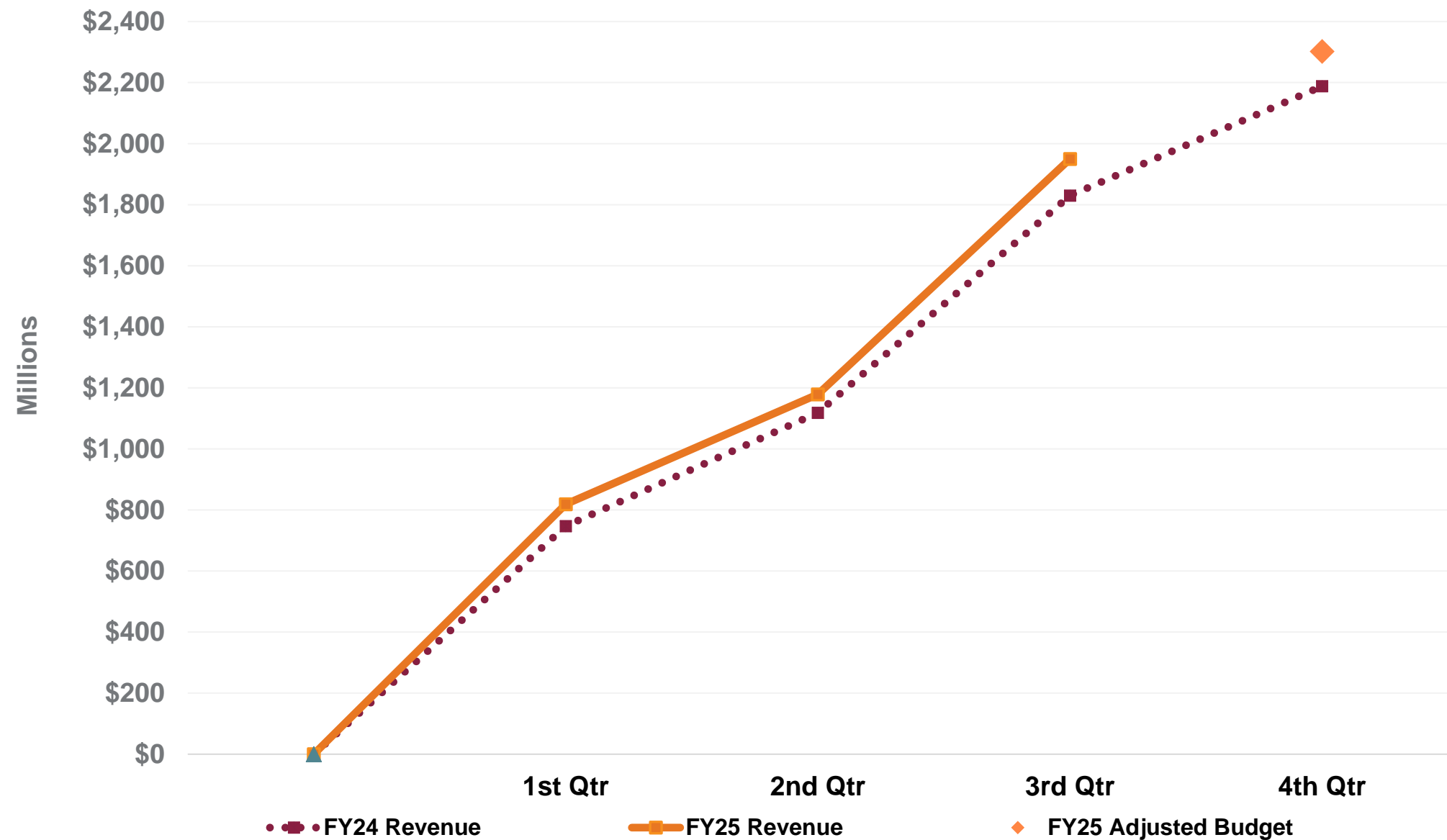
July 1, 2024 – March 31, 2025

Tim Hodge, Associate Vice President of Budget and Financial Planning

Rob Mann, Assistant Vice President for Capital Budgeting and Financing

June 3, 2025

Operating Revenues



Operating Sources & Uses | University Consolidated

Cash Basis - \$ in Thousands

	FY23 Q3	FY24 Q3	FY25 Quarter 3		Variance Analysis	
			FY25 Q3	FY25 Q3	Projected Budget v. Actual	
			Projected Budget	Actuals	Dollars	Percentage
<u>Sources</u>	<i>Actual</i>	<i>Actual</i>				
Tuition & E&G Fees (net)	\$ 680,732	\$ 711,160	\$ 739,214	\$ 741,350	\$ 2,136	0.3%
State Appropriations	261,417	271,557	317,721	317,606	(114)	0.0%
Federal (VCE/AES)	11,303	11,683	12,789	12,030	(759)	-5.9%
Sponsored Programs(Direct & Indirect)	303,736	370,998	386,707	398,606	11,899	3.1%
Auxiliary Enterprise Revenue & Fees	368,103	398,770	433,417	442,096	8,679	2.0%
Other	49,981	65,813	60,112	58,299	(1,814)	-3.0%
Total Operating Revenue	\$ 1,675,272	\$ 1,829,981	\$ 1,949,960	\$ 1,969,988	\$ 20,027	1.0%
<u>Uses</u>						
Personnel Costs						
Salaries (includes GAs & Wage)	743,537	817,374	\$ 893,789	\$ 866,996	\$ 26,793	3.0%
Fringe Benefits	217,999	236,518	261,301	253,631	7,671	2.9%
Financial Aid, Appropriated (a)	47,240	48,145	62,423	62,779	(356)	-0.6%
General Expense & Services (Operating)	305,007	333,148	368,056	372,195	(4,139)	-1.1%
Continuous Charges (utilities, leases, insurance)	101,821	120,447	133,068	137,388	(4,319)	-3.2%
Debt Service	15,795	27,916	30,841	32,138	(1,298)	-4.2%
Total Operating Expenses	\$ 1,431,399	\$ 1,583,548	\$ 1,749,478	\$ 1,725,127	\$ 24,352	1.4%
Net from Operations	\$ 243,872	\$ 246,433	\$ 200,482	\$ 244,861	\$ 44,379	22.1%

Footnote

(a) In the Commonwealth of Virginia, appropriated student financial aid is a subset of the entire student financial aid program.

Annual Budget Changes During the Quarter

Sponsored Programs

- \$15.0 million increase for higher than projected federal Grants and Contract activity.
 - Yet uncertainty remains about future Federal funding due to changing Federal priorities.

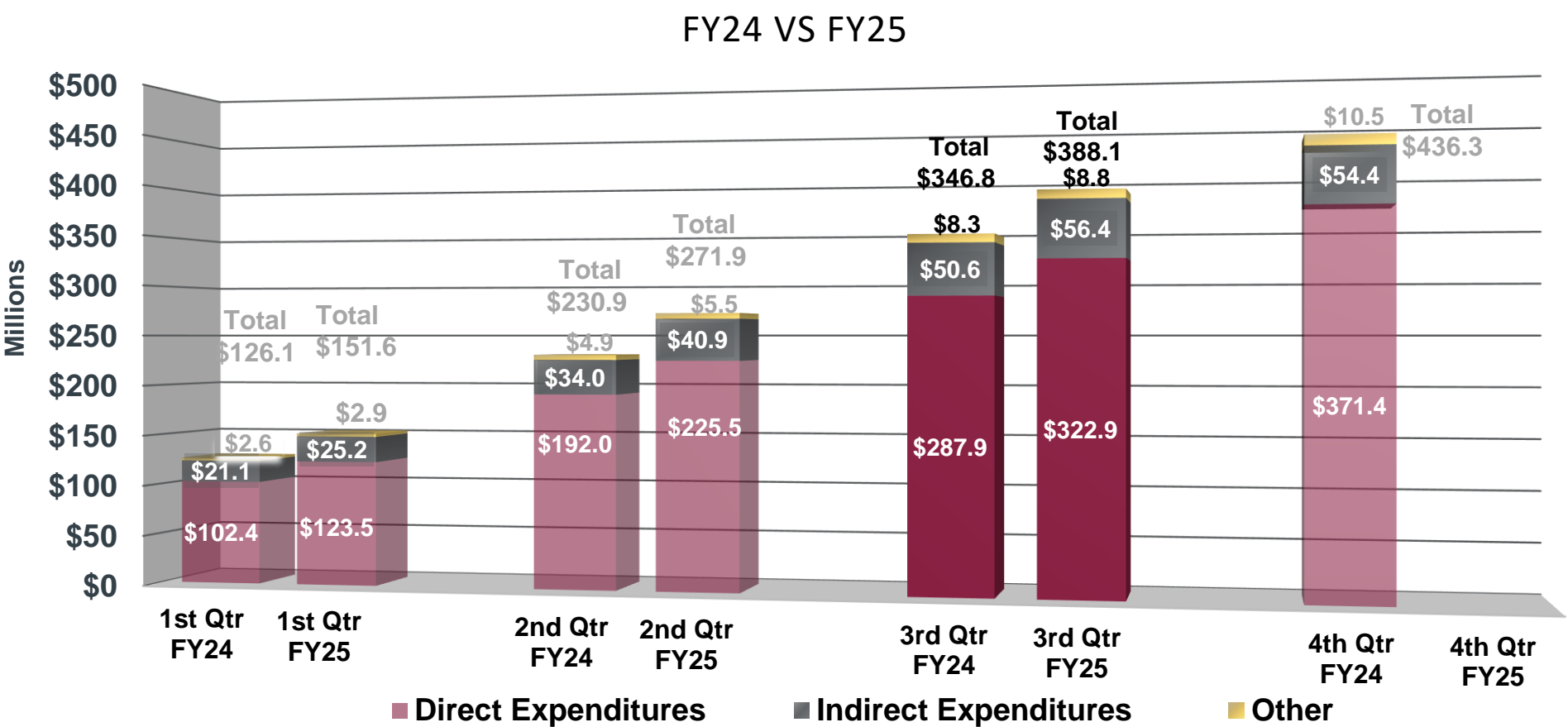
Student Financial Aid

- \$0.4 million increase for higher than projected general fund VMSDEP stipends.

Auxiliary Enterprises

- Residential: \$2.5 million increase for higher occupancy and one-time facility improvement projects
- Athletics: \$7.8 million revenue increase primarily associated with private support and \$10.5 million expense increase for sports operating, facility projects, contracts, and team travel





Sponsored Program Expenditures



There is considerable uncertainty over current and future Federal program and grant activities due to changing Federal priorities

Capital Program

Capital Outlay Total Program

	1 st Quarter Ended	2 nd Quarter Ended	3 rd Quarter	4 th Quarter
 Design	8	9	8	
 Construction	7	7	6	
 Equipment	2	2	2	
 Closeout	6	6	8	
Total Projects	23	24	24	
Total Budget (\$ in Thousands)	\$1,189,823	\$1,193,447	\$1,193,447	
Total Expenditures (\$ in Thousands)	\$665,311	\$697,223	\$734,178	

Timing for Construction Pricing



Cumulative design expenses through March 31, 2025- \$6,294,000

Projects Coming Online



Cumulative construction expenses through March 31, 2025 - \$94,908,000

Approval of Year-to-Date Financial Performance Report

July 1, 2024 – March 31, 2025

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, 2024 through March 31, 2025 and the Capital Outlay report be approved.

June 3, 2025

Proposed FY26 Operating and Capital Budgets

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

May 15, 2025

The university provides the Board of Visitors with an overview of the operating budget and capital cash flows for the upcoming fiscal year to enable board action in advance of July 1. Attached schedules include Schedule 1, which displays the university's overall operating budget; Schedule 2, which displays the Auxiliary budgets; and Schedule 3, which displays the projected fiscal year cash flows of previously approved capital projects.

State Appropriations

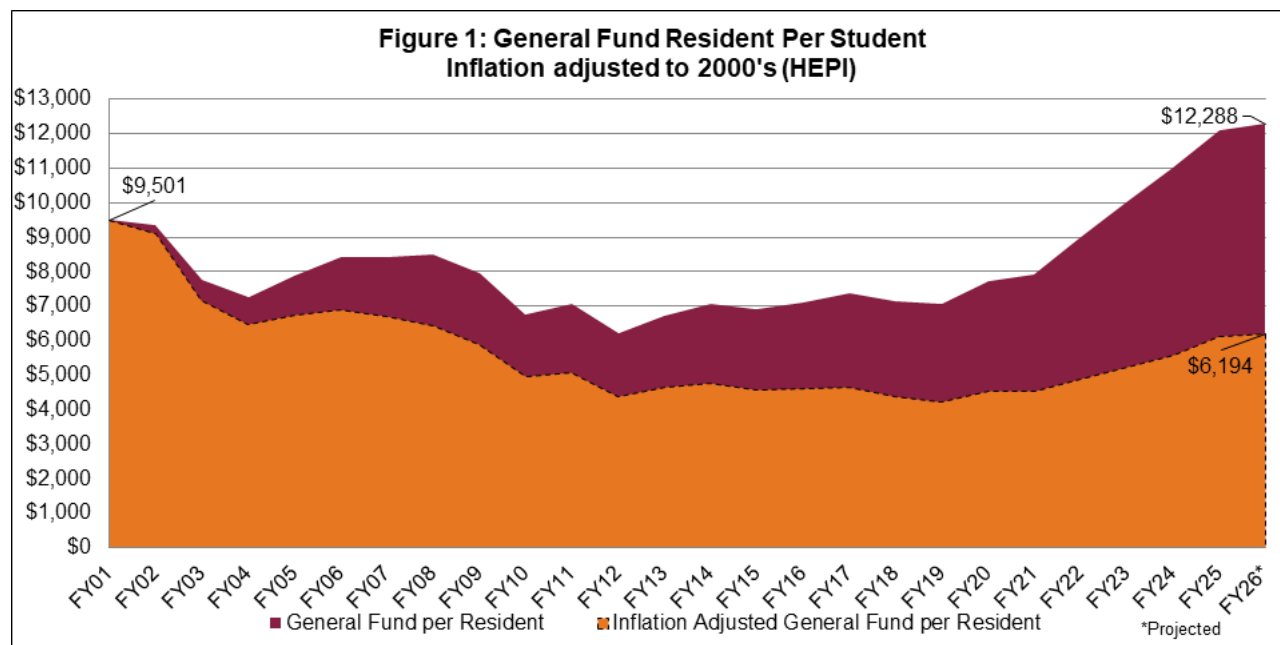
With the approval of the 2024-26 amended biennial state budget, the university is able to develop its internal budgets for 2025-26 fiscal year (FY26). The biennial budget provides the university with an understanding of the level of state support, costs, and policy for university program budgets. Virginia Tech anticipates an initial state authorization of \$2.1 billion for fiscal year FY26 to carry out all its programs, based on the forecast of direct appropriations to the university. However, the annual internal budget varies from the external expenditure authorization for several reasons, some of which increase the annual expenditure authority while others reduce the expenditure plans. For example, the university's expenditure authorization will be adjusted when the state allocates funding for the state share of compensation and fringe benefit rate changes. Additionally, under the sum sufficient authority granted as part of restructuring, nongeneral fund appropriations may be established as needed by the institution. For these reasons, the total internal budget presented to the Board of Visitors in Schedule 1 totals \$2.5 billion.

Forecast of State Budget Revenue Changes

For FY26, the university forecasts an incremental increase in General Fund appropriation of \$8.0 million from the adjusted FY25 budget. This is comprised of an estimated General Fund increase of \$10.4 million for Educational and General (E&G) programs in the University Division (Agency 208), an estimated increase of \$2.9 million for the programs in the Cooperative Extension and Agricultural Experiment Station (Agency 229), an increase of \$0.7 million for undergraduate and graduate Student Financial Aid, and a decrease of \$6.0 million for the removal of the Virginia Tech Patient Research Center funding from the FY26 state budget (funded was provided in the FY25 state budget). As shown in Table 1 on page 4, the General Fund increase for the University Division includes changes in direct appropriations, the estimated general fund share of state compensation program, and fringe benefit rate increases.

With these state resources, the state support per Virginia student will grow in FY26. Total state support per Virginia student for FY26 is projected to be 29.3 percent above the funding provided in 2001. The growth in per-student funding is a positive signal of the state's continued support of higher education and for Virginia Tech. The university enrolls over 5,000 additional Virginia undergraduates as compared to fall 2004. However,

adjusted for inflation, the university will receive 34.8 percent less General Fund support per student than in fiscal year 2001, as seen in Figure 1. It is important to note that this analysis presents the state support in the most favorable light since it includes all General Fund resources allocated to E&G, including support for activities beyond instruction such as research and public service. Figure 1 below is presented in this manner because it is a commonly utilized perspective by external groups.

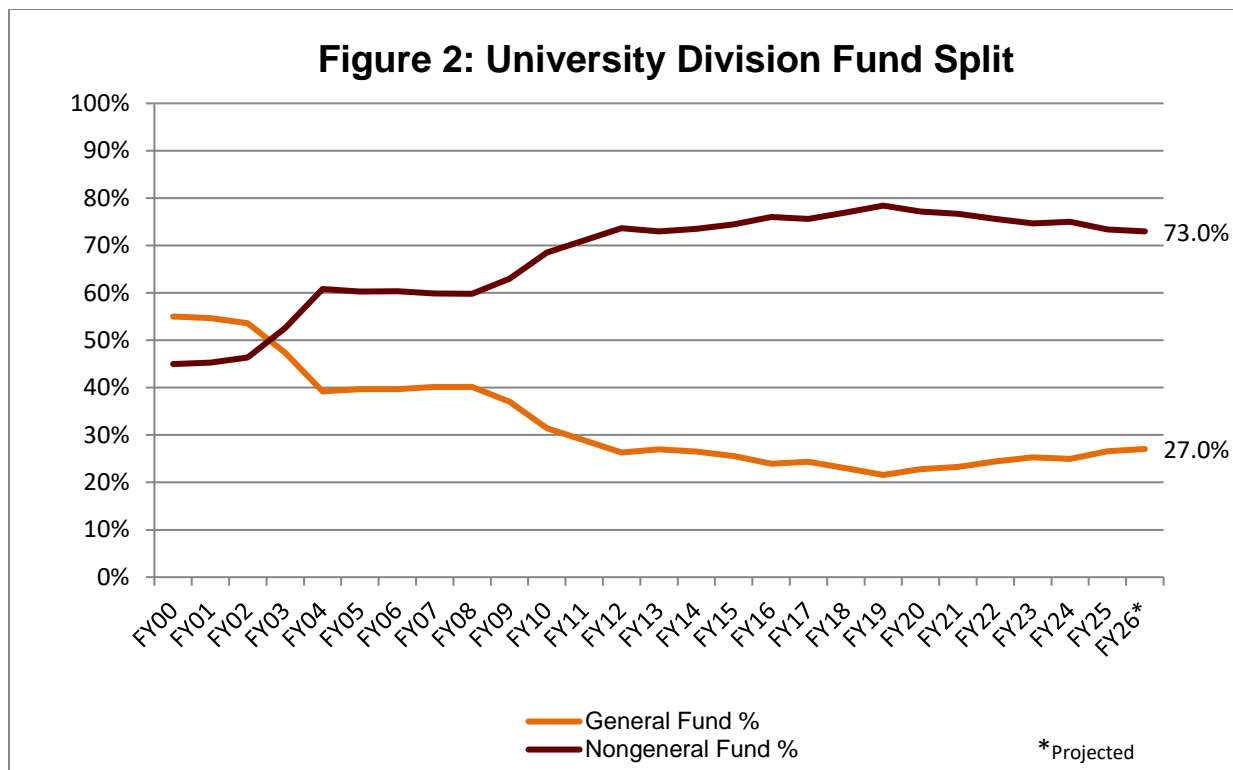


Proposed Budgets for FY26

For FY26, the recommended internal budget for all operations is \$2.5 billion. This is an increase of \$174.2 million, approximately 7.6 percent, over the adjusted FY25 budget. This increase reflects changes in nongeneral fund revenues for FY26, outcomes of the 2025 General Assembly Session which impacts the FY26 General Fund appropriation, and the recognition of private revenues in the university budget as they are drawn from the VTF to reimburse those expenditures.

The total General Fund allocation is estimated to be approximately \$464.8 million, an increase of \$8.0 million from the FY25 adjusted budget. General Fund revenues will provide \$420.6 million in support for the instructional, research, and extension programs, \$40.6 million for student financial assistance and \$3.6 million for the Unique Military Activities program.

As shown in Figure 2 below, the General Fund appropriation represents 27.0 percent of the University Division's E&G budget (as compared to 53.6 percent in the FY02 budget) and 18.8 percent of the total budget.



Schedule 1 displays the proposed operating budgets for FY26 by major program and revenue and expense category. Schedule 2 is an expansion of the projected auxiliary operations budgets, categorized by major activity. These schedules also display the FY25 budget, as approved in June 2024, and the current adjusted FY25 budget for comparison purposes. This report provides a brief discussion of the changes in the operating budget for each of the major programs.

E&G Programs

The university's E&G budget will be \$1.2 billion in FY26. The E&G budgets for the University Division (Agency 208) and the Cooperative Extension/Agricultural Experiment Station Division (Agency 229) are displayed on Schedule 1.

The year-to-year comparison of the budget in Schedule 1 reflects an overall revenue increase in the E&G program of \$36.8 million, or 3.1 percent, over the adjusted FY25 budget.

The FY26 E&G operating budgets have been developed utilizing the following forecasted state funding support for the university in FY26:

Table 1 - Projected General Fund Change from FY25 E&G Adjusted Budget to
FY26 E&G Proposed Budget

in millions

	University Division	VCE/AES Division	
State Share of Salary and Fringe Benefit Rate Changes	\$9.8	\$2.9	*
State Share of Property Insurance Changes and other minor adjustments	0.6	-	
E&G Program General Fund Change	\$10.4	\$2.9	

* Estimate - these items funded by the state at a later date

The percentage of the E&G budget for the University Division provided by the General Fund remained consistent with the FY25 adjusted budget at 27.0 percent.

The FY26 tuition and fee budget increased \$30.0 million, or 4.1 percent, over the adjusted FY25 budget. The increase in tuition and fee budgets is attributable to both the increase of tuition rates as approved by the Board of Visitors at the March 2025 meeting and enrollment growth. The increase includes unfunded and tuition-funded scholarships to student aid programs and adjustments to the other E&G fee budgets. Unfunded scholarships support both undergraduate need-based aid and a portion of the graduate tuition remission program. Tuition and fee funded scholarships are targeted to support the institution's strategic priorities, including enrollment growth and the Virginia Tech Advantage program. Additionally, the revenue from the Facility and Equipment fee will be transferred to the commonwealth for debt service on new facilities and equipment; thus, it is not reflected in the net revenue total.

Virginia Tech/Wake Forest SBES Budgets

In August 2002, the Board of Visitors of Virginia Tech adopted a resolution that authorized the establishment of the Virginia Tech-Wake Forest University School of Biomedical Engineering and Sciences. The collaboration agreement outlines the relationship and responsibilities of each party and requires budget approval by the governing board. In accordance with this requirement, the FY26 recommended budget includes \$7.3 million for Virginia Tech's School of Biomedical Engineering and Science within the overall university budget as displayed within the 208 Educational and General budgets on Schedule 1.

Auxiliary Enterprises

The university provides certain essential support services (e.g., Residence Halls and Dining Programs) through the operation of Auxiliary Enterprises. These enterprises are intended to be financially self-supporting and do not receive tuition revenue or general fund support. The Auxiliary Enterprises are supported by charging for all the services

provided to cover direct costs and reimburse the E&G program for all indirect costs in accordance with state requirements.

Auxiliary Enterprise Systems

As self-supporting activities, Auxiliary Enterprises also fund the debt service on auxiliary facilities including four systems operated under master debt covenants (Dormitory and Dining System, Electric Service Utility System, University Services System and the Athletic Facilities System). In compliance with the resolution authorizing and securing the system revenue bonds, the rates and charges for the next fiscal year are sufficient for the operating, maintenance and repair, debt service, and reserve requirements. The university works to ensure that all Auxiliary Enterprises remain in good working order, are in compliance with the terms and conditions of the bond covenants, and effectively deliver essential support services.

The total FY26 auxiliary revenue budget is \$522.2 million, a growth of \$30.5 million or 6.2 percent over the adjusted FY25 budget. This increase includes resources to cover proposed changes in state authorized compensation programs and fringe benefit rate changes, intercollegiate athletics operations, service needs for student health and counseling services, student programming, transit contract operating costs, maintenance of existing facilities, and the cost of new facilities.

Financial Assistance for E&G Programs (primarily Sponsored Programs)

The projected annual budget for Sponsored Programs is \$479.1 million, a decrease of \$46.0 million, or 8.7 percent, from the FY25 adjusted budget. The decrease in the FY26 budget is due to the realignment of \$41.3 million to Private funds, a decrease of \$6.0 million for the removal of the FY26 Patient Research Center General Fund support, and other minor technical updates.

While there are multi-faceted challenges facing federally funded research and exact outcomes are unknown, the university's FY26 budgets for Sponsored Programs are held constant with the FY25 budget levels in recognition of the current uncertainty in federally funded grants and contracts. Once more is known, budgets will be adjusted accordingly and the board updated.

The Sponsored Programs budget is comprised primarily of grant and contract activities but also includes returned overhead, the Enterprise Fund for distance learning, and General Fund support for research. The most significant activity in this category is externally sponsored research.

Appropriated Student Financial Assistance

The projected FY26 budget for the Appropriated Student Financial Assistance program is \$67.6 million, an increase of \$2.4 million. The change in the Student Financial Aid budget is comprised of a \$0.7 million increase in general fund support, continued university investment into the Virginia Tech Advantage Initiative to support access and

affordability, support to increase the Funds for the Future Program income protection threshold to families with incomes below \$115k, and the VT Scholarship Program.

The appropriated Student Financial Assistance budget is comprised of \$40.6 million of state General Fund support for undergraduate scholarships, graduate fellowships, and estimates for the Virginia Military Survivors and Dependents Stipend activity, Two–Year College Transfer Grants, and the Pell Initiative Grant program administered by the State Council of Higher Education for Virginia. This budget includes \$27.0 million in nongeneral fund Student Financial Assistance.

Given that appropriated resources are only a portion of the total student financial assistance program, the university provides the Board with an annual report on the total student financial assistance program each November. The November report includes Appropriated Student Financial Assistance, unfunded scholarships, codified waivers, private support (from the Virginia Tech Foundation), federal support, and third-party aid.

Private Funds

Beginning in FY26, to improve and streamline service to the campus community, the university will process expenditures previously paid by the Virginia Tech Foundation to support university programs. This enables the simplification of university procurement and accounts payable functions and will lead to efficiencies for purchasing departments as well as university and foundation business services teams. As a part of this new service, the university will recognize private revenues in the university budget as they are drawn from the VTF to reimburse those expenditures. The estimated budget for these activities in FY26 is \$150.0 million based on the historic trend of expenditure levels.

All Other Programs

The All Other Programs component is comprised of the Unique Military Activities appropriation, surplus property, federal work study program, and local funds. The annual budget for these funds is based on historical trends and projections of activity levels by program managers. These programs are funded by resources designated for specific purposes. For All Other Programs, the recommended budget is \$18.5 million, and reflects a \$0.5 million increase from the adjusted budget for FY25.

Planned Change in Reserves

Existing state requirements, along with the university's budgeting and financial management strategies, generally result in the establishment of breakeven budgets for the major budget components, with the exception of Auxiliary Enterprises. This practice will continue in FY26, where only the auxiliary budgets project an addition to the reserves as of June 30, 2026. The projected addition of \$16.9 million is the result of the intentional rebuilding of reserves in specific auxiliaries where expenditures in prior years created the need for restoring the reserves so that it may operate as a revolving fund. In other cases, the projected addition to reserves reflects the temporary positive impact of planning activities for new capital projects. The FY26 budget for Auxiliary Enterprises is also

designed to ensure that the reserve levels remain in compliance with bond covenants as well as SCHEV reserve targets.

Compensation Plan

The university plans to implement faculty and staff compensation programs for FY26 consistent with the outcome of the of the general assembly. The attached operating budget includes funding, consistent with traditional funding principles, for the following proposed employee compensation actions:

- 3.00 percent faculty compensation program.
 - In addition, the university will fund the Promotion and Tenure cost for those faculty approved for Promotion and Tenure increases.
- 3.00 percent stipend increase and \$107 stipend supplement increase for graduate assistants and increase the stipend floor minimum to \$2,800 per month, if approved by the Board of Visitors.
- 3.00 percent Classified Staff salary increase. Classified Staff are defined as staff members hired before July 1, 2006 who have not subsequently converted to the University Staff system.
- 3.00 percent University Staff compensation program.

Initiatives and Reinvestments

As previously reviewed, the university has a bold five-year plan for strategic investments focused on VT Advantage, Global Distinction, and Enabling Infrastructure. Strategic investments will be needed to realize the Beyond Boundaries vision. Incremental year-over-year investments based on major strategic priority area are outlined in Table 2, below.

Table 2 – University Plan for Strategic Investments				
\$ in millions	FY26	FY27	FY28	FY29
Virginia Tech Global Distinction	\$13.1	\$14.4	\$13.3	\$13.1
Virginia Tech Advantage (less) Governmental & Private Funding	7.6 (4.0)	8.0 (4.4)	8.1 (4.5)	8.2 (4.7)
Enabling Infrastructure	10.5	10.5	10.5	10.5
Total	\$27.2	\$28.5	\$27.4	\$27.1

The plan for funding these strategic investments will not be realized solely through incremental new revenue (state, private, institutional resources), but will require the university to make strategic internal reinvestments. Strategic reinvestments seek to avoid

reactionary responses and enable multi-year planning. By embracing a forward-looking approach, the university is fostering progressive solutions and facilitating long-term planning.

Reinvestment of existing institutional resources is needed to support a portion of the initiative vision over the 5-year planning period. The university continues to envision a \$25 million reallocation reinvestment program. For FY26, the university has identified reinvestments and DEI Resolution savings totaling \$10.7 million, comprised of \$5.2 million of university and unit-based reinvestments and \$5.5 million of DEI resolution savings. These reinvestments and savings will be aligned with strategic objectives that advance the university's strategic priorities of VT Global Distinction, Virginia Tech Advantage, and enabling infrastructure.

The university identified reinvestments and DEI resolution savings which reduce or eliminate activities, such as the capture of salary savings through targeted reorganizations, turnover, and vacancies, identified subscription cancellations, sunset programs, and implemented business process changes to facilitate the redeployment of those resources to advance Virginia Tech Global Distinction and the Virginia Tech Advantage program. Over the next year, the President's Council will continue working on opportunities to continue to consider how the university operates and to look for additional opportunities to free up existing resources that can be redirected in accordance with the university's strategic priorities.

Budget Allocations

The process of finalizing the FY26 operating budget allocations for the colleges and major operating units is currently underway. This process will be completed in June 2025 and issued to the university community by the Executive Vice President and Chief Operating Officer. The Office of Budget and Financial Planning will allocate these budgets to the colleges and vice-presidential areas in time for the departments to open the new fiscal year with the allocations in place in the university accounting system. The university develops the annual budget as a one-year quantification of the university's strategic plan. The strategic plan is the framework for enacting the university's mission.

Capital Outlay Projects

Virginia Tech's capital outlay program includes projects for the University Division and the Cooperative Extension/Agricultural Experiment Station Division. Initiation of a capital project requires authorization of a budget and funding sources from the state or the Board of Visitors.

The state appropriates projects supported entirely or partially with General Fund revenues. The university requests General Fund appropriations for new projects as part of the state capital budget cycle. If appropriated, these projects normally become effective and are added to the program at the beginning of a fiscal year.

Under the restructuring legislation and the 2006 Management Agreement between the commonwealth and the university, the Board of Visitors has the authority to authorize capital projects funded entirely with nongeneral fund resources. New projects approved by the Board of Visitors become effective upon approval of a university resolution and are reflected in the subsequent Financial Performance Report.

The university develops a financing plan to support the entire budget of each capital project prior to its initiation. Upon initiation, the whole project budget is entered into the accounting system. The revenues to support capital expenditure budgets are a mix of state support, university supported debt, and self-generated cash resources including private gifts. When projects have multiple sources of funding, the university generally utilizes the resources in the following order: state support, bond proceeds, and then cash. This order allows the most effective use of the university's nongeneral fund resources.

The typical project lifespan is three to five years. Cash flow models are used to predict the pace of spending by month for each project for its anticipated life. This analysis is then used to plan the timing to move resources to a project budget on an as needed basis. Under this approach, project resources are held in their most productive location for as long as possible to maximize earnings. This analysis is further used to optimize the timing for external debt issuances to manage exposure to the cost of capital and arbitrage spend down requirements.

Each active capital project is included on the Financial Performance Report for its entire fiscal life and until all its funds in the accounting system are terminated. A Project is removed from the Financial Performance Report at the end of the fiscal year it closes.

The portfolio of the capital outlay program for FY26 is comprised of 16 Educational and General projects and 3 Auxiliary Enterprise projects for a total of 19 projects with a total program budget of \$1.16 billion and an estimated annual budget of approximately \$147 million. This includes the following new funding items in the General Assembly budget: \$66.8 million supplement for Mitchell Hall (Replace Randolph Hall) project, \$24.2 million for Maintenance Reserve, and \$6.3 million for the Equipment for Workforce Development project.

Schedule 3 lists the projects by program and phase of progress. Each project is listed with the total project authorization by revenue source for FY26, annual budget for FY26, and estimated balance at the close of FY26. Capital project performance is measured against the total project budget authorization. The accuracy of annual budgets, and the cash flows models on which they are based, are generally most sensitive to projected construction start dates. For example, a large project that enters construction three months later than expected may underspend its annual budget by several million dollars for the fiscal year. Adjustments in spend pace do not impact the expected total budget, but rather the timing of planned expenditures.

RECOMMENDATION:

That the proposed FY26 operating budget and capital expenditure projections, as displayed on Schedules 1, 2, and 3, be approved.

June 3, 2025

**TOTAL OPERATING BUDGET FOR VIRGINIA TECH
FY26**

(Dollars in Thousands)

	FY25 Original Budget	FY25 Adjusted Budget	FY26 Recommended Budget
<u>Revenues</u>			
Educational and General			
University Division			
General Fund	\$288,479	\$294,023	\$304,458
Tuition and Fees	736,209	733,609	763,598
All Other Income	59,850	62,519	58,125
Subtotal	<u>\$1,084,539</u>	<u>\$1,090,152</u>	<u>\$1,126,181</u>
CE/AES Division			
General Fund	\$92,942	\$92,847	\$95,750
Federal Funds	15,647	17,761	15,647
All Other Income	1,427	1,602	1,639
Subtotal	<u>\$110,015</u>	<u>\$112,209</u>	<u>\$113,036</u>
Total Educational and General	<u>\$1,194,554</u>	<u>\$1,202,361</u>	<u>\$1,239,217</u>
Auxiliary Enterprises			
Auxiliary Fees	\$93,175	\$93,649	\$101,397
Auxiliary User Charges (Room & Board)	151,747	154,011	160,982
Auxiliary Sales and Services	235,462	244,086	259,827
Subtotal	<u>\$480,384</u>	<u>\$491,746</u>	<u>\$522,206</u>
Financial Assistance for E&G Programs (a)			
General Fund	\$26,389	\$26,389	\$20,389
Nongeneral Fund	\$483,690	498,690	458,750
Subtotal	<u>\$510,079</u>	<u>\$525,079</u>	<u>\$479,138</u>
Appropriated Student Financial Assistance			
General Fund	\$39,261	\$39,940	\$40,629
Nongeneral Fund	24,076	25,269	26,954
Subtotal	<u>\$63,337</u>	<u>\$65,209</u>	<u>\$67,583</u>
Private Funds	\$0	\$0	\$149,952
All Other Programs (b)			
General Fund (UMA)	\$3,649	\$3,649	\$3,649
Nongeneral Fund	14,562	14,369	14,847
Subtotal	<u>\$18,211</u>	<u>\$18,018</u>	<u>\$18,496</u>
Total	<u>\$2,266,565</u>	<u>\$2,302,413</u>	<u>\$2,476,592</u>
<u>Expenses</u>			
Educational and General			
University Division	\$1,084,539	\$1,090,152	\$1,126,181
CE/AES Division	110,015	112,209	113,036
Subtotal	<u>\$1,194,554</u>	<u>\$1,202,361</u>	<u>\$1,239,217</u>
Auxiliary Enterprises	459,984	495,305	505,312
Financial Assistance for E&G Programs (a)	510,079	525,079	479,138
Appropriated Student Financial Assistance	63,337	65,209	67,583
Private Funds (b)	0	0	149,952
All Other Programs (c)	18,211	19,765	18,496
Total	<u>\$2,246,165</u>	<u>\$2,307,719</u>	<u>\$2,459,698</u>
<u>Planned Change in Reserve</u>			
Reserve Drawdown/(Deposit) (d)	-\$20,400	\$5,306	-\$16,894
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>

(a) Financial Assistance for E&G Programs includes Sponsored Programs and General Fund Research Initiative.

(b) University Private Funds expenditures are accumulated in local funds and reimbursed by the Virginia Tech Foundation. This is not a complete summary of all private activities.

(c) All Other Programs include Unique Military Activities, Surplus Property, Local Funds, and Federal Work Study.

(d) Reserve contributions are based on the budget plans of Auxiliary Enterprise and All Other Program units.

Presentation Date: June 3, 2025

TOTAL OPERATING BUDGETS FOR AUXILIARY ENTERPRISES
FY26
(Dollars in Thousands)

	FY25 Original Budget	FY25 Adjusted Budget	FY26 Recommended Budget
Residence and Dining Hall System*			
Revenues	\$184,819	\$182,289	\$188,533
Expenses	-179,256	-183,297	-183,864
Reserve Drawdown/(Addition)	-5,563	1,008	-4,669
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Parking and Transportation			
Revenues	\$26,078	\$27,828	\$28,139
Expenses	-23,789	-24,917	-25,851
Reserve Drawdown/(Addition)	-2,289	-2,911	-2,288
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Telecommunications Services			
Revenues	\$23,347	\$23,587	\$25,057
Expenses	-22,557	-26,206	-24,906
Reserve Drawdown/(Addition)	-790	2,619	-151
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
University Services System*			
Revenues	\$69,450	\$69,450	\$66,740
Expenses	-68,664	-74,041	-65,353
Reserve Drawdown/(Addition)	-786	4,591	-1,387
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Intercollegiate Athletics System*			
Revenues	\$101,540	\$110,820	\$127,160
Expenses	-96,923	-111,338	-125,160
Reserve Drawdown/(Addition)	-4,617	518	-2,000
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Electric Service System*			
Revenues	\$48,576	\$49,415	\$54,899
Expenses	-46,410	-49,096	-52,724
Reserve Drawdown/(Addition)	-2,166	-319	-2,175
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Inn at Virginia Tech and Skelton Conference Center			
Revenues	\$14,171	\$14,171	\$14,752
Expenses	-12,788	-14,276	-13,020
Reserve Drawdown/(Addition)	-1,383	105	-1,732
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
Other Enterprise Functions			
Revenues	\$12,403	\$14,186	\$16,926
Expenses	-9,597	-12,134	-14,434
Reserve Drawdown/(Addition)	-2,806	-2,052	-2,492
Net	<u>\$0</u>	<u>\$0</u>	<u>\$0</u>
TOTAL			
Revenues	\$480,384	\$491,746	\$522,206
Expenses	-459,984	-495,305	-505,312
Reserve Drawdown/(Addition)	-20,400	3,559	-16,894
Net	<u><u>\$0</u></u>	<u><u>\$0</u></u>	<u><u>\$0</u></u>

* University Systems include the Dormitory and Dining Hall System, Electric Service Utility System, University Services System, and Athletic Facilities System. The University Services System includes Health Services, Student Engagement & Campus Life, Cultural & Community Centers, Recreational Sports, Center for the Arts, Student Organizations and VT Rescue Squad.

Presentation Date: June 3, 2025

EDUCATIONAL AND GENERAL CAPITAL PROJECT AUTHORIZATIONS FOR FISCAL YEAR 2026

(Dollars in Thousands)
as of March 31, 2025

		TOTAL PROJECT AUTHORIZATION				ESTIMATED TOTAL EXPENSES June 30, 2025	ESTIMATED BALANCE AVAILABLE FOR FY2026	ESTIMATED ANNUAL BUDGET FY2026	ESTIMATED BALANCE AT CLOSE OF FY2026
	PROJECT INITIATED	STATE SUPPORT	NONGENERAL FUND	AGENCY DEBT	TOTAL				
<u>Design Phase</u>									
Expand VT-C SOM & Fralin Biomedical Research Institute	Sept 2023	\$ -	\$ 9,000	\$ -	\$ 9,000	\$ 3,864	\$ 5,136	\$ 4,000	\$ 1,136
Improve Center Woods Complex	Nov 2023	14,404	296	-	14,700	1,659	13,041	3,000	10,041
Improve Campus Accessibility	Jul 2024	8,000	-	-	8,000	257	7,743	1,500	6,243
Planning: CVM Teaching Hospital Renovation & Expansion	Aug 2024	-	4,300	-	4,300	705	3,595	1,600	1,995
Planning: Improvements to Eastern Shore AREC	Sept 2024	1,515	-	-	1,515	320	1,195	700	495
Planning: Repair Derring Hall Envelope	Oct 2024	1,624	-	-	1,624	126	1,498	700	798
Planning: Rescue Squad Facility	Nov 2024	-	2,000	-	2,000	297	1,703	800	903
<u>Construction Phase</u>									
Maintenance Reserve	On-going	44,801	-	-	44,801	17,200	27,601	24,841	2,760
New Business Building	Apr 2022	-	56,500	37,500	94,000	7,796	86,204	19,000	67,204
Livestock & Poultry Research Facilities, Phase I	Oct 2016	31,764	-	-	31,764	30,886	878	878	-
Building Envelope Improvements	Aug 2022	-	13,580	33,620	47,200	7,835	39,365	9,100	30,265
Life, Health, Safety, Accessibility, & Code Compliance	Jul 2020	10,400	-	-	10,400	8,901	1,499	1,499	-
Mitchell Hall (Replace Randolph Hall)	Jul 2020	319,853	39,228	-	359,081	38,246	320,835	35,000	285,835
<u>Equipment and Special Initiatives</u>									
Equipment for Workforce Development	May 2021	48,725	-	-	48,725	17,944	30,781	5,000	25,781
<u>Close-Out</u>									
Undergraduate Science Laboratory Building	Jul 2017	90,412	-	-	90,412	86,200	4,212	4,212	-
Innovation Campus - Academic Building	Jul 2019	177,164	80,336	44,636	302,136	277,925	24,211	19,211	5,000
TOTAL EDUCATIONAL AND GENERAL PROJECTS		\$ 748,661	\$ 205,240	\$ 115,756	\$ 1,069,658	\$ 500,161	\$ 569,497	\$ 131,041	\$ 438,456

AUXILIARY ENTERPRISE CAPITAL PROJECT AUTHORIZATIONS FOR FISCAL YEAR 2026

(Dollars in Thousands)
as of March 31, 2025

		TOTAL PROJECT AUTHORIZATION				ESTIMATED TOTAL EXPENSES June 30, 2025	ESTIMATED BALANCE AVAILABLE FOR FY2026	ESTIMATED ANNUAL BUDGET FY2026	ESTIMATED BALANCE AT CLOSE OF FY2026
	PROJECT INITIATED	STATE SUPPORT	NONGENERAL FUND	AGENCY DEBT	TOTAL				
<u>Design Phase</u>									
<u>Construction Phase</u>									
Maintenance Reserve	On-going	-	\$ 14,500	-	\$ 14,500	-	14,500	14,500	-
<u>Close-Out</u>									
Student Wellness Improvements	Jun 2016	-	25,574	44,426	70,000	69,915	85	85	-
Football Locker Room Renovations	Jun 2023	-	5,900	-	5,900	4,622	1,278	1,278	-
Total Auxiliary Enterprise Projects		\$ -	\$ 45,974	\$ 44,426	\$ 90,400	\$ 74,537	\$ 15,863	\$ 15,863	\$ -
GRAND TOTAL ALL CAPITAL PROJECTS		\$ 748,661	\$ 251,214	\$ 160,182	\$ 1,160,058	\$ 574,698	\$ 585,360	\$ 146,904	\$ 438,456

Approval of 2025-26 University Operating and Capital Budgets

Simon Allen

Vice President for Finance & Chief Financial Officer

Tim Hodge

Associate Vice President for Budget & Financial Planning

Rob Mann

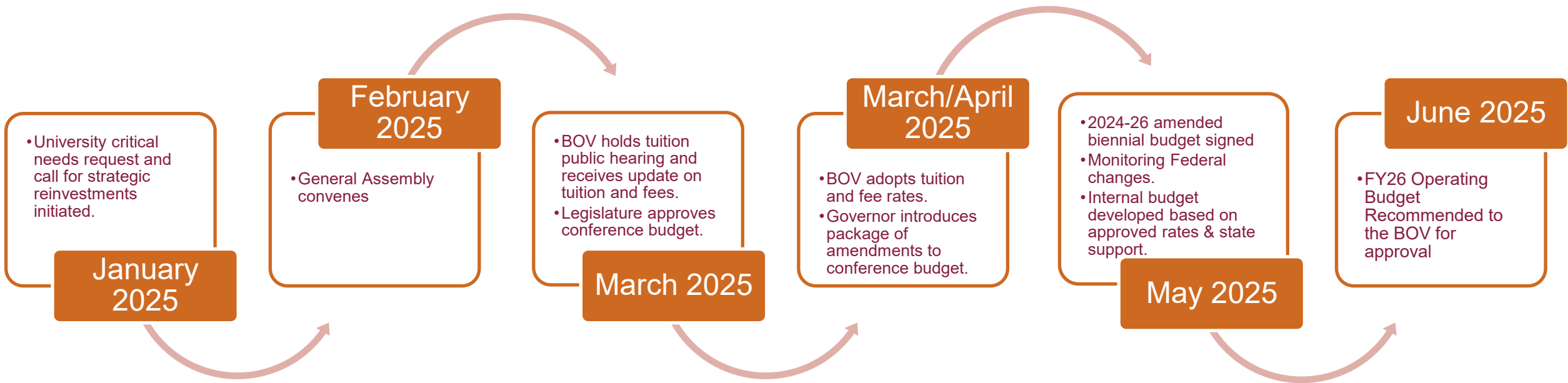
Assistant Vice President Capital Budgeting and Financing

June 3, 2025



Annual Budget Development Process

FY 26 Operating Budget



FY 26 Capital Budget

- The capital plan reflects the fiscal year cash flows of previously authorized capital projects

State Budget Update

2025 General Assembly actions focus on one-time **FY25** general fund support

	FY25 One-Time Support	
VT Patient Research Center	\$20.5M	Earmarked
VMSDEP	\$1.2M	Earmarked
Undergraduate Need-Based Resident Student Financial Aid	\$1.3M	Earmarked
School of Medicine Expansion	\$6.5M	Earmarked
Unique Military Activities	\$0.3M	Earmarked
Agency 229 Equipment	\$0.8M	Earmarked
June 2025 1.5% Bonus [est. for Agency 208 & 229]	\$4.9M*	Earmarked
Affordable Access	\$6.4M	Flexible

Earmarked support brings both new funding and new costs; some items may also require a NGF share

*State fund split for the bonus results in NGF cost assignment of \$6.1M in 208 E&G & \$198K in Agency 229.

State Bonus by Major Program

\$ in Millions

Timing did not allow for traditional planning of a nongeneral fund (NGF) share; thus, requires rebudgeting of existing resources.

	<u>208 E&G</u>	<u>229 E&G</u>	<u>Sponsored</u>	<u>Auxiliary</u>	<u>Total</u>
Cost of 1.5% Bonus (June 2025)	(\$9.9)	(\$1.3)	(\$3.0)	(\$1.9)	(\$16.1)
GF Share of Bonus	3.8	1.1			4.9
Nongeneral Fund Share	(6.1)	(0.2)	(3.0)	(1.9)	(11.2)
GF Affordable Accesss	6.4				6.4
One-time rebudgeting of funds	\$0.3	(\$0.2)	(\$3.0)	(\$1.9)	(\$4.8)

FY26 general fund support focused in key areas

- 3.0% compensation program

State Fund Splits

Program	State Share (GF)	University Share (NGF)
University Division E&G	38%	62%
Cooperative Extension/Agricultural Experiment Station Division E&G	95%	5%
Sponsored Research	0%	100%
Auxiliary Enterprise	0%	100%

- VMSDEP Support:
 - \$5.4M base support (*same as shared with BOV at March meeting*)
 - \$2.4M estimate one-time for VT Share (*contingent on FY25 state revenues*)
- Tech Talent Pipeline - award methodology to be reviewed for FY26.

Operating Budget

FY26 budget assumptions and risk

- The proposed budget was developed based on the best information currently available.
- The university faces multiple risks in FY26, including uncertainty about federal support, graduate & international enrollment, and the state economy.
- Senior leaders continue to work through funding scenarios to understand how best maintain core services if key funding streams are disrupted.
- Moving forward the university will continue to monitor potential risks and keep the Board informed through the quarterly financial performance reports and adjust the budget as needed.

FY26 Operating Budget

All Programs

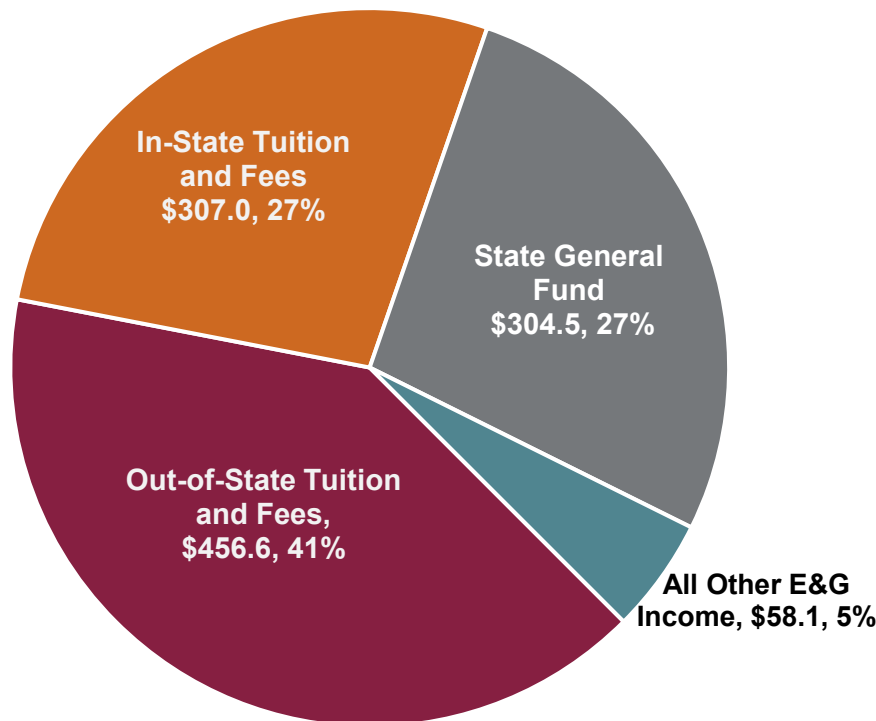
\$ in Millions

	FY25 Adjusted Budget	FY26 Proposed Budget	Change	
			\$	%
<u>Educational and General Program</u>				
University Division	\$1,090.2	\$1,126.2	\$36.0	3.3%
Coop Ext/Ag Experiment Station Division	112.2	113.0	0.8	0.7%
Auxiliary Enterprises	491.7	522.2	30.5	6.2%
Sponsored Programs	483.8	479.1	(4.7)	-1.0%
Appropriated Student Financial Assistance	65.2	67.6	2.4	3.7%
All Other Programs	18.0	18.5	0.5	2.9%
Public Operating Budget	\$2,261.1	\$2,326.6	\$65.5	2.9%
Private Funds (a) [Not New Funding]	41.3	150.0		
Total Operating Budget	\$2,302.4	\$2,476.6		

a) \$41.3M to be realigned from Sponsored Programs to new budget category of Private Funds in FY26. Beginning FY26, privately funded university expenditures will be accumulated and then reimbursed by the Virginia Tech Foundation in a batch process creating efficiencies for the campus, university and VTF as well as improved transparency. These expenditures were previously directly processed by the VT Foundation.

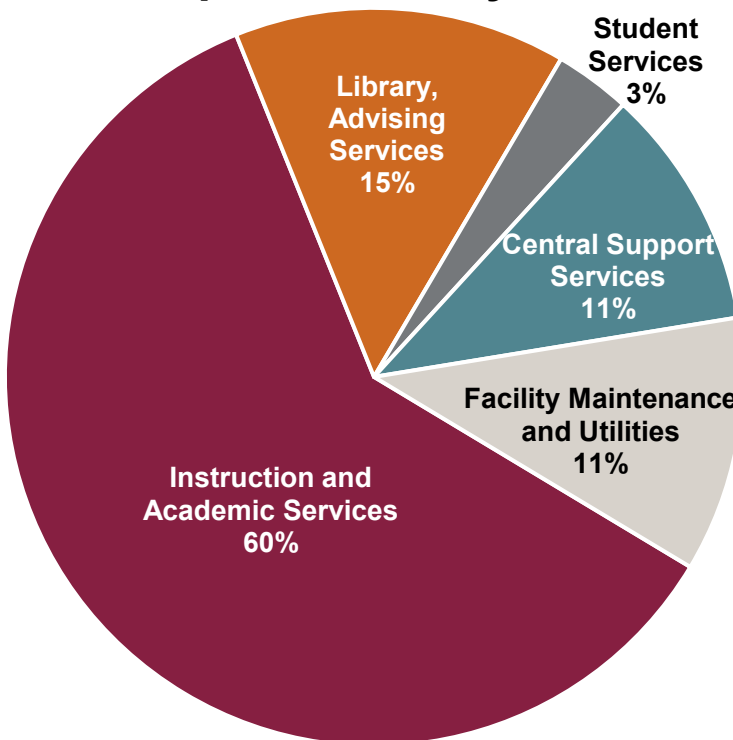
Nonresident tuition and E&G fees is the largest source of E&G revenue

FY26 E&G Revenue by Major Source
University Division



Instruction and Academic Services
Comprise the majority of E&G Expenditures

E&G Expenditures by Function

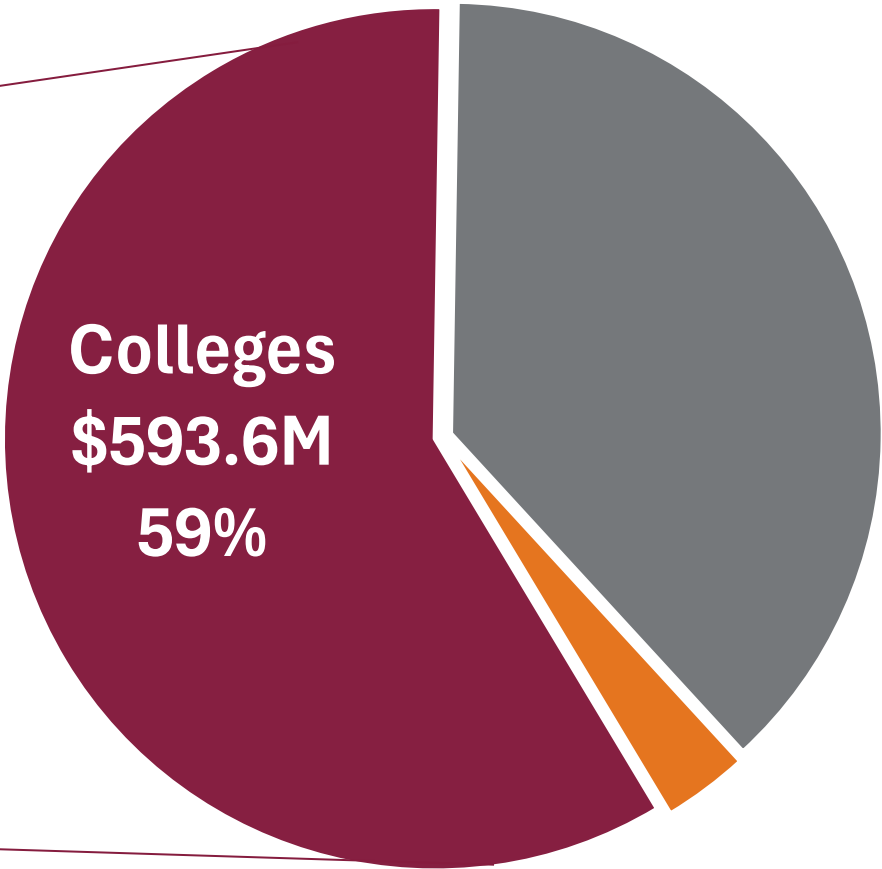


While nonresident students make up only 40% of the student body, nonresidents provide 60% of the tuition revenue.

Colleges Comprise 59% of University Division E&G Expenditures

FY24 University Division
College Expenditures
Dollars in Millions

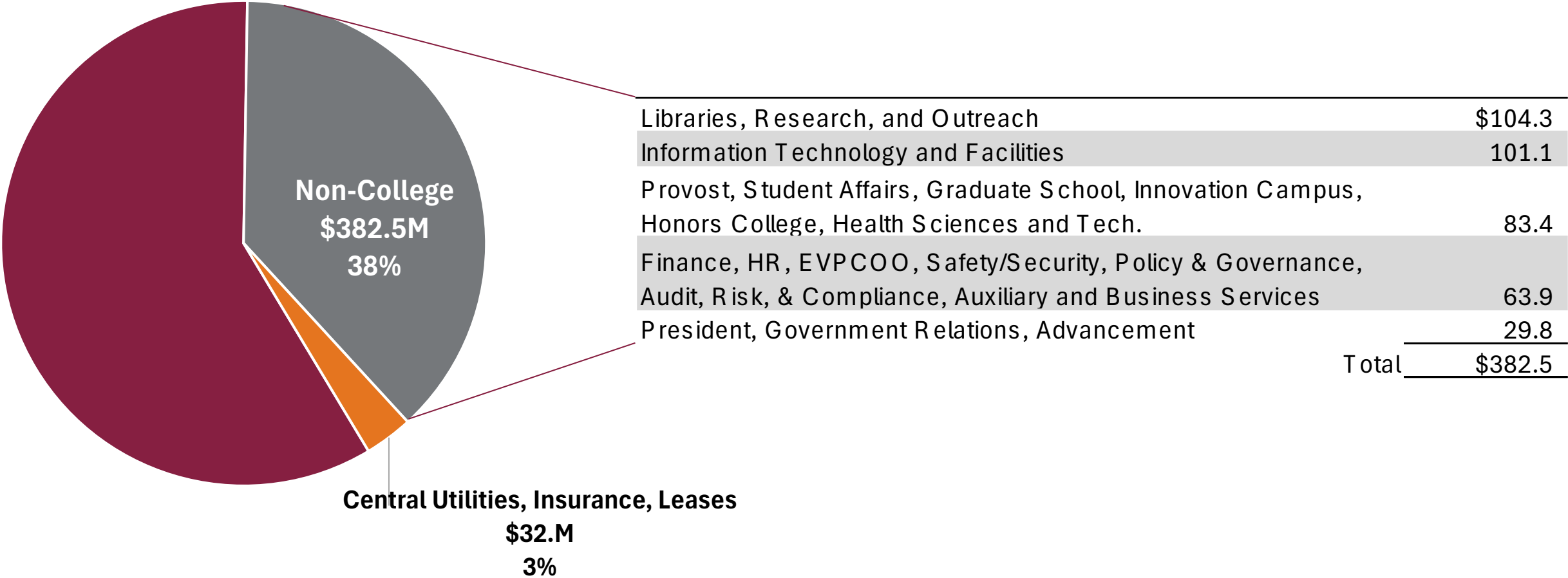
Colleges	Expenditures
Engineering	\$159.5
Science	105.3
Liberal Arts & Human Studies	83.7
Business	67.0
Veterinary Medicine	52.7
Vet Medicine - Hospitals	17.1
Agriculture & Life Sciences	40.7
Architecture, Arts, & Design	31.6
School of Medicine	19.5
Natural Resources & Environment	16.5
Total	\$ 593.6



University Division E&G

FY24 Non-College Expenditures by Area

Dollars in Millions



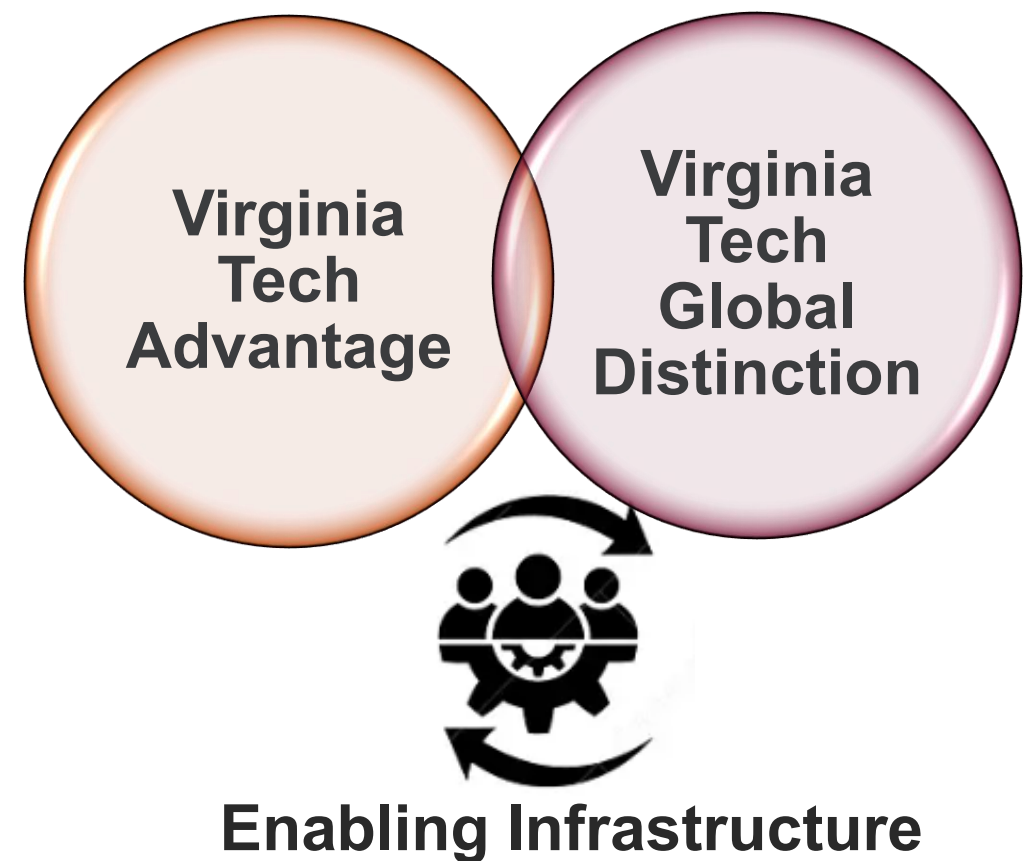
University Division's E&G budget increases 3.3%

Dollars in Millions

	FY25 Adjusted Budget	FY26 Proposed Budget	Change	
			\$	%
<u>University Division (E&G)</u>				
General Fund	\$294.1	\$304.5	\$10.4	3.5%
Tuition and Fees	733.6	763.6	30.0	4.1%
All Other Income	62.5	58.1	(4.4)	-7.0%
Subtotal	\$1,090.2	\$1,126.2	\$36.0	3.3%

Increase in Tuition and E&G Fee revenues reflects the BOV approved 2.9% tuition increase as well as strength in enrollment, continuation rates, and mix.

Strategic investments are supported by multiple funding sources



RESOURCES
Net Enrollment,
Unrestricted State,
Self-Generated
(Professional Masters)

**DEI
RESOLUTION
SAVINGS**

PHILANTHROPY

REINVESTMENTS

FY26 Reinvestment Process



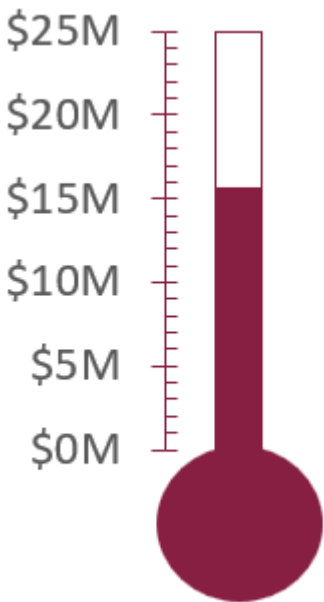
FY26 BUDGET PROCESS

Reinvestments will support strategic needs



RESULT

FY26 includes \$10.7M in reinvestment and DEI resolution savings to fund strategic priorities



REINVESTMENT GOAL

\$25M over 5 years
FY26 is year 2

Year 2 (FY26) \$5M target accelerated to \$10.7M with DEI resolution savings

- \$9.2M reduce or eliminate activities
 - Capture salary savings through targeted reorganizations, turnover, and vacancies
 - Cancel subscriptions
 - Sunset equipment programs
 - Redirect funds from low performing activities
- \$1.5M business process changes
 - Reallocate revenue capture
 - Revenue enhancement (align costs with self-generated NGF funding)

**DEI
RESOLUTION
SAVINGS**

REINVESTMENTS

Resource Alignment

\$6.4M in DEI Resolution Savings Reinvested (\$ in millions)

Guiding Principles:

- Resources (operating and salary) supporting permissible programs will remain intact and aligned with organizational unit performing the work.
- Resources previously allocated to a program that has ceased will be returned as part of the university’s strategic reallocation initiative.

	Base Funding	One-Time Funding	Strategic Priority
Offset 2.9% tuition increase for incoming VT Advantage students	\$0.8		VT Advantage
Accelerate FY26 planned increase in VT Advantage	1.2		VT Advantage
Increase graduate stipends above mandated 3%	0.3		Global Distinction
Allocate bridge funding for graduate students		\$0.9	Global Distinction
Provide targeted investments in research institutes	1.4		Global Distinction
Support initiatives to increase sponsored research and scholarship	0.3		Global Distinction
Invest in Roanoke-based Health & Biomedical Programs	0.6		Global Distinction
Fund research administrative systems, incl. COC/COI	0.9		Global Distinction
Total	\$5.5M	\$0.9M	\$6.4M

* \$2.0M in increases for VT Advantage are in addition to \$3.4M in incremental funded included through the budget process. Total incremental funding for VT Advantage in FY26 will be \$5.4M.

91% of incremental E&G funding directed to compensation and unavoidable costs

Dollars in Millions

	E&G
	<hr/>
University Division Budget Change (from Slide 13)	\$ 36.0
 <u>MANDATORY, STATE & UNAVOIDABLE COSTS</u>	
Compensation & Benefits	\$ 27.9
Fixed Costs & Operations & Maintenance	<hr/> 4.8
Subtotal Mandatory, State, & Unavoidable Costs	32.7
University Reinvestments and DEI Resolution Savings	(10.7)
Enrollment, CE Reduction & Other Changes	<hr/> (4.8)
Capacity for University Initiatives (toward \$27.2M vision)	<hr/> 18.8 <hr/>

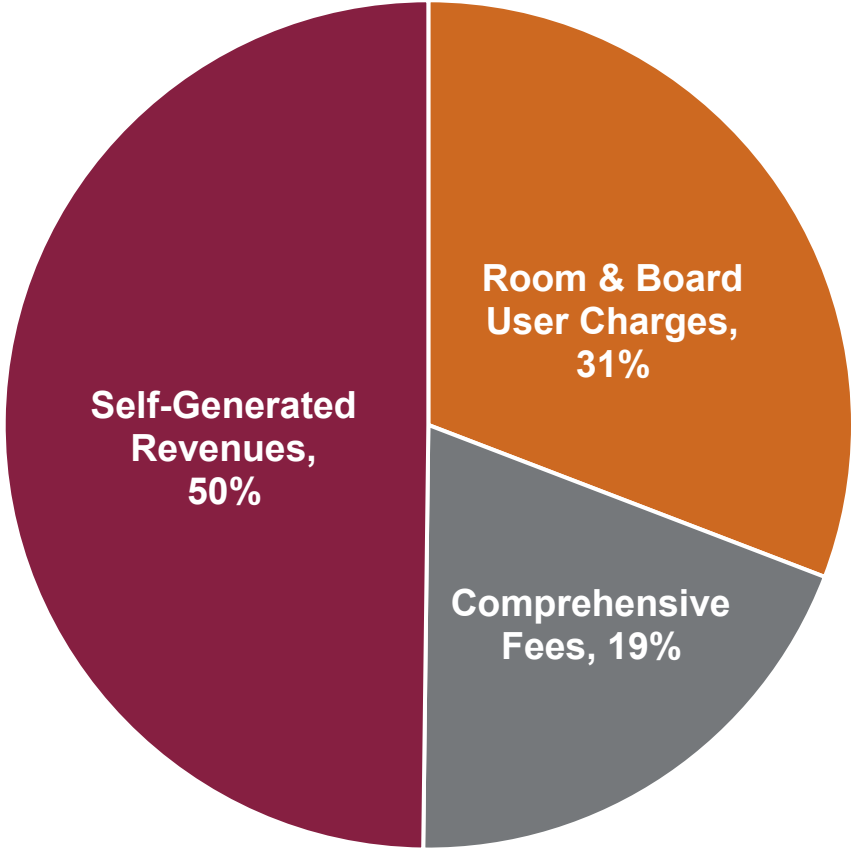
Advancing Global Distinction and Virginia Tech Advantage

	FY26 Aspiration	FY26 Investment including both Reinvestments & DEI Resolution Savings
Virginia Tech Global Distinction	\$13.1	\$8.3
Virginia Tech Advantage (Institution)	3.6	6.2
Enabling Infrastructure *	10.5	4.3
Total	\$27.2	\$18.8

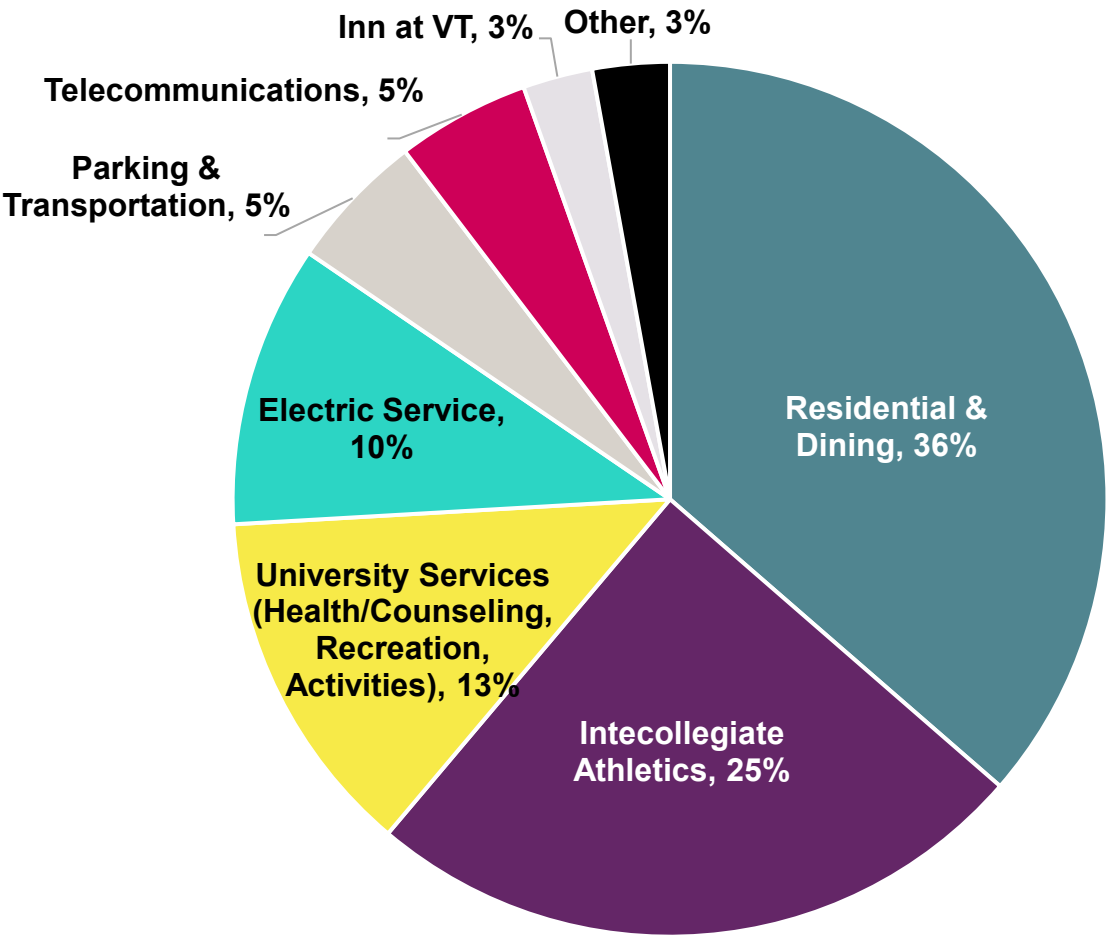
* Includes \$3.1M of support for technology/systems

FY26 Auxiliary Enterprise Budget

Sources



Uses



FY26 Total Revenue = \$ 522M +6.2%

Self-generated revenues include: athletic ticket sales, athletic conference income, hotel & conference center sales, electric service revenues, parking permit sales, transportation fleet sales, telecommunication sales, summer conference activities, etc.

FY26 Auxiliary Budget Focuses on Employees and Key Program Enhancements

6.2% total budget growth, includes 3.0% state compensation program, fringe costs, inflation, and investments in:

- Intercollegiate Athletics operating support
- Staffing and support for health and counseling, residential well-being, and student conduct
- Rescue Squad facility planning and pharmacy staffing
- Residence hall painting and furniture replacement
- Dining allergen-free concept and equipment replacement



Other FY26 Budget Changes

Cooperative Extension/Agricultural Experiment Station Division

- Commonwealth's 3% compensation program
- (less) one-time federal carryforward funds recognized in FY25

Sponsored Programs

- Given uncertainty, held budget level until there is more clarity
- (less) removal of one-time state support in FY25

Appropriated Student Financial Aid

- Reflects part of the FY26 investment in the Virginia Tech Advantage program

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			\$	%
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FY26 Operating Budget

All Programs

\$ in Millions

	FY25	FY26	Change	
	Adjusted	Proposed		
	Budget	Budget	\$	%
<u>Educational and General Program</u>				
University Division	\$1,090.2	\$1,126.2	\$36.0	3.3%
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Capital Budget

General Assembly Update

2025 Session – Capital Outlay Budget

- State lawmakers approved an amended budget for the 2024-26 biennium during the 2025 Session, which was signed by Governor Youngkin May 2nd.
- Highlights of FY26 Capital Outlay Budget impacts:
 - Maintenance Reserve Funding remains at \$43.4M for the biennium
 - Replace Randolph Hall Supplement: \$66.8M
- Vetoed by the Governor:
 - VTCSOM and FBRI project was within the State Capital Construction Pool that was vetoed on May 2nd: \$165M

Fiscal Year 2026 Capital Projects

End FY25	24
Projects closed June 30 th	- 5
New projects effective July 1 st	0
Start FY26	<hr/> 19



Design

7



Construction

7



Equipment

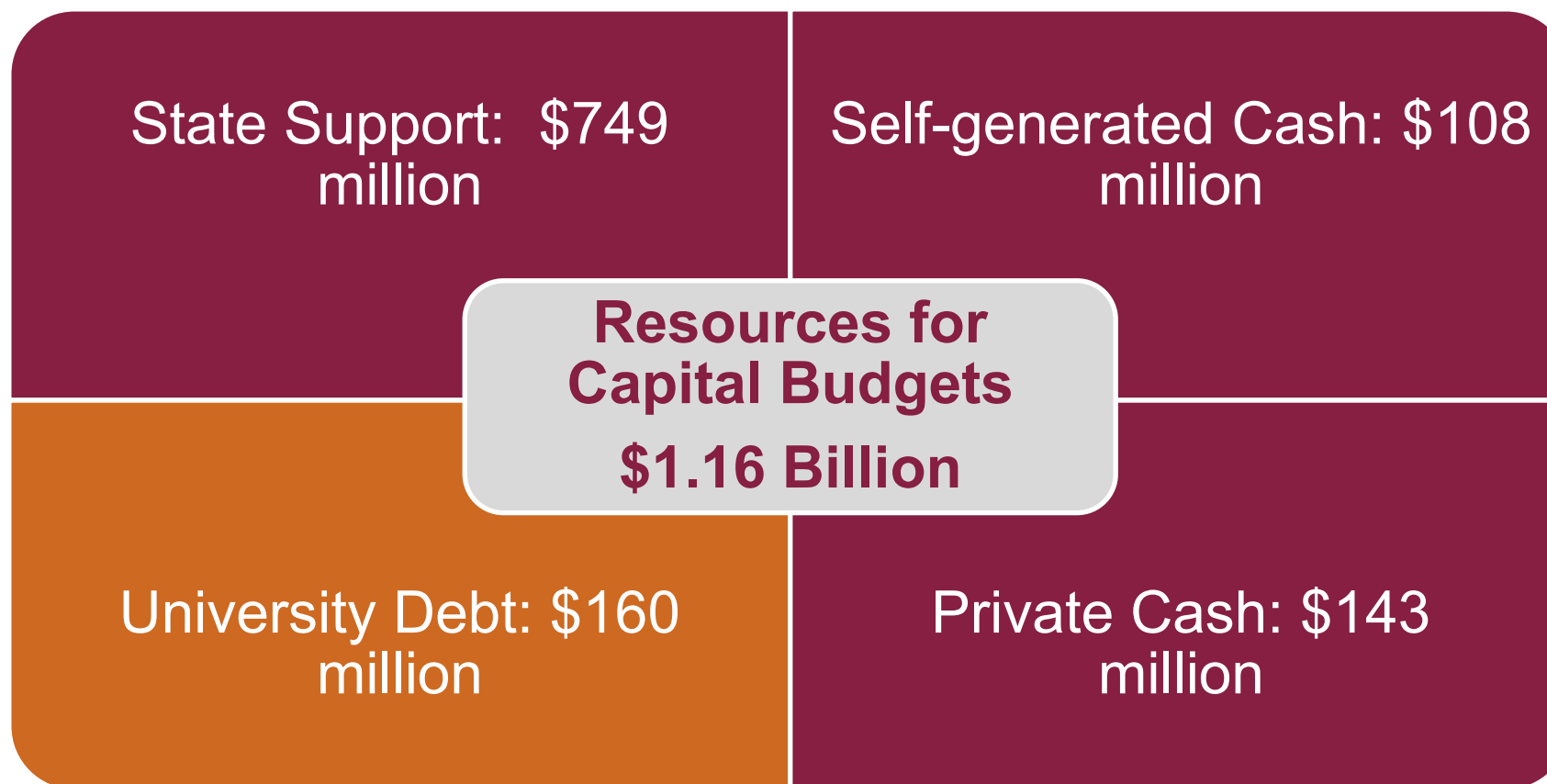
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Closeout

4

Capital Authorization Fund Sources



Major Budget Adjustments

\$ in Thousands

Budget at Close of FY25	\$ 1,193,447
Reductions for FY25 Project Closeouts	
Hitt Hall	(85,000)
Corps Leadership and Military Science Building	(52,000)
New Upper Quad Residence Hall	(42,000)
Planning: Student Life Village, Phase I	(19,500)
Fralin Biomedical Research Institute Equipment	(18,133)
Maintenance Reserve Close FY, Aux	(14,500)
Budget Increases for FY26	
Construction for New Business Building	86,000
Supplement for Mitchell Hall	66,800
Maintenance Reserve, E&G	24,156
Maintenance Reserve, Aux	14,500
Allocation for Equipment for Workforce Development	6,288
<i>Net Change</i>	<u>(33,389)</u>
Budget at Start of FY26	\$ 1,160,058

Fiscal Year 2026 Capital Spend

\$ in Thousands

<i>FY26 starting total multi-year capital budget</i>	<i>\$1,160,000</i>
<i>Less project to-date expenditures as of June 30th</i>	<i><u>-\$575,000</u></i>
<i>Budget available to complete projects</i>	<i>\$585,000</i>
 <i>Estimated capital expenditures for FY26</i>	 <i><u>\$147,000</u></i>

Approval of 2025-26 University Operating and Capital Budgets

Recommendation:

That the proposed 2025-26 Operating budget and Capital expenditure projections as displayed on Schedules 1, 2, and 3 be approved.

June 3, 2025

Update on the Development of the 2026-2032 Six-Year Plan

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

May 8, 2025

The university received instructions for developing the 2026-2032 Six-Year Plan on May 5, 2025 from the State Council of Higher Education in Virginia (SCHEV). This report provides an early update on this process and key assumptions underlying the development of the plan.

Process

The Higher Education Opportunity Act of 2011 codified a set of goals and objectives for higher education in Virginia, and outlined an annual planning process. This process requires submission of academic, financial, and enrollment plans for the next three biennia, with particular focus on the first biennium of the planning period. Plans are submitted each odd-year, with an opportunity to revise in each even-year. The Six-Year plan process facilitates a discussion with the commonwealth about the university's planned progress towards the goals of the state's Virginia Plan for Higher Education and how the university can partner with the state to advance shared outcomes, and is an important step in positioning the university to seek state support during the Executive Budget development process each fall.

The State Council on Higher Education for Virginia (SCHEV) will review the plan with the state's review committee (Op-Six), which includes the Secretaries of Education and Finance, Directors of SCHEV, and the Department of Planning & Budget (DPB), and representatives from the House Appropriations Committee and the Senate Finance and Appropriations Committee. The Op-Six will provide feedback and questions to the university in the fall and the university will have the opportunity to respond before returning to the Board for final approval in November.

Planning Assumptions

Academic and Support Service Strategies

The Six-Year Plan focuses on the institutional priorities of the upcoming biennium (fiscal years 2027 and 2028). The primary goals of the Six-Year Plan are to:

- a) Summarize major strategies that impact academic, student support, research, and operations areas;
- b) Update projections on financial resources needed to support these initiatives in the first biennium, including the projection of tuition rates and student financial assistance; and
- c) Update enrollment projections to assist the SCHEV in its planning and reporting responsibilities.

As part of the development of the original Six-Year Plan, the university categorized a list of potential strategies which are aligned with the university's strategic plan. These strategies are designed to advance the mutual goals of the commonwealth and Virginia Tech.

Funding Assumptions

The commonwealth's instructions for the Six-Year Plan indicate an assumption of limited General Fund support to fund the state's share of compensation and benefits cost escalations. The remainder of the Six-Year Plan is to be balanced with tuition and fee revenue. Opportunities for the state to provide new General Fund support are requested separately, and SCHEV's instructions explicitly state that no new General Fund support should be assumed. This process is designed to focus on goals, costs, and nongeneral fund resources so that General Fund support may be determined later through the state budget process. This allows state officials to consider how to reduce tuition rates or enhance programs during the state budget process.

Cost Containment (Reinvestments) and Cost Savings

To ensure continued sensitivity to overall cost, the university projects the continuation of the strategic reinvestments program to help advance top priorities while mitigating the pressure on tuition. The plan calls for \$5 million of savings a year for a total of \$25 million of base savings over a five-year period. These savings help hold down student costs and strengthen the university's accomplishment of strategic objectives. These savings will be enhanced with more recently identified compliance cost savings.

Tuition and E&G Fee Revenue

A key part of the Six-Year Plan submission is a discussion with the commonwealth regarding resources for the university's instructional division. Many of the initiatives envisioned in the plan will require both state General Fund support and nongeneral fund revenue to be fully realized. Consistent with the instructions issued by SCHEV, the university's plan separates the progress possible through nongeneral fund support alone and the additional potential if the state were to partner with the university to fully realize these strategies.

It is important to recognize that the university is not recommending nor committing to a specific set of tuition rates through the Six-Year Plan submission. Establishment of tuition and fee rates remains under the purview of the Board of Visitors, and will be informed through an annual discussion of needs and the state budget process (which has not yet begun). However, the state's planning process and template require a projection of changes to tuition and fees assuming state support only for the General Fund share of salary and fringe benefit rate changes.

Estimated tuition and fee rates and revenue are outlined as part of the iterative planning process established by the Higher Education Opportunity Act of 2011, and are expected to provide a basis for discussion of potential investments, costs and fund split between institutions and the state. The Six-Year Plan solicits the university's estimate of reasonable and necessary charges to students based on the mission, market capacity, and other factors with the assumption of no new state General Fund support beyond that for the state share of salary and fringe benefit rate changes. This estimate provides the opportunity for the university to partner with the commonwealth to develop strategies to reduce in-state tuition increases via incremental General Fund support. Nonresident rates are market-based. While increases in tuition and mandatory fees for fiscal year 2027 have not yet been set by the Board of Visitors, the university calculated the following placeholder for the state's six-year planning purposes to balance the plan in accordance with the instructions. The actual level of state support, inflationary increases, and mandatory cost drivers such as state employee compensation and benefits will be considered when proposing actual tuition recommendations for fiscal year 2027.

FY27 Placeholder	Resident	Nonresident
Assumption of No New General Fund	4.9%	3.9%

General Fund

The state process allows for General Fund requests. The university considers the linkages between the university's strategic plan and the state plan for higher education. The following list summarizes the currently envisioned General Fund requests.

University Strategic Objectives	General Fund Requests	State Plan for Higher Education
<i>Global Distinction</i>	<p>Mitigate the impact of reduced federal research funding to continue to advance strategic research.</p> <p>Increase affordable access to medical education at VTCSOM to facilitate training of graduates in Virginia residency programs and improve retention in Virginia practices.</p> <p>Provide ongoing support for the Virginia Tech Patient Research Center to advance biomedical research within the commonwealth.</p>	Transformative

<i>Virginia Tech Advantage</i>	<p>Lower the need for a tuition increase for Virginia residents by providing the state share of escalating costs.</p> <p>Increase need-based student financial aid support for Virginia undergraduates (Virginia Tech Advantage)</p> <p>Increase state support for the Virginia Military Survivors and Dependents Education Program.</p>	Affordable, Transformative
<i>Enabling Infrastructure</i>	<p>Support the replacement of the university's Enterprise Resource Planning (ERP) System.</p> <p>Support the General Fund share of the operation and maintenance of new facilities.</p> <p>Enhance programmatic support for the Corps of Cadets.</p>	Transformative

Timeline and Next Steps

The university will submit the Six-Year Plan to the commonwealth on July 3, 2025, the beginning of an iterative review process that will culminate with feedback from the commonwealth by September 1 and a university response by October 1. The Six-Year Plan will be presented for approval at the November 2025 Board of Visitors meeting.

The Six-Year Plan will also serve as the basis of the university's budget submissions for the Executive Budget development process in the fall of 2025.

Update on the Development of the 2026-32 Six-Year Plan

Simon Allen, Vice President for Finance &
Chief Financial Officer

Tim Hodge, Associate Vice President for
Budget & Financial Planning

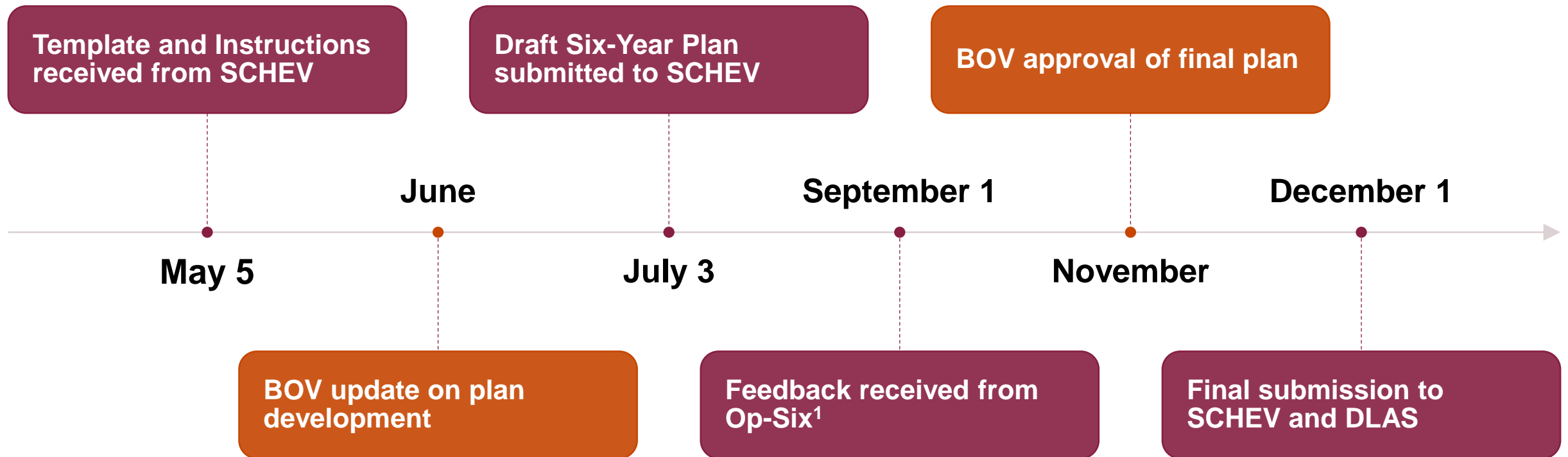
June 3, 2025



Overview of Six-Year Plan

- Component of the Higher Education Opportunity Act of 2011.
- Submitted each odd-year; opportunity to revise each even-year.
- Includes academic, financial, and enrollment plans for the next three biennia.
- Completed in coordination with the commonwealth to frame planning considerations over the next six years.
- Outlines the university's planned progress towards shared goals supporting the state's Virginia Plan for Higher Education.
- Positions the university to seek state support during the Executive Budget development process each fall.

Six-Year Plan Process



¹ Op-Six members include: the Secretary of Education, Secretary of Finance, Director of Department of Planning and Budget, Executive Director of SCHEV, Staff Directors of the House Appropriations Committee and Senate Finance and Appropriations Committee.

Cost Escalation Estimates Drive Need for Tuition Placeholder



- Instructions received on May 5th outlined:
 - Limited General Fund support is to be included in plan to support the state’s share of compensation and fringe benefits escalations. Assume no additional General Fund.
 - Nongeneral Fund resources (Tuition) are expected to fund the remainder of the plan.
- General Fund requests are separate and may help support university initiatives and lower the need for a tuition rate increase.
- Plan represents the start of a discussion with the commonwealth on opportunities for partnership, and is not a decision about tuition rates (that will occur at the Spring BOV meeting).
- To balance the plan (a requirement), the 6-year planning process begins with tuition placeholders:
 - Resident: 4.9%, Nonresident: 3.9%

	<i>\$ in millions</i>
	FY27
<u>Forecast Expenses</u>	
Compensation [2.0% State Plan Placeholder]	(\$15.0)
Healthcare Premiums [Employee - 1%; and Assistantships ~ 5%]	(1.2)
Utilities, Leases, Insurance, Inflation, & Unavoidable Mandatory Costs	(4.4)
Supplant Portion of Strategic Federal Research Funding	(12.8)
Total	(\$33.4)
<u>Sources</u>	
General Fund: State Share of Salary and Fringe Rate Changes	\$5.8
General Fund: [Process assumes no new operating support]	0.0
Tuition Placeholder [4.9% Resident/3.9% Nonresident]	27.6
Net	\$0.0

Each \$2.8M of state General Fund would reduce Resident tuition by 1%

General Fund Requests for Six-Year Plan

University Strategic Objectives	General Fund Requests	State Plan for Higher Education
<i>Global Distinction</i>	<p>Mitigate the impact of reduced federal research funding to continue to advance strategic research.</p> <p>Increase affordable access to medical education at VTCSOM to facilitate training of graduates in Virginia residency programs and improve retention in Virginia practices.</p> <p>Provide ongoing support for the Virginia Tech Patient Research Center to advance biomedical research within the commonwealth.</p>	Transformative
<i>Virginia Tech Advantage</i>	<p>Lower the need for a tuition increase for Virginia residents by providing the state share of escalating costs.</p> <p>Increase need-based student financial aid support for Virginia undergraduates (Virginia Tech Advantage)</p> <p>Increase state support for the Virginia Military Survivors and Dependents Education Program.</p>	Affordable, Transformative
<i>Enabling Infrastructure</i>	<p>Support the replacement of the university's Enterprise Resource Planning (ERP) System</p> <p>Support the General Fund share of the operation and maintenance of new facilities.</p> <p>Enhance programmatic support for the Corps of Cadets.</p>	Transformative

Next Steps

- Continue development of plan
- July 3 – initial submission to state
- September 1 – feedback from state
- October – submission of feedback responses
- November – BOV review and approval of plan
- December 1 – final submission to state



Discussion of Enrollment Demand

Dr. Juan Espinoza, Vice Provost for Enrollment Management

Data Collection

- Survey conducted with consultant
- Strong response from inquiry pool
- Mix of both students and parents

Survey Response Statistics:		
Target Population:	Students	Parents
Total Completes*	378	234
Survey in field:	April 9 to April 10, 2025	
Conjoint Margins of Error:	<3% Total population	

Key Findings

- Our brand is very strong.
- In terms of market preference for institutions, Duke (19%), University of Virginia (14%), Georgia Tech (14%), Virginia Tech (13%) were the top institutions.
- Virginia Tech's brand position was strongest among the in-state respondents.

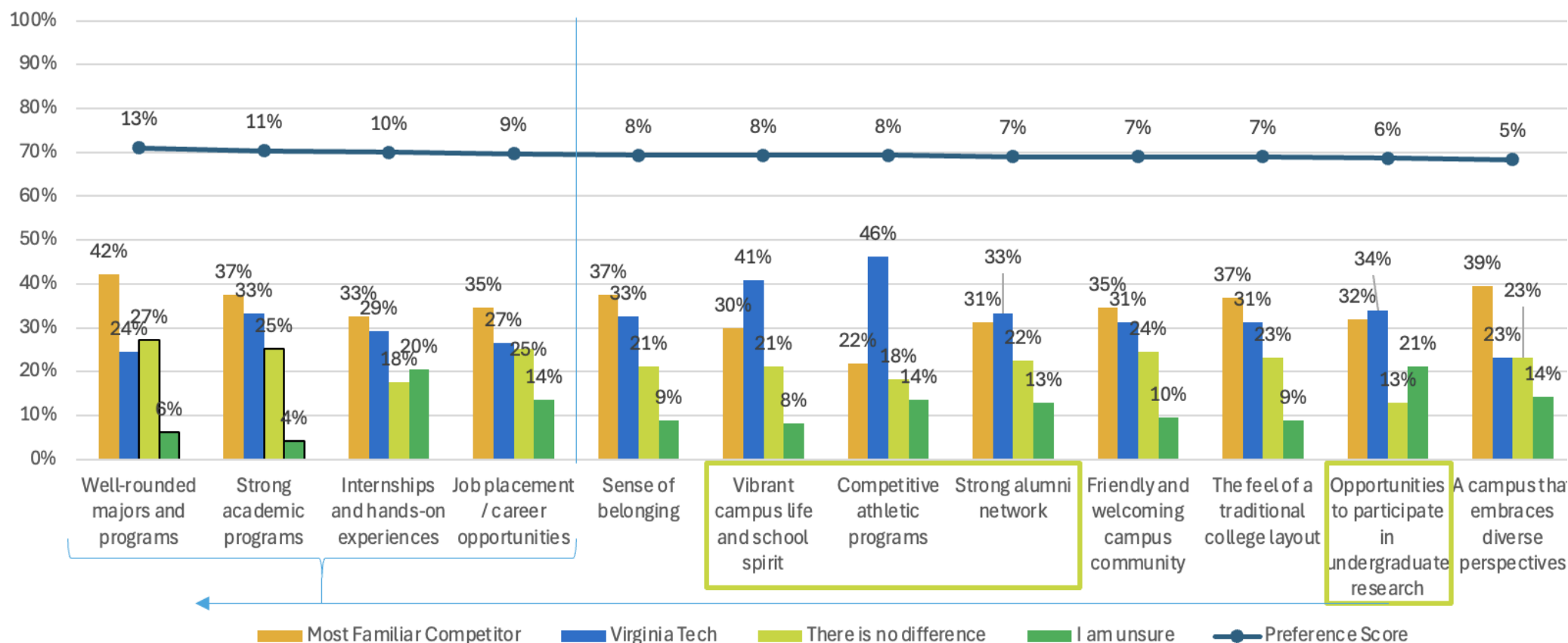
Key Findings

- The responses to the price survey show that VT is in a relatively unique position in the market with generally lower tuition and aid sensitivities, but a greater sensitivity to tuition change than aid change.
- Our price and aid are well optimized to market preferences.
- Key quality attributes identified by students include vibrant campus life/school spirit, athletics, strong alumni network, and opportunities to participate in undergraduate research projects.
- More flexibility in pricing for in-state students; less flexibility in pricing for out-of-state students

Quality Attributes Rankings: In State

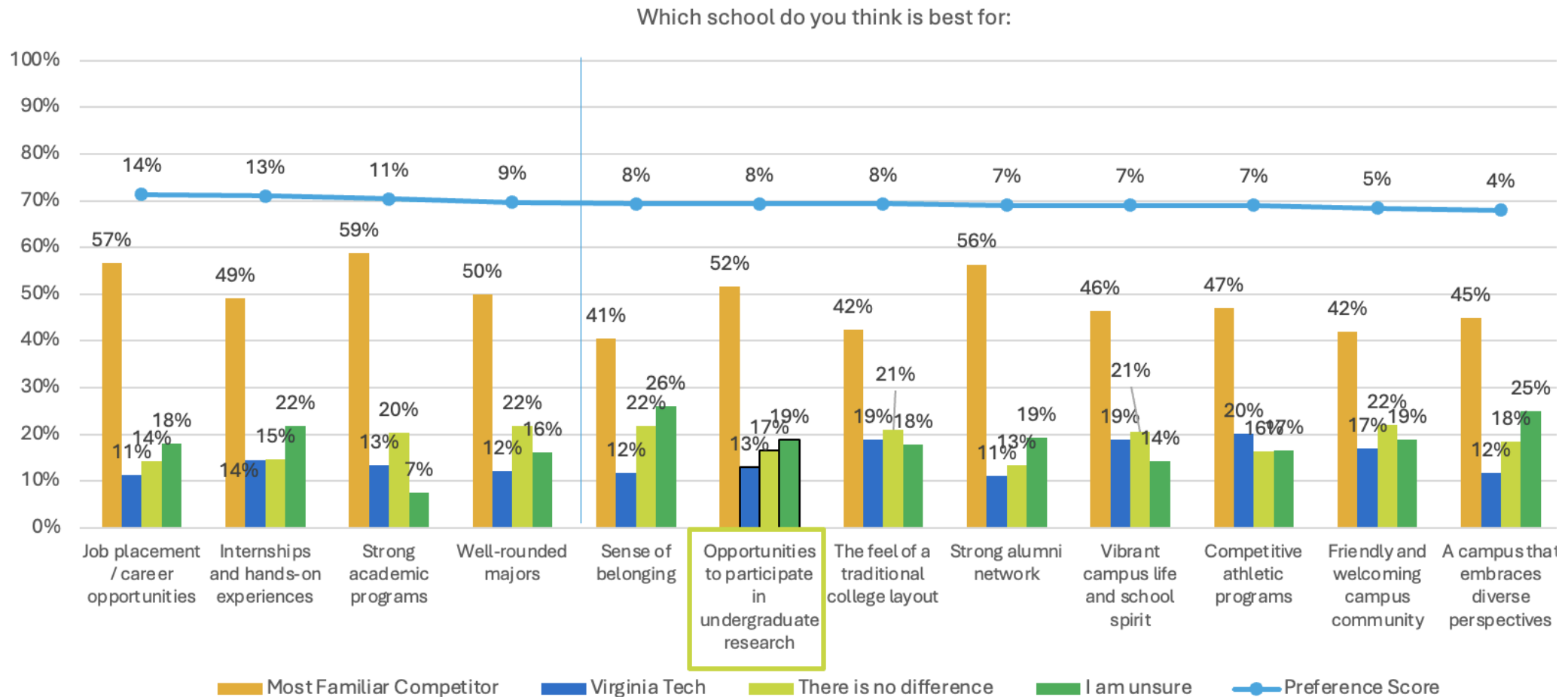
Program opportunities, strengths, and outcomes emerge as top-quality attributes. Virginia Tech rated better on campus life/spirit, athletics, and undergrad research.

Which school do you think is best for:



Quality Attributes Rankings: Out of State

In-state top quality attributes are the same as In-state, but in a slightly different ordering





VIRGINIA TECH[®]

2025-26 Faculty Compensation Plan

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

April 15, 2025

As the university develops the annual Faculty Compensation Plan, it continues to use historical guidance provided by the commonwealth¹ and the university's Faculty Handbook. This faculty compensation plan defines the qualification criteria for faculty, provides guidance on the compensation process for faculty, and requires Board of Visitors' approval.

The university's 2025-26 Faculty Compensation Plan covers:

1. the 2025-26 pay structure;
2. the promotion and tenure process;
3. the annual evaluation and salary adjustment process for teaching and research faculty (T&R) and administrative/professional (A/P) faculty; and
4. salary adjustments within the evaluation period.

This faculty compensation plan is only for faculty positions. The compensation plan for staff is administered separately by the university administration in accordance with the Board of Visitors' approval of the university's Management Agreement, effective July 1, 2006, as well as guidance from the commonwealth and the state's Department of Human Resource Management.

Virginia Tech Salary Average and Benchmark Ranking for T&R Faculty

For strategic planning purposes, the university has established a metric goal of reaching the 50th percentile of the Top 20 Land Grant universities in the nation as ranked by the Wall Street Journal/Times Higher Education World University Rankings. The university's actual salary average as compared to the Top 20 Land Grant group can be seen in the table below. The university's competitive positioning among this group for Fall 2024 will be computed once the Integrated Postsecondary Education Data System (IPEDS) data becomes available.

	Fall 2023	Fall 2024*	Change
<u>Top 20 Land Grant Group</u>			
50 th percentile (excl. VT)	\$125,271	N/A	-
VT Average Salary	\$123,858	\$127,397	2.86%
VT Rank	11 of 20	N/A	-
VT Percentile	48 th	N/A	-

**IPEDS peer salary data for Fall 2024 is not yet available.*

¹ Secretary of Education, *Consolidated Salary Authorization for Faculty Positions in Institutions of Higher Education*, September 7, 2001.

Attachment A provides a list of the university's peer group and the comparative salary averages for Fall 2023.

Although peer salary data is not yet available for Fall 2024, Virginia Tech's salary average was \$127,397. This overall average was 2.86% more than the Fall 2023 salary average. Within this overall average:

- **Continuing faculty:** 1,848 T&R faculty were a part of both the Fall 2023 and Fall 2024 averages and had an average salary of \$129,437, an increase of 4.0% over the prior year.
- **Departing faculty:** 183 T&R faculty who were a part of the Fall 2023 average did not subsequently appear in the Fall 2024 average and had an average salary of \$117,836.
- **New faculty:** 222 T&R faculty were a part of the Fall 2024 average who were not included in the Fall 2023 average and had an average salary of \$110,421.

2025-26 Faculty Pay Structure

Consistent with traditional commonwealth guidance, a pay structure for T&R faculty for 2025-26 is presented in Attachment B. This plan is derived from the 2024-25 approved plan and incorporates the estimated impact of the planned merit program on entrance rates for 2025-26. The attachment also displays the normal entrance rate for each faculty category along with the change from the approved compensation rate for each rank, along with the distribution of faculty across the ranks. T&R faculty entering salaries will vary based on faculty discipline.

Promotion, Tenure, and Continued Appointment

Promotion to a higher rank and appointment with tenure may be granted to faculty members on a regular faculty appointment who have demonstrated outstanding accomplishments in an appropriate combination of learning, discovery, and engagement. A current curriculum vitae together with student and peer evaluations of teaching, reprints of publications, evaluations by external reviewers from the same or a related field, and other similar documents comprise a dossier which furnishes the principal basis for promotion and tenure decisions. Faculty members being considered for either promotion or the awarding of tenure will have their dossiers reviewed **at three levels:**

- by a departmental/school committee and the head, chair, or school director;
- by a college committee and the dean; and
- by a university committee and the Provost.

Each candidate for promotion or tenure will be evaluated in the following areas: teaching, scholarship, and service. Although not all candidates are 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.

Because of the university's mission and commitment as a major research institution, successful candidates for the rank of professor must demonstrate excellence in research, scholarship, or creative achievement, as appropriate for the candidate's discipline and assignment. Promotion to the rank of professor is contingent upon national or international recognition as an outstanding scholar and educator.

In addition to the rank promotions within the faculty categories described below, faculty may be promoted to ranks within other faculty categories, as appropriate (for example, an Instructor may be promoted to a rank within the Professor of Practice or Collegiate Faculty categories).

The Faculty Handbook provides detailed policies and procedures for the departmental evaluation, the college evaluation, and the university evaluation.

Members of the Library faculty not holding appointments in a collegiate department may be considered for continued appointment or for promotion in faculty rank in recognition of appropriate professional accomplishments. Candidates for promotion or continued appointment will be reviewed at two levels: first by the University Libraries continued appointment committee and Dean of University Libraries, and second by the University Promotion and Continued Appointment Committee and the Provost.

The following raises are recommended for promotions to:

Professor	\$10,000
Associate Professor	7,000
Assistant Professor	5,000

For academic-year faculty members who have Research Extended Appointments (10-, 11-, or 12-month appointments funded by sponsored projects) with salaries adjusted in accordance with formulas in Policy 6200 – Policy on Research Extended Appointments, or for those who have a limited-term appointment as department head or other administrator, the stipend is adjusted by the same conversion rate to preserve its value when the faculty member returns to the academic-year base appointment.

Clinical Faculty

The clinical faculty track provides for long-term, full-time or part-time faculty appointments to individuals whose primary responsibilities are instruction and/or service in a clinical setting, such as veterinary medicine. Tenure cannot be earned in these ranks, and time spent in one of these ranks is not applicable toward probationary tenure-track faculty service. There are four non-tenure-track clinical ranks beginning with Clinical Instructor. Those clinical faculty members with outstanding performance may be considered for

promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

The following raises are recommended for promotions to:

Clinical Professor	\$10,000
Clinical Associate Professor	7,000
Clinical Assistant Professor	5,000

Collegiate Faculty

The collegiate professor series provides for short- or long-term, full- or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. There are three non-tenure-track collegiate professor ranks, beginning with Collegiate Assistant Professor. Tenure will not be awarded at any of these ranks and service at these ranks is excluded from the pre-tenure probationary period if the faculty member is subsequently appointed to a tenure-track position. Collegiate faculty members with a record of significant scholarly and/or professional achievement may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

Collegiate Professor	\$10,000
Collegiate Associate Professor	7,000
Collegiate Assistant Professor	5,000

Professor of Practice

The professor of practice series provides for short- or long-term, full- or part-time, non-tenure-track faculty appointments for individuals who bring specialized expertise to the instructional programs of the university, thereby complementing the qualifications and contributions of tenure-track faculty. There are three non-tenure-track professor of practice ranks, beginning with Assistant Professor of Practice. Tenure will not be awarded at any of these ranks and all service at one of these ranks will be excluded from the probationary period should the faculty member later be appointed to a tenure-track position. Professor of practice faculty members with a record of outstanding performance may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

Professor of Practice	\$10,000
Associate Professor of Practice	7,000
Assistant Professor of Practice	5,000

Instructors

The instructor track provides for full- and part-time appointments to individuals whose primary responsibilities are to the undergraduate instructional program. Tenure will not be awarded at any of these ranks and all service at any instructor rank will be excluded from the probationary period should the faculty member later be appointed to a tenure track position. There are three ranks in the series: Instructor, Advanced Instructor, and Senior Instructor. Those faculty members with outstanding performance may be considered for promotion in rank by the relevant departmental and college promotion and tenure committees, with administrative approval by the Provost.

The following raises are recommended for promotions to:

Senior Instructor	\$7,000
Advanced Instructor	5,000

Extension Agents

There are three ranks for extension agents: Associate Extension Agent, Extension Agent, and Senior Extension Agent. Criteria for promotion in rank include educational preparation, performance, and professionalism. The Director of Cooperative Extension makes a recommendation to the Provost based on an evaluation of the candidate's dossier and recommendations of the Peer Review Committees, District Director, and Associate Directors of Cooperative Extension.

The following raises are recommended for promotions within Cooperative Extension:

Senior Extension Agent	\$7,000
Extension Agent	5,000

Extension Specialists

There are three ranks for extension specialists: Associate Extension Specialist, Extension Specialist, and Senior Extension Specialist. Extension faculty may or may not hold an appointment in an academic college. They are, nonetheless, subject to high professional standards in the dissemination of knowledge through the Virginia Cooperative Extension programs and in the planning and delivery of educational programs and programs of assistance to industries and local governmental agencies. Recommendations for promotion in rank are made to the Provost based on an evaluation of the candidate's dossier and recommendations of the Promotion Review Committee and Department Head and/or District Director.

The following raises are recommended for promotions to:

Senior Extension Specialist	\$7,000
Extension Specialist	5,000

Virginia Tech Carilion School of Medicine Faculty

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

Virginia Tech Carilion School of Medicine faculty employed by Virginia Tech will be classified into one of the previous categories (tenure track, clinical, collegiate, professor of practice, or instructor) or as administrative and professional (A/P) faculty.

Virginia Tech Carilion School of Medicine faculty employed by Carilion Clinic may be granted tenure-to-title at the discretion of the school without any right to, interest in, or expectation of any compensation or guarantee for compensation or future employment. Tenure-to-title is recognition of a faculty member's significant accomplishments in teaching, clinical care (if relevant), scholarship, and service to the school.

The tenure-to-title and/or promotion in rank dossier is reviewed at three levels: (1) by an appropriately charged departmental committee and the department head or chair, (2) by an appropriately charged college-level committee and the dean, (3) and by the Provost. The department head or chair and dean make separate recommendations to the subsequent review levels. The Provost reviews college and dean recommendations and makes recommendations to the President. The Board of Visitors grants final approval.

Annual Evaluation and Salary Adjustments

Teaching and Research Faculty

An evaluation of every faculty member's professional performance is held each year. All persons holding non-temporary faculty appointments are asked to prepare a report at the end of each calendar year citing their instructional activities, research and creative scholarship, and other professional activities and recognitions during the year. Salary recommendations are based upon performance documented in these annual reports, which are reviewed by departmental personnel committees in some cases, by the department head or chair, and the dean.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the department head or chair and are reviewed by the dean. The dean then provides the salary adjustment recommendations for review by university leadership prior to submission to the President or designee.

Administrative/Professional Faculty

The Administrative/Professional Faculty are comprised of executive and senior administrators and as Professional faculty. Executive or senior Administrators perform work directly related to management of the educational and general (E&G) activities of the institution at least 50 percent or more of their contractual time, and typically serve in executive leadership roles such as vice provost, vice president, dean, director, and assistant or associate vice president or dean. Professional A/P faculty typically have responsibility for supervision and evaluation of a significant number of university staff and/or other 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. Professional faculty regularly exercise discretion and judgment on matters of significance and take initiative in conducting their primary roles and assignments. Professional faculty include, but are not limited to, Extension faculty, librarians (not on continued appointment-track appointment), coaches, physicians, lawyers, engineers, architects, student or academic affairs professionals, development officers, public relations, human resources, or information technology, and financial specialists.

Evaluations are based upon standards set by the supervisor with the participation of the faculty member and relate closely to the duties inherent in the functional title and job description of the position. Annually set expectations become one of the important criteria for judging professional job performance in the subsequent year. In addition to maintaining a high level of performance in carrying out their job-related duties and responsibilities, executive and senior administrators, and professional faculty, are expected to participate in and provide leadership of departmental, divisional, or university-wide committees, special university-wide assignments, or similar activity on behalf of important university priorities.

Salary adjustments are based on merit; they are not automatic. Recommendations for salary adjustments originate with the supervisor and are reviewed as appropriate by the department head, dean, and vice president. The dean or vice president provides salary adjustment recommendations for approval by university leadership prior to being considered by the President or designee.

Research Faculty

Research faculty are those with the titles of research associate, senior research associate, postdoctoral associate, research scientist, senior research scientist, research assistant professor, research associate professor, research professor, project associate, senior project associate, or project director. Research faculty appointments are intended to promote and expedite the research activities of the university. Tenure cannot be earned in these ranks and service is not applicable toward probationary faculty service.

Each research faculty member is evaluated and given a merit adjustment on the same schedule for evaluations and raise recommendations as the other faculty groups. Salary adjustments are based on merit; they are not automatic. An annual performance review by the principal investigator and/or department head becomes part of the basis for salary adjustments. Recommendations for salary adjustments originate with the supervisor (usually the principal investigator or the department head or chair) and are reviewed, as appropriate, by the department head or chair, dean, and vice president for research and innovation. At the university level, the dean or vice president reviews the salary adjustment with university leadership prior to being considered by the President or designee.

Other Salary Adjustments

Faculty salary adjustments are normally reviewed and approved in two phases: adjustments for promotion are recommended at the June meeting and compensation programs are planned in the university budget process and in compensation plans developed in congruence with any applicable state compensation program.

In addition to this process, it is sometimes necessary to adjust the salaries of specific faculty members at other times during the fiscal year. These adjustments are primarily for changes in duties and responsibilities, special temporary assignments, retention or other exceptional needs, and faculty selected for a different position as part of a search. Adjustments on the anniversary date of appointment for a restricted faculty member may also be approved in lieu of the normal merit process.

To recognize continued educational attainment, faculty members may receive a base salary adjustment of up to \$3,000 for completion of a graduate degree effective upon official certification by the degree-granting institution that all requirements have been met for award of the degree.

By a separate resolution, the Board has delegated authority to the President, or designee for various employment and salary adjustments. The President, Provost, and Chief Operating Officer are authorized to administer the faculty compensation plan during the year and act upon requests for salary adjustments. The President has issued a set of guidelines establishing the parameters for approval of special salary adjustments. The quarterly Personnel Changes Report will reflect those actions of strategic importance to the institution not otherwise delegated through separate resolution.

Faculty Research Incentive Plan

During 2011-12, a university workgroup developed a university savings program by incentivizing faculty research activities. This effort resulted in the Board's creation of a Faculty Research Incentive Program (FRIP) that has similarities to programs at peer institutions. This plan was implemented in 2012-13 and will be continued in 2025-26.

The goal of the FRIP is to provide an incentive for principal or co-principal investigators to secure additional competitively awarded, externally sponsored activities. Through the leveraging of appropriately charged time to competitive grants and contracts, research time that is funded by departments or colleges can be reduced, resulting in salary savings that can be used to both support the incentive program as well as to support academic initiatives.

One-time research incentive payments are made from department or college salary savings and are based on a minimum savings threshold that is applied equitably within departments or colleges. Faculty must apply in advance to be considered for the program. Research incentive payments must be approved by the department head or chair, the dean, and the vice president for research and innovation (or the appropriate administrators based on reporting structure); all disapprovals must also be reviewed by each management level. When salary savings result in a reduction in faculty assignments, those salary savings are excluded from the program.

Update on 2024-25 Faculty Compensation Plan

Consistent with the biennial budget approved by the Governor and General Assembly, the Board of Visitors approves an average three-percent faculty merit increase for teaching, research, administrative and professional faculty, effective on the July 1, 2025 paycheck, with salary increases being implemented differentially based on individual performance. The President, or designee, shall implement the results of the merit program within the parameters specified in the final state Appropriation Act and the university's Faculty Compensation Plan. A summary of the results of this process will be shared with the Board at its next regularly scheduled meeting following full implementation of the plan.

Other 2025-26 Compensation Actions

To maintain and improve upon the university's standing relative to the 50th percentile of the Top 20 Land Grant peers, the higher levels of competing offers offered to key faculty, and to minimize the high cost of turnover, the university will continue to explore opportunities to improve the competitiveness of Virginia Tech faculty compensation.

In addition to the merit program outlined previously, the university may also elect to create a supplemental pool to achieve certain targeted salary compensation or retention needs. For example, in some years the university has worked to address issues such as salary compression and equity needs. For 2025-26, such changes may result from one or more of the following processes:

- The university establishes a special pool of funds to address salary for faculty who have achieved national distinction in their field. The funding will only be used to make adjustments based on evaluations of specific circumstances surrounding individual faculty members. As such, these adjustments would not be available to all faculty

members and may occur at any time during the year, subject to approval by the President or designee.

- The President may use a special pool of funds to adjust individual salary recommendations made by the vice presidents and deans when he determines that a different adjustment is warranted.

RECOMMENDATION:

That the proposed 2025-26 Faculty Compensation Plan be approved.

June 3, 2025

VIRGINIA TECH

T&R Faculty Peer Salary Benchmarking

Fall 2023

Top 20 Land Grants Ranked in THE 2024 World Ranking*

<u>Institution</u>	<u>Average T&R Salary ⁽¹⁾</u>	<u>Rank</u>
University of California-Davis	\$159,262	1
University of Maryland-College Park	146,257	2
University of Wisconsin-Madison	137,012	3
Texas A & M University-College Station	128,705	4
University of Connecticut	128,387	5
Rutgers University-New Brunswick	127,887	6
University of Illinois at Urbana-Champaign	127,603	7
Purdue University-Main Campus	127,372	8
Ohio State University-Main Campus	126,543	9
University of Hawaii-Manoa	125,271	10
Virginia Tech	123,858	11
University of Massachusetts-Amherst	122,464	12
University of Minnesota-Twin Cities	120,066	13
Michigan State University	119,896	14
University of Florida	116,472	15
University of Tennessee-Knoxville	114,059	16
Pennsylvania State University-Main Campus	113,027	17
North Carolina State University	112,917	18
University of Arizona	109,879	19
Washington State University	97,965	20

Virginia Tech Actual Salary Average Percentile

48th

(1) Average salary of peer institutions is based on the latest available data (Fall 2023) from IPEDS

*Excludes University of California-Berkeley and Cornell University

2025-26 T&R Faculty Proposed Pay Structure

Virginia Tech

	Minimum Entering Salary for 9-Month T&R Faculty		Minimum Entering Salary for 12-Month T&R Faculty		Distribution of Faculty by Rank
	Entrance	Change	Entrance	Change	
Professor	\$112,893	3.0%	\$137,689	3.0%	29%
Associate Professor	86,344	3.0%	104,625	3.0%	29%
Assistant Professor	71,428	3.0%	86,883	3.0%	29%
Senior Instructor	61,261	3.0%	79,711	3.0%	2%
Advanced Instructor	54,618	3.0%	70,856	3.0%	2%
Instructor	50,060	3.0%	65,133	3.0%	9%

Approval of 2025-26 Faculty Compensation Plan

Simon Allen, Vice President for Finance and Chief Financial Officer

Tim Hodge, Associate Vice President for Budget and Financial Planning

June 3, 2025

2025-26 Faculty Compensation Plan

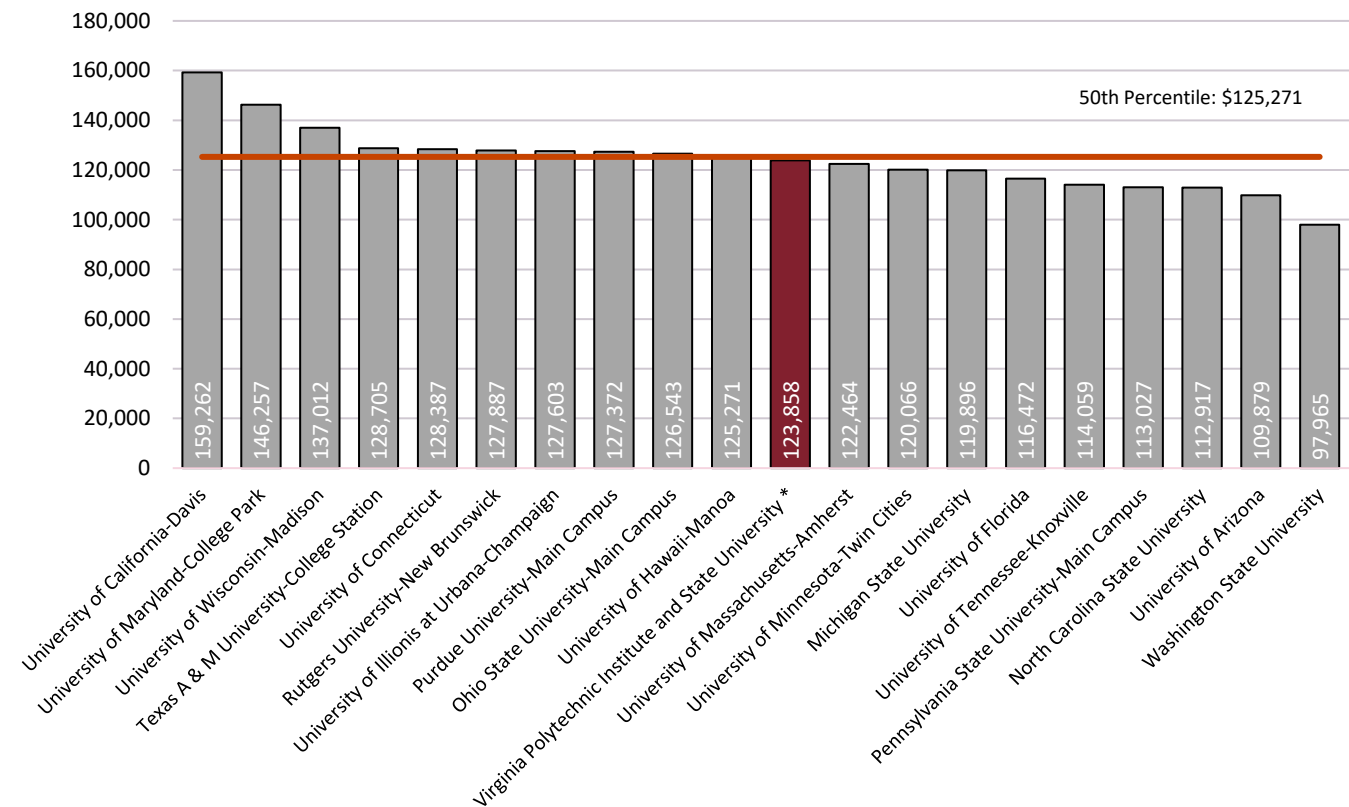
- Benchmarking
- Promotion and tenure process
- Annual evaluation and salary adjustments

Benchmarking – Top 20 Land Grants



Strategic Objective: Achieve progress in competitive faculty salaries toward the 50th percentile of Research (R1) Public Land-Grant Universities by 2024

Fall 2023 Average Teaching & Research Faculty Salary



Top 20 Land Grant Group	Fall 2023	Fall 2024	Change
50 th percentile (excl. VT)	\$125,271	N/A*	-
VT Average Salary	\$123,858	\$127,397	2.86%
VT Rank	11 of 20	N/A	-
VT Percentile	48th	N/A	-

Source: IPEDS, VT Consolidated Salary Average.

*IPEDS peer salary data for Fall 2024 is not yet available.

Promotion and Tenure



- Promotion to a higher rank and appointment with tenure may be granted to faculty members on a regular faculty appointment who have demonstrated outstanding accomplishments
- Each candidate for promotion or tenure will be evaluated in the following areas: teaching, scholarship, and service
- The following raises are recommended for promotions to:

Professor	\$10,000
Associate Professor	7,000
Assistant Professor	5,000

Annual Evaluation

- Faculty Activity Report (FAR)
 - Teaching/Research Faculty: instructional activities, research and creative scholarship, and other professional activities and recognitions
 - Administrative/Professional Faculty: activities in support of their specific job goals as they relate to the broader mission of the university
- All non-temporary faculty members must submit a FAR annually
- FAR serves as the basis of faculty evaluations conducted annually by departments
- This process also serves as part of the basis for awarding merit adjustments

Update on Current Merit Process

- State budget included 3.0% increase (July 1, 2025 paycheck)
- Merit recommendations were developed during the spring of 2025, consistent with the proposed 2025-26 Faculty Compensation Plan
- The university was in the final stages of that process as these board materials were being developed
- President, or designee, shall implement the results of the merit program within the parameters specified in the final state Appropriation Act and the university's Faculty Compensation Plan
- A summary of the results of this process will be shared with the Board at its next regularly scheduled meeting following full implementation of the plan

Approval of 2025-26 Faculty Compensation Plan

Recommendation:

That the proposed 2025-26 Faculty Compensation Plan be approved.

June 3, 2025

2025-26 Compensation for Graduate Assistants

FINANCE AND RESOURCE MANAGEMENT COMMITTEE

May 15, 2025

Background

Graduate students who serve as graduate assistants while pursuing their master's or doctoral degrees provide valuable contributions to the university. Many teach undergraduate classes while others support faculty in scholarly and sponsored research activities. To be competitive in the recruitment and retention of high-quality graduate students, it is important that the university provide compensation packages that are comparable to those offered by peer institutions. The key components of the total compensation package are a stipend, stipend supplement, tuition assistance, and health insurance benefit.

Graduate Stipends

Across the campus, graduate assistants have a variety of responsibilities. To recognize the differences in services performed by these students, the university created a stipend scale that defines ranges of stipend amounts, providing academic and support units flexibility in compensating graduate assistants. The levels within the stipend table have been adjusted over the years to remain competitive.

To respond to increasing competition for quality graduate students among peer institutions, the university took several actions beginning in the Fall 2023 to put Virginia Tech in a competitive position relative to peers. The result of those actions was the adoption of a graduate stipend scale with 50 pay ranges (Attachment). These ranges provide flexibility in situations where a defined level of resources does not exactly match one of the existing steps and allow for an actual stipend to be established within the range of a step.

In an effort to increase minimum stipend levels, starting in 2023-24, the university restricted steps 1-11 to be used only in instances where a student was receiving a fellowship that in combination with a graduate stipend in that range would result in a total of at least the minimum stipend level of \$2,420 for Step 12. For 2024-25, the university further raised the minimum to \$2,682 for Step 14, with steps 1-13 reserved for stipend and fellowship combinations that result in total monthly support of at least the new minimum.

Graduate Stipend Supplement

In 2011-12, an academic year supplement was added to the graduate stipend scale to help offset university assigned costs such as the Health Services fee. As a result, the graduate assistantship stipend is currently comprised of two components: 1) a base stipend and 2) a fixed supplement. For administrative efficiency and processing, the two components are combined into the traditional stipend scale. As of Spring 2025, the current average monthly stipend for full-time graduate assistants is \$2,860 per month, which falls within step 17 of the 2024-25 stipend scale. This represents a 5.4 percent increase over the prior year.

Tuition Assistance

The tuition remission program for graduate students on assistantship includes the remission of tuition, mandatory Educational and General (E&G) fees (excluding the state assigned Commonwealth Capital and Equipment Fee), and non-executive graduate program fees. Tuition remission benefits are provided on a per-semester basis for the duration of the contracted period. The tuition program is financed by four sources including: the General Fund appropriation for graduate student financial assistance, a tuition remission program in the university's E&G budget, tuition payments planned in the budgets of externally sponsored grants and contracts, and private funds.

In the case of an early termination of an assistantship, tuition remission benefits are prorated to align with the portion of the semester completed, as displayed on Table 1.

Table 1

Number of Weeks into Semester When Assistantship is Terminated	Student Tuition & E&G Fee Obligation	Department Tuition & E&G Fee Obligation
Less than Four	100%	0%
Four through less than Eight	75%	25%
Eight through less than Twelve	50%	50%
Twelve through less than Sixteen	25%	75%
Sixteen or more (full semester)	0%	100%

Health Insurance

In 2001-02, the university implemented a health insurance program for graduate students on assistantship as a part of the Board-approved graduate student compensation package to enhance the university's competitiveness in recruiting highly qualified graduate students. The program was designed to help full-time graduate students receiving a full or partial assistantship, including graduate research assistants, graduate teaching assistants, and other graduate assistants, offset a portion of the cost of health insurance premiums. The university has worked with graduate student representatives over time to improve the overall mix and value of benefits provided through the health insurance program, including action by the Board of Visitors in 2018-19 to approve a health insurance subsidy rate of 88 percent for graduate assistants, matching the university's share of employee health insurance programs.

To qualify for the health insurance subsidy, full-time graduate students must have a 50 percent or greater appointment. Graduate students also have the option to decline coverage if they choose. In 2024-25 the university provided 88 percent of the \$3,773 annual premium cost of the plan to 3,870 graduate students. The plan provided for a \$450 in-network annual deductible, \$6,250 per-person out-of-pocket maximum, \$25 co-pay for in-network doctors' visits, and an unlimited maximum benefit. Students can obtain optional dental benefits for an additional cost.

Recent Events

Because the university desires to ensure a competitive compensation package, the Provost and Dean of the Graduate School, at the behest of the President, convened a task force to develop proposals for improving graduate student compensation. In February 2023, this group released its *Report of the Graduate Assistantship Support Task Force* with eight recommendations designed to help graduate assistants meet the cost of living where they reside and complete their academic programs.

Based on this work, the board approved raising the minimum stipend from Step 1 to Step 12 for 2023-24, and raised the minimum stipend to Step 14 for 2024-25. Lower steps were reserved for stipend and fellowship combinations that resulted in total monthly support of at least the new minimum.

For 2025-26, the university recommends streamlining the graduate assistant compensation program by reducing the graduate assistantship stipend scale from 50 pay ranges to 11 pay ranges. (Attachment). Step 0 will be used for instances where a student receives a fellowship that, in combination with a graduate stipend, results in a total of at least the minimum Step 1 stipend level.

Proposed Graduate Assistant Compensation Plan for 2025-26

The university proposes the following actions:

- Streamline the graduate assistant compensation program from 50 pay ranges to 11 pay ranges.
 - Step 0 will be used for instances where a student receives a fellowship that, in combination with a graduate stipend, results in a total of at least the minimum Step 1 stipend level.
- Advance the stipend scale for 2025-26 by implementing a 3.0 percent increase effective August 10, 2025, consistent with the statewide employee compensation program.
- Increase the academic year Stipend Supplement from \$458 to \$565, an increase of \$107, to help mitigate university assigned costs.
- Increase the stipend table minimum to \$2,800.
- Continue the university share of the graduate assistant health insurance coverage at 88 percent, based upon the university's current estimate the cost of graduate student insurance coverage.
- Continue the graduate tuition remission program.

RECOMMENDATION

That the graduate assistant compensation program for 2025-26 be approved.

June 3, 2025

2025-26 Full-Time Graduate Monthly Stipend Compensation
Effective August 10, 2025

Step	Monthly		9 Month Equivalent		12 Month Equivalent	
Step 0 ^(a)	\$1,248	\$2,799	\$11,232	\$25,191	\$14,976	\$33,588
Step 1	2,800	2,937	25,200	26,433	33,600	35,244
Step 2	2,912	3,055	26,208	27,495	34,944	36,660
Step 3	3,057	3,207	27,513	28,863	36,684	38,484
Step 4	3,209	3,368	28,881	30,312	38,508	40,416
Step 5	3,370	3,535	30,330	31,815	40,440	42,420
Step 6	3,537	3,712	31,833	33,408	42,444	44,544
Step 7	3,714	3,898	33,426	35,082	44,568	46,776
Step 8	3,899	4,091	35,091	36,819	46,788	49,092
Step 9	4,093	4,295	36,837	38,655	49,116	51,540
Step 10	4,297	4,509	38,673	40,581	51,564	54,108
Step 11 ^(a)	4,511	5,393	40,599	48,537	54,132	64,716

Notes

(a) Step 0 requires supplemental fellowship. Total stipend and fellowship must exceed minimum of Step 1.

(b) Step 11 is considered extraordinary and subject to approval by the Dean of Graduate Education.

Approval of 2025-26 Compensation for Graduate Assistants

Simon Allen, Vice President for Finance and
Chief Financial Officer

Tim Hodge, Associate Vice President for
Budget and Financial Planning

June 3, 2025

Graduate Assistantships

Background & Overview

Graduate Assistants provide valuable services to the university, including teaching and support of scholarly and research activities.

Successful recruitment of high-quality graduate students requires the university to offer competitive compensation packages.

A full assistantship equals 20 hours of work per week.

The university has 3,870 graduate assistantships in FY25.

Components of Compensation Package

1. Stipend (including a Stipend Supplement)
2. Tuition and E&G Fee Remission
3. Health insurance benefit

Compensation Components

Stipends

As of Spring 2025, the current average monthly stipend for full-time graduate assistants is \$2,860 per month.

This is comprised of:

1. Base stipend
2. \$458 academic year stipend supplement in FY25 to help offset increased university charges

Compensation Components

Tuition Remission

Valuable benefit for those on assistantship.

Tuition remission funds:

1. Tuition (E&G)
2. Mandatory E&G fees
3. College E&G program fees (not executive program fees)

Does not fund the auxiliary Comprehensive fee

Funded through sources appropriate to the nature of the work

Teaching - state and E&G

Research - external grants & contracts

Compensation Components

Health Insurance

- The university funds 88 percent of the \$3,773 annual premium cost (FY25).
 - Subsidy mirrors the university share of employee health insurance program
- To qualify, full-time graduate students must have a 50 percent or greater assistantship appointment.
- Graduate students may decline coverage.

9-month Compensation FY25

	2024-25	
	In-State	Out-of-State
<u>University Compensation Package</u>		
Stipend, 9-month (average, includes supplement)	\$25,614	\$25,614
Tuition Remission (includes E&G fees)	15,881	32,407
Program Fee Remission (depends on program)	0 - 2,000	0 - 2,000
Immigration Services Fee Remission	0	0 - 550
Health Insurance Subsidy (88%)	3,320	3,320
Total Graduate Assistantship Compensation	<u>\$44,815</u> <u>\$46,815</u>	<u>\$61,341</u> <u>\$63,891</u>
<u>Student Costs</u>		
Comprehensive Fee	\$2,684	\$2,684
Commonwealth Facility & Equipment Fee	0	604
Health Insurance (12%)	453	453
	<u>\$3,137</u>	<u>\$3,741</u>

Recommendation

Stipend -

- 3.0 percent stipend increase effective August 10, 2025
- Increase the academic year Stipend Supplement by \$107.
 - An increase from \$458 to \$565 to help mitigate university costs.
- Increase the stipend table minimum to \$2,800.
- Streamline the graduate assistant compensation stipend table from 50 pay ranges to 11.

Tuition Remission - continue program

Health Insurance - continue 88% subsidy

Approval of 2025-26 Compensation for Graduate Assistants

Recommendation:

That the graduate assistant compensation program for 2025-26 be approved.

June 3, 2025

Open Joint Session Agenda

FINANCE AND RESOURCE MANAGEMENT COMMITTEE AND BUILDINGS AND GROUNDS COMMITTEE

8:15 a.m., Room 260, New Classroom Building

June 3, 2025

<u>Agenda Item</u>	<u>Reporting Responsibility</u>
1. Discussion of On-Campus Housing Framework and Planning Assumptions	Amy Sebring

* Requires full Board approval

Discusses Enterprise Risk Management topic(s)

+ Discusses Strategic Investment Priorities topic(s)

Briefing Report

JOINT FINANCE AND RESOURCE MANAGEMENT COMMITTEE AND BUILDINGS AND GROUNDS COMMITTEE

June 3, 2025

Joint Open Session

- 1. Discussion of On-Campus Housing Framework and Planning Assumptions:** The Committees will discuss and affirm on-campus housing framework and planning assumptions.

VT 2025 Student Housing Framework Planning Assumptions

- **Ensure that on-campus housing provides sufficient capacity to:**
 - Guarantee opportunity for all First-Time-In-College (FTIC) students to live on campus
 - House up to 1,400 Corps of Cadet students (Freshmen through Seniors)
 - House up to 700 Fraternity and Sorority members
 - Provide sufficient residential well-being housing staff (1:50 ratio)
 - Meet ADA (single room) accommodations
 - Grow incoming undergraduate class (FTIC and transfer) by 1.5% per year on average through fall 2029
 - House up to 10% of all other upper-class students
- **Align proposed renovation and construction plan in support of enrollment plan**
 - **Implement a long term (>10-year) renovation plan for existing inventory**
 - Prioritize buildings with significant deferred maintenance and poor Facility Condition Indices
 - Meet updated life, health, safety; environmental quality; building code; and heating, ventilation, and air conditioning requirements
 - Address modern configuration and programmatic shortfalls
 - Minimize impacts to on-campus enrollment and existing revenue streams that support annual maintenance targets
 - Perform an economic or cost benefit of alternatives to evaluate conditions where buildings should be replaced rather than renovated
 - **Construct new beds to support enrollment plan**
 - Create capacity for consistent and limited enrollment growth and/or swing space to manage year-to-year fluctuations
 - Revisit options to fulfill commitment to create housing in proximity to the Global Business Analytics Complex
 - Provide swing space for a continuous and long-term renovation and modernization program required to address existing inventory conditions
 - Determine best site options that would allow new beds to rely on existing facilities for co-curricular programming, dining, and student activities
 - Identify design and construction specifications which enable acceptable student occupancy costs.
- **Evaluate opportunities to repurpose existing facilities**
 - Example: Inn at Virginia Tech
 - Identify and analyze conditions required to reprogram facilities



ON-CAMPUS HOUSING

Framework and Planning Assumptions

Amy S. Sebring

Executive Vice President and Chief Operating Officer



On-campus housing is a fundamental contributor to the university's academic mission

- Increased academic success
- Increased well-being
- Increased connection to the Hokie community
- Increased mentoring opportunities

Developing a long-range housing framework

1. Affirm key assumptions with the Board on specific student populations to be housed on campus
2. Develop a long-range housing framework to inform the Campus Master Plan that includes the following:
 - A renovation program to address current inventory concerns
 - Options to construct new facility to meet enrollment growth and renovation displacement needs
 - Financial implications of overall program

Undergraduate Enrollment Growth Plan

	2025	2026	2027	2028	2029
Projected Fall Enrollment	31,661	32,135	32,519	32,845	33,211
Growth Rate Over Prior Fall	2.0%	1.5%	1.2%	1.0%	1.1%
FTIC Cohort	7,085	7,251	7,290	7,388	7,431
Transfer Cohort	1,025	1,175	1,175	1,175	1,175
Additional Housing Demand Compared to Baseline (FTIC Cohort – 7,085)*		+166	+205	+303	+346

*Renovations, potential enrollment fluctuations, and transfer student demand will drive the need for additional beds beyond what is attributable to enrollment growth alone.

Housing Planning Priorities

Ensure Capacity
for Key Student
Populations



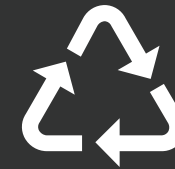
Construct New
Inventory to Support
Enrollment Plan



Execute
Comprehensive
Renovations to
Existing
Inventory



Leverage
Existing Facilities
to Support Hokie
Experience



Key Assumption: Ensure On-Campus Capacity for Specific Student Populations



- First time in college (FTIC)
- Corps of Cadets (1,400)
- Fraternity & Sorority Life
- Student support staff
- Single-room accommodations
- Growth of the incoming undergraduate class
- Limited returning and transfer students
 - Up to 10% of all non-FTIC students
 - Forecasted at 6-7% for 2025

Key Assumption: Execute Comprehensive Renovations to Existing Inventory

- Prioritize buildings with significant deferred maintenance and poor Facility Condition Indices
- Meet updated life/health/safety, environmental quality, building code, and heating/ventilation/air conditioning requirements
- Address modern configuration and program needs
- Minimize impacts to on-campus enrollment and existing revenue streams that support annual maintenance targets
- Identify factors that influence decisions to renovate, reimagine, or replace existing inventory to meet current and future needs



Facilities require both routine upkeep and extensive renovations periodically

- **Maintenance**: daily/weekly ongoing efforts to maintain facility utilization and safety
- **Repair**: reactive, targeted to specific deficient components, typically completed within days/weeks
- **Refresh**: periodic cosmetic improvements to surfaces and fixtures that take place while in-use or in short-term period of disuse
- **Renovate**: intrusive overhaul of systems and/or structure that require disuse for an extended period of time
- **Construct**: creation of new facility or major addition

Items in orange are generally under capital project threshold of \$3M, while maroon items would initiate capital process.

Key Assumption: Construct New Inventory to Support Enrollment Plan



- Create capacity for consistent and limited enrollment growth and management of year-to-year fluctuations
- Revisit options to fulfill commitment to create housing in proximity to the Global Business Analytics Complex
- Provide swing space for a continuous renovation and modernization program to address existing inventory conditions
- Identify site options that leverage existing facilities to support the Hokie experience (co-curricular programming, dining, student activities, etc.)
- Identify optimal configuration, design, and construction specifications that enable acceptable student occupancy costs

Next Steps...

APPROACH

- **Using these planning assumptions, the university will develop a long-range housing framework to inform the Campus Master Plan to include:**
 - A renovation program to address current inventory concerns
 - Options to construct new facility to meet enrollment growth and renovation displacement needs
 - Financial implications of overall program

TIMELINE

August BOV meeting

- Present immediate priority on-campus housing project(s)
- Revise NGF component of Six-Year Capital Plan to include estimated debt impact*

November BOV meeting

- Annual debt capacity report*

December

- Complete long-range planning assessment

Spring 2026 BOV meeting

- Provide update on long-range plan

* Requires BOV approval

Discussion and Board Affirmation of Planning Assumptions

- Execute long-term renovation plan to sustain existing inventory
- Ensure on-campus housing provides sufficient capacity for key populations
- Construct new inventory to support enrollment plan
- Leverage existing facilities to support Hokie experience

Open Session
GOVERNANCE AND ADMINISTRATION COMMITTEE
NCB, RM 260
June 2, 2025
11:30 am

Agenda Item

Reporting Responsibility

- | | |
|--|-----------------------------|
| 1. Welcome and Opening Remarks | Sandy Davis |
| 2. Consent Agenda | Sandy Davis |
| a. Minutes of November 18, 2024, Meeting | |
| b. Resolution to Affirm Board Policies on Electronic Meetings* | |
| 3. EVPCOO Remarks | Amy Sebring |
| 4. IT Strategic Plan# | Sharon Pitt
Kyle Johnson |
| 5. Results of the Board Self-Assessment | Kim O'Rourke |
| 6. Future Agenda Items | Sandy Davis |

*Requires Full Board Approval

Enterprise Risk Topic

+ Strategic Investment Priority

Briefing Report

GOVERNANCE AND ADMINISTRATION COMMITTEE

June 2, 2025

OPEN SESSION

1. **Welcome and Opening Remarks.** Sandy Davis, Chair of the Governance and Administration Committee, will welcome committee members, guests, and invited participants.
2. **Consent Agenda.** The committee will review for approval the items listed on the consent agenda.
 - a. **Minutes of November 18, 2024, Meeting.** The committee will review and approve the minutes of the November 18, 2024, meeting.
 - b. **Resolution to Affirm Board Policies on Electronic Meetings.** The committee will review and affirm the board's policy on electronic meetings. Outlined in Article I, Sections 3a (Electronic "All -Virtual" Meetings) and 3b (Remote Participation by Individual Board Members) of the Board's Bylaws, the policy was previously adopted on August 28, 2024.
3. **EVPCOO Remarks.** Executive Vice President and Chief Information Officer, Amy Sebring, will update the committee on matters of University Operations.
4. **IT Strategic Plan.** The committee will receive an overview of the IT Strategic Plan from Vice President of Information Technology and Chief Information Officer, Sharon Pitt, and Assistant Vice President for IT Governance Planning and Strategy, Kyle Johnson. The IT Strategic Plan is a university-wide initiative developed with broad stakeholder input that forwards the strategic plan of Virginia Tech by defining needs for enabling IT infrastructure. It is designed to be a living document that is flexible and responsive to evolving needs and aspirations. The plan supports Virginia Tech's mission in teaching, research, outreach, and operations. Strategic themes and key focus areas of the plan include achieving global impact with technology support, improving the IT customer experience, improving data management and data protections, advancing technology governance and data governance, expanding core IT services, and modernizing technology tools and services. Highlights of near term and future IT projects are provided. At the conclusion of this multi-year plan, VT expects to have built infrastructure for AI- and data-intensive research, improved satisfaction with IT services, enabled more efficient and integrated administrative processes, strengthened the university's IT workforce and hardened the university's information security posture.
5. **Results of Board Self-Assessment.** The committee will receive a summary of the board self-assessment results from Secretary of the Board, Kim O'Rourke.

Board members, representatives to the board, and administrators who work closely with the board typically complete the assessment each spring, and assessment results are discussed at the Governance and Administration Committee meeting each June.

6. **Future Agenda Items.** The committee will discuss potential topics for future meeting agendas.

Meeting Minutes

GOVERNANCE AND ADMINISTRATION COMMITTEE

November 18, 2024

The Governance and Administration Committee of the Board of Visitors of Virginia Polytechnic Institute and State University met in open session on Monday, November 18, 2024, at 3:30 p.m. in Latham Ballroom A/B at the Inn at Virginia Tech, 901 Prices Fork Rd., Blacksburg, Virginia 24061.

Committee Members Present: Nancy Dye (Acting Chair), Dave Calhoun, Anna James, Sandy Davis (via Zoom)*

*One committee member participated remotely from her home for medical reasons in accordance with Code of Virginia §2.2-3708.3(B). A quorum was physically present.

Committee Members Absent: Tish Long

Other Board Members Present: Ed Baine (Rector), Bill Holtzman, Don Horsley, Starlette Johnson, Ryan McCarthy, Jim Miller, J. Pearson, John Rocovich, Jeanne Stosser

Board Representatives Present: Janice Austin (AP Faculty), LaTawnya Burleson (Staff), Rachel Miles (Faculty), Leslie Orellana (Undergraduate), William Poland (Graduate and Professional)

VT Faculty and Staff: Kim O'Rourke, Simon Allen, Lauren Augustine, Mac Babb, Lynsay Belshe, Harrison Blythe, Eric Brooks, Brock Burroughs, Caroline Buscaglia, Sandee Cheynet, Cyril Clarke, Lance Collins, Al Cooper, Corey Earles, Juan Espinoza, Michael Friedlander, Bryan Garey, Emily Gibson, Suzanne Griffin, Rebecca Halsey, Kay Heidbreder, Frances Keene, Sharon Kurek, Tsai Lu Liu, Randy Marchany, Elizabeth McClanahan, April Myers, Justin Noble, Kelly Oaks, Mark Owczarski, Sharon Pitt, Paul Richter, Lori Rose, Lisa Royal, Amy Sebring, Brennan Shepard, Dee Dee Somervell, Michael Staples, Michael Stowe

OPEN SESSION

1. **Welcome and Opening Remarks.** Nancy Dye, serving as Acting Chair of the Governance and Administration Committee for Sandy Davis, welcomed members, guests, and invited participants.
2. **Consent Agenda.** The committee approved the items listed on the consent agenda.

- a. Minutes of June 11, 2024, Meeting
 - b. Resolution Clarifying Board of Visitors Action
 - c. Review of Charter for Compliance, Audit, and Risk Committee
 - d. Resolution to Approve an Appointment to The New River Valley Passenger Rail Station Authority.
3. **EVPCOO Update.** Executive Vice President and Chief Operating Officer Amy Sebring provided her quarterly update to the Board. It covered four items: the Joint Legislative Audit and Review Commission (JLARC) study on “Spending and Efficiency in Higher Education,” athletics, university operations, and the recent boil-water notice. (Copy attached to these minutes)
4. **Workforce and Human Resources Review. Vice President for Human Resources Bryan Garey** provided an overview of the Virginia Tech workforce, highlights of the HR organization through its multi-year transformation, and data from the recent faculty/staff climate survey.

Currently, Virginia Tech employs approximately 20,000 people across its campuses, 9,000 of which are salaried tenured and tenure-track faculty, administrative and professional faculty, and staff. The remaining employment population consists of student wage workers, graduate students, and non-student wage workers. The annual turnover rate from September 2023 through August 2024 was 9 percent. A modest turnover rate brings innovative ideas and perspectives to the university community which is essential for the university's growth. As student enrollment continues to increase at the university, employment must follow. Currently, Virginia Tech is onboarding an average of 800 – 1000 new employees each year. Human Resource continues to strive to be best-in-class in the areas of competitive pay and benefits, customer service, operational efficiency, consultative support, and strategic partnerships. The division supports the employee through every step of their career, from onboarding to offboarding/retirement by attracting, supporting, developing, and retaining top talent in support of the university's goal to be a destination for talent. Human Resources has embedded Division Directors in most departments and colleges to help better provide this ongoing support. Employee well-being is highly valued and a key focus of the division, as seen through the A/P Faculty Architecture Project and staff pay increases. Emphasis has also been placed on Hokie Wellness initiatives. For example, the division has recently partnered with Student Affairs to provide counseling services to employees, as well as students. Internally, Human Resource professionals are continually trained, processes are reviewed and improved, and systems of support are being upgraded and implemented to enhance the broader employee experience. In 2018 HR utilized approximately 200 paper forms to complete its work, but, thanks to digitization, that number is now 18.

The division also distributes the employee climate survey every three years, the most recent of which was conducted in 2024. Since 2018, job satisfaction and workload satisfaction have decreased slightly among Virginia Tech employees.

This is due to the turnover experienced nationwide in 2020; as employees leaving the university increases the workload for remaining employees, at least temporarily. Conversely, positive feelings on career opportunities increased 10 percent in 2021, and slightly more this year. Additionally, the rating for work-life balance has steadily increased since 2018, in part due to the integration of the hybrid and telework options made available for many employees. The perception that the values of the Principles of Community and InclusiveVT are observed within the university has also increased in the past six years.

5. Annual Clery Report. Virginia Tech Chief of Police, Mac Babb, reviewed the Annual Campus Security and Fire Safety Report.

The Virginia Tech Police Department currently consists of 53 sworn officers, eight security officers, and eight security center representatives, as well as two civilian administrative employees. In January, the department will be adding an additional officer to serve on the campuses of the Great Washinton, D.C., Metro Area. Dually accredited by the Commission on Accreditation for Law Enforcement Agencies and the International Association of Campus Law Enforcement Administrators, the department continues to provide ongoing educational programming for the campus community. They also oversee the Virginia Tech Rescue Squad consisting of 55 active members, and 15 associate members. The Rescue Squad has been in operation for 54 years, and discussion of updating their facilities is underway. The Annual Campus Security and Fire Safety Report, published every October 1 in accordance with the Clery Act, discusses crime data from the previous year. The process of compiling the report begins in January and involves many reporting areas across campus to work together and ensure the numbers in the report are accurate. Data collected includes reportable crimes such as criminal defenses, Violence Against Women Act offenses, hate crimes, and drug, weapon, and alcohol arrests and referrals. The majority of 2023 statistics remain similar to those seen in previous years. Because data is based solely on reported crimes, the number of sexual assault crimes continues to be difficult to discern in terms of positive or negative trends. Numbers seen in this category of the report merely represent those instances in which victims were willing to report the crime, not those in which victims were willing for the crime to be investigated, or those instances that occurred but were not reported. The most notable change for 2023 was the significant increase in liquor law referrals and arrests. The increase is due in part to the newly implemented Residential Well Being Program launched last year. This program increased joint initiatives between the VTPD and Residence Life, increasing presence and enforcement in residential halls. This change led to an increased detection of false IDs in relation to alcohol violations. However, the program also indicated a positive trend in the new generation being more willing to contact student leaders and staff when an issue arises.

6. Americans with Disabilities Act Title II: Digital Accessibility Briefing. Vice President for Policy and Governance and Secretary to the Board, Kim O'Rourke, provided a brief overview of the Final Rule and how the digital accessibility

requirement may affect the Board of Visitors.

Beginning April 24, 2026, all public content the university publishes online must be compliant with digital accessibility standards described in recent revisions to Title II of the Americans with Disabilities Act. This includes webpages, apps, videos, PDF documents, PowerPoints, social media posts, etc. Content prior to April 24, 2026, can be archived without adhering to these standards. However, if an archived record is requested in an accessible format, it will need to be made accessible within a specified time. Because board meetings are a matter of public record and meeting materials per the Code of Virginia must be published on the BOV website by law, this means that all presentations and documents the committees and full board review must be digitally accessible. The Secretary to the Board is making a conscious effort to begin producing accessible content sooner rather than later. For most board materials, this means ensuring that reports and presentations can be read coherently via screen reading software to those who are visually impaired. All images shared with the board in presentations must contain alternate text that describes the image. Reports that include spreadsheets or graphs, must also be understandable on their own merit when read via a screen reader, and/or described via alternate text. This means the formatting for many of the reports, documents, and presentations the board is accustomed to seeing may have to be altered, particularly those that include large data sets, diagrams, and/or pictures, such as those seen in Capital Budget Reports and Building Design-Reviews, among others. We must also consider font type and size, color contrast, spacing etc. for those with low visibility who do not use screen readers. The university has appointed an Accessibility Working Group, led by Kelly Oaks and Dale Pike, to determine how Virginia Tech will meet these requirements across campus in the future including the delivery of instructional materials. The working group will be responsible for identifying current solutions and gaps, and looking at the benefits of outsourcing, training, and other elements to assist all areas of campus in this endeavor. The Secretary to the Board is narrowly focused on work of the board as well as the shared governance system and university policies, and she has asked that an accessibility liaison be appointed from the support team for each board committee. These individuals will be responsible for attending accessibility training and working within their areas to ensure compliance with board materials with the new regulations moving forward.

7. **Future Agenda Items and Closing Remarks.** Nancy Dye discussed future agenda items for the committee's consideration and offered closing remarks.

There being no further business, the meeting was adjourned.

**RESOLUTION TO AFFIRM THE VIRGINIA TECH BOARD OF VISITORS
POLICIES ON ELECTRONIC MEETINGS
AS STATED IN THE BOARD'S BYLAWS**

WHEREAS, legislation passed by the General Assembly and signed into law by Governor Youngkin in 2022, 2023, and 2024 expanded and clarified the circumstances under which boards of visitors may conduct meetings electronically, and all of these provisions were incorporated into the Virginia Tech Board of Visitors Bylaws, revised most recently on August 28, 2024; and

WHEREAS, the 2024 legislation instituted a requirement that the Board at least once annually adopt a policy by recorded vote for the conduct of all-virtual meetings and remote participation by individual Board members;

NOW, THEREFORE, BE IT RESOLVED that the Virginia Tech Board of Visitors affirms Article I, Sections 3a (Electronic "All -Virtual" Meetings) and 3b (Remote Participation by Individual Board Members) of the Board's Bylaws approved on August 28, 2024, and attached to this document; and

BE IT FURTHER RESOLVED that in accordance with the 2024 legislation, the Board at least once annually will continue to affirm or adopt a policy, applicable separately to the Board and its committees, for conducting all-virtual meetings and conditions under which individual Board members may participate remotely.

RECOMMENDATION:

That the Virginia Tech Board of Visitors affirms Article I, Sections 3a and 3b of the Board's Bylaws as adopted on August 28, 2024, regarding the conduct of all-virtual board and committee meetings and remote participation by individual Board members.

June 3, 2025

Section 3a. Electronic (“All-Virtual”) Meetings

In accordance with §2.2-3701 and §2.2-3708.3 of the *Code of Virginia*, the Board and any of its committees separately may conduct all-virtual public meetings in which all who participate do so remotely, provided that the electronic communication means by which members of the public may witness the meeting is disclosed in the public notice of the meeting. Members of the public must be provided electronic communication means through which to observe or listen to the meeting. Any interruption in the means of electronic communication for an all-virtual meeting shall result in a suspension of action at the meeting until repairs are made and public access is restored. The board or its committee may not convene an all-virtual meeting (a) more than two times per calendar year or 50 percent of the meetings held per calendar year rounded up to the next whole number, whichever is greater, or (b) consecutively with another all-virtual meeting.

When audio-visual technology is available during an all-virtual meeting, a Board member will be considered absent for purposes of quorum during any portion of the meeting in which visual communication with the Board member is voluntarily disconnected or otherwise fails or in which audio communication involuntarily fails.

During an all-virtual meeting, no more than two members of the Board may participate from the same remote location unless that remote location is open to the public for physical access.

An “all-virtual meeting” is a meeting conducted by electronic means during which all members who participate do so remotely rather than being assembled in one physical location and to which public access is provided through electronic communication means.

Section 3b. Remote Participation by Individual Board Members

In accordance with §2.2-3701 and §2.2-3708.3 of the *Code of Virginia*, an individual Board member may participate remotely in a Board or committee meeting by some electronic communication means if on or before the day of a meeting, the Board member notifies the Rector or respective committee chair and Board Secretary that the Board member is unable to attend the meeting due to:

(a) a Board member's own disability or medical condition that prevents the member's physical attendance. An individual member who has a disability as defined below and participates remotely counts towards the quorum as if physically present; or (b) the Board member's need to care for a family member due to the family member's medical condition or the Board member being a caregiver (as defined below) who must provide care for a person with a disability (as defined below) at the time the meeting is held. A board member who is a caregiver for a person with a disability and participates remotely counts towards the quorum as if physically present; or (c) the Board member's principal residence being located more than 60 miles from the meeting location; or (d) a personal matter.

Any Board member who participates remotely for one of the reasons above retains voting rights. The Board member's location need not be open to the public. The minutes must include the remote location of the Board member and the reason that the Board member was unable to attend; if the reason is a personal matter, the specific nature of the personal matter must be cited in the minutes. If a Board member's request to participate remotely is disapproved, such disapproval shall be recorded in the minutes with specificity. A Board member may participate

remotely due to a personal matter in up to two meetings per calendar year or 25 percent of the meetings held per calendar year rounded up to the next whole number, whichever is greater. These provisions regarding remote participation of individual board members apply to meetings of the full board and to each of its committees separately.

“Remote participation” is participation by an individual Board member via electronic means in a meeting where a quorum of the public body is otherwise physically assembled.

“Caregiver” means an adult who provides care for a person with a disability as defined in § 51.5-40.1 of the Code of Virginia. A caregiver shall be either related by blood, marriage, or adoption to or the legally appointed guardian of the person with a disability for whom he is caring.

"Person with a disability" means any person who has a physical or mental impairment that substantially limits one or more of his major life activities or who has a record of such impairment. Refer to § 51.5-40.1 of the Code of Virginia for a more detailed definition of physical and mental impairment.

Update from the Chief Operating Officer

Amy Sebring, Executive Vice President and Chief Operating Officer

June 2, 2025

Discussion



IT Strategic Plan for VT

Sharon P. Pitt

Vice President for Information Technology
and Chief Information Officer

Purpose

This IT strategy—an IT strategy for the entire university— was developed with faculty, student, and staff engagement and accelerates Virginia Tech’s IT modernization efforts.

The plan establishes goals and strategies to enable teaching, research, outreach, and operations with the support of technology. It is a living plan that provides the basis for regular assessment and adjustment of priorities. Additional information about the planning process and participants is available on the IT strategic planning site.



it.vt.edu/it-strategic-plan

STRATEGIC THEME #1

Enable global impact around teaching, research, and outreach

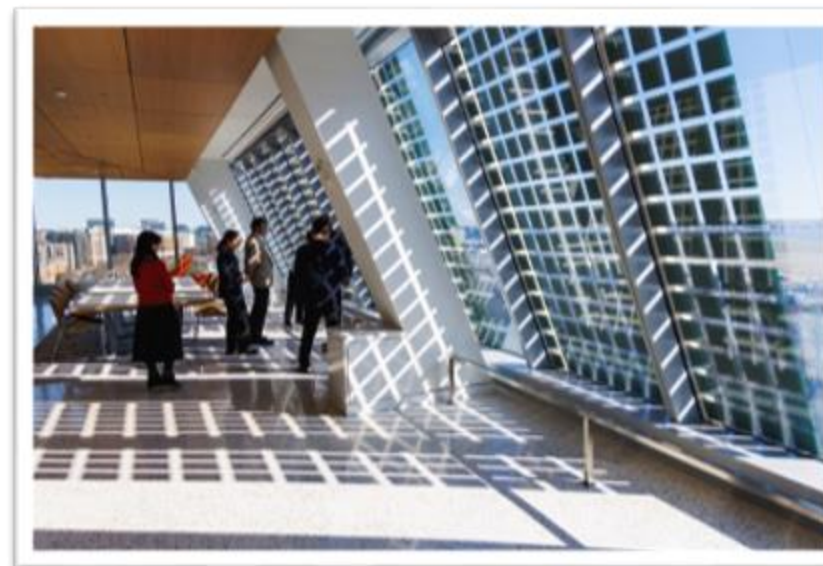
- Expand compute and storage capabilities to support researchers, research data security, and AI
- Expand consulting services to help researchers access world-class services and solutions
- Create integrated, multi-organizational approaches to support data life-cycle management plans and guide adoption of data storage, sharing, and archiving solutions
- Continue to lead partnerships to support evolving education and research needs
- Support experimentation and adoption of new learning technologies that enable innovation and security
- Assess the performance of the university's portfolio of academic software, drive towards enterprise solutions, and address solutions that are underperforming or at end of life
- Provide technologies, training, and support to advance universal design for learning



STRATEGIC THEME #2

Modernize and optimize administrative applications and data platforms

- Complete the Student Information System (SIS) stabilization project
- Begin the modernization of the Enterprise Resource Planning system (ERP) and other enterprise systems
- Implement a new central hub (data warehouse/lake) for administrative data with an expanded scope of quantitative and qualitative data accessible to facilitate analysis and integration
- Enhance identity and access management capabilities to support internal and external collaboration, increase the ability to provide (and remove) access to data and services, and advance the implementation of IT security standards and controls
- Provide university-wide solutions to enable deployment of capabilities such as AI, process automation, and digital document management



STRATEGIC THEME #3

Improve the IT customer experience

- Expand university-wide core services to improve security, realize economies of scale, consolidate overlapping **solutions**, and provide consistent access to technology capabilities
- Deploy AI to facilitate easier access, promote efficiencies, and provide personalized service experiences
- Adopt IT Service Management methods, product management structures, and user-centered design principles to routinely and continuously evaluate and improve services
- Create a user-friendly, easy to navigate catalog of university IT services and solutions
- Consolidate general help services
- Enhance collaboration among IT professionals and improve communication with all users of IT services



STRATEGIC THEME #4

Expand capabilities to use, manage, and protect data

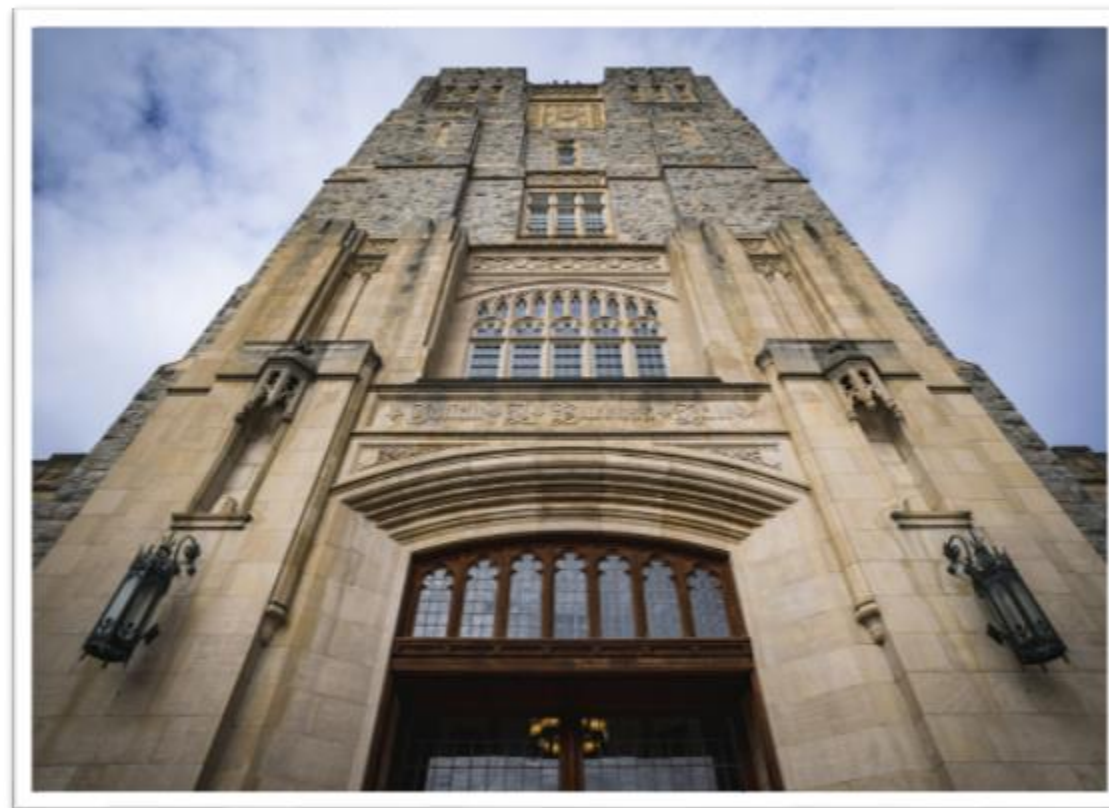
- Improve tools to track sensitive data, align data access to individual roles, and make data definitions transparent
- Reduce risk by consolidating IT solutions and expanding core IT services
- Enhance network segmentation and secured data environments to protect research and administrative data
- Provide role-specific training programs to build awareness of data governance and security practices
- Develop a university information security strategy to complement the IT strategy
- Improve data lifecycle management



STRATEGIC THEME #5

Strengthen technology and data governance

- Leverage the revised IT governance framework to oversee core services, prioritize changes to the application portfolio, and review/recommend guidelines and standards to improve effectiveness and enable innovation
- Establish clear frameworks, processes, and roadmaps for university IT services
- Enhance enterprise solution management by maintaining an applications inventory, establishing responsibility for service or product ownership, and providing clear standards and support to enable application development and the deployment of AI
- Strengthen data governance through strong executive sponsorship, training for data stewards, implementation of a data management tool, and promulgating data quality standards



Next 12 Months – Some Highlights

FOUNDATIONAL

- Confirm scope of core IT services and designate service owners and service delivery teams
- Develop plans (timeline, structure, tools, and terminology) for a single integrated catalog of IT solutions and services
- Update and align the information security strategy with the IT strategy
- Complete review of IT policies, including updating policies and addressing gaps
- Implement a revised IT governance framework*

OPTIMIZING

- Implement university-wide Configuration Management Database (CMDB) processes and tool*
- Continue implementing network segmentation to create additional secure data enclaves or segments that meet Cybersecurity Maturity Model Certification (CMMC) requirements
- Leverage AI capabilities to make it easier to search, request and obtain IT solutions

MODERNIZING

- Complete the implementation of the new student information system
- Move to an “Identity First” strategy that separates identity from individual systems*
- Develop a roadmap and funding plan for ERP modernization of HR/Finance

* Items that are from the IT Transformation initiatives

Future Years – Some Highlights

FOUNDATIONAL

- Develop and communicate software development guidelines, architectural reviews, and code reviews to support any software development effort for administrative and student support applications
- Integrate regular methods of assessment to evaluate the performance of core services
- Confirm the data governance model for the university and identify enabling tools and processes required to support its ongoing implementation*

OPTIMIZING

- Implement additional core services to rationalize the application portfolio*
- Leverage AI capabilities to make it easier to search, request and obtain IT solutions
- Expand consultative capabilities and expertise to provide general research consultations, data privacy and security and research application development.
- Adopt a shared IT Service Management (ITSM) approach, tool, and processes*

MODERNIZING

- Make substantive progress on ERP modernization
- Identify and plan replacement of additional enterprise applications as necessary (advancement, customer relationship management, academic applications for teaching and learning)*
- Continue to expand research computing clusters and related data center infrastructure needs

* Items that are from the IT Transformation initiatives



Takeaways

- Provide an infrastructure to increase compute-, data-, and AI-intensive research
- Improve constituents' satisfaction with IT services and solutions
- Enable intuitive, efficient, integrated, and accurate administrative processes and services
- Develop a capable and engaged community of IT professionals
- Build increased capacity for comprehensive IT security work

Resources

Additional information about the IT strategic planning process and participants:

<https://it.vt.edu/partnerships/university-partnerships/it-strategic-plan.html>

Additional information about the transition of the
IT Transformation initiatives:

<https://it.vt.edu/projects/ittransformation.html>



Board of Visitors Self-Assessment Summary

May 2025

Respondents: 13 BOV Members, 5 Constituent Representatives; 7 Administrators

Note: *Italics indicate > 0.2 gap between 2025 BOV and overall scores.*

Average Scores Per Category (descending order) (poor=1; excellent=5)		2025		2024	
		BOV Score	Overall Score	BOV Score	Overall Score
Category No.					
6.	Board Culture and Principles	4.33	4.00	4.80	4.83
5	Meeting Dynamics Board Meeting Effectiveness	3.51	3.86	4.23	4.44
3.	Finance and Risk: Asset and Risk Oversight	3.44	3.64	4.12	4.23
4.	Student Experience: Maintaining a Positive and Relevant Student Experience	3.39	3.28	3.95	3.94
1.	Strategic Planning	3.16	3.28	4.08	4.07
2.	Shared Governance: Board Leadership, Governance, and Engagement	3.07	3.06	3.88	4.01

Areas Possibly Needing Attention: (poor/disagree=1; excellent/agree=5)		2025		2024	
		BOV Score	Overall Score	BOV Score	Overall Score
Item No.	Items receiving 2025 BOV score of 3.23 or lower (listed worse to better)				
2.4	The board has a succession plan in place to address the departure or absence of the president, whether planned or unplanned. <i>[Low score may be attributable to new board members being unaware of succession plan developed by the Executive Committee. 2025 BOV score is more than one point lower than 2024.]</i>	2.08	2.91	3.42	3.67
1.1	The board is actively involved in shaping and supporting the institution's mission, strategy, and direction.	3.00	3.32	3.85	4.00
2.7	The board demonstrates a commitment to freedom of expression and academic freedom and practices civil discourse, serving as a role model for the university community.	3.00	2.88	3.83	4.04
4.5	The board ensures policies and practices are in place to protect freedom of expression and inquiry and institutional autonomy.	3.00	2.83	3.85	4.04
1.2	The board ensures the university operates under a strategic plan that clearly outlines institutional strengths, challenges, and strategic priorities: the Virginia Tech Advantage and Global Distinction.	3.08	3.36	4.00	4.00
1.6	The board uses relevant data to monitor progress on strategic initiatives.	3.08	3.13	4.00	3.92

Board of Visitors Self-Assessment Summary

May 2025

Areas Possibly Needing Attention: (poor/disagree=1; excellent/agree=5)		2025		2024	
Items receiving 2025 BOV score of 3.23 or lower-continued (listed worse to better)		BOV Score	Overall Score	BOV Score	Overall Score
Item No.					
2.1	The board ensures the institution has policies and practices of shared governance that delineate the distinct responsibilities of the board, president, administration, faculty, staff, and students, and models a commitment to those policies and practices. [2025 BOV score is more than one point lower than 2024.]	3.08	3.17	4.15	4.28
2.2	The board collaborates with the president and appropriate constituent groups to gain support for established institutional goals. [2025 BOV score is more than one point lower than 2024.]	3.08	3.13	4.31	4.28
2.6	<i>The board seeks out and considers diverse and competing points of view when discussing critical issues.</i>	3.08	2.76	3.33	3.52
3.6	The board encourages an appropriate level of risk-taking to foster innovation and growth while maintaining a vigilant approach to managing associated risks.	3.08	3.24	3.92	4.00
2.3	<i>The board mutually agrees upon and approves annual performance goals for the president.</i>	3.15	3.58	4.08	4.17
2.8	<i>The board ensures both the development and implementation of strategies that foster a campus-wide culture of inclusion.</i>	3.15	2.64	3.92	4.00
3.3	<i>The board holds the administration accountable for the safeguarding of university assets and implementing robust controls, ensuring that resources are utilized effectively and efficiently.</i>	3.15	3.52	3.85	4.16
1.3	The board ensures that the institution has a multi-year financial plan that is aligned with its strategic priorities. [2025 BOV score is one point lower than 2024.]	3.23	3.48	4.23	4.08
1.4	The board is well informed of current issues and risks facing higher education and the associated institutional impacts, e.g., the changing regulatory environment, debt, value of college degree, enrollment cliff, mental health, technology, tension between free speech and harassment, etc.	3.23	3.12	4.15	4.24
5.6	<i>The board members participate in the coordination of board work and shaping meeting agendas.</i>	3.23	3.92	4.08	4.44
5.7	Meeting agendas allocate the majority of time to the university's strategic priorities and most critical issues facing the university. [2025 BOV score is more than one point lower than 2024.]	3.23	3.84	4.38	4.56

Board of Visitors Self-Assessment Summary May 2025

Additional Areas Possibly Needing Attention:

Items receiving a score of 1 or 2 by at least 20% of BOV and/or combined respondents and not included in previous section (listed worse to better)

Item No.		2025		2024	
		BOV Score	Overall Score	BOV Score	Overall Score
5.3	<i>The board's time is allocated appropriately between the university's three missions of instruction, research, and outreach/engagement.</i>	3.31	3.64	4.23	4.36
5.5	<i>The board holds the administration accountable for providing balanced and complete information with meaningful data and metrics that is inclusive of all relevant perspectives to inform the board's decisions and for following through on action items arising from board meetings.</i>	3.31	3.76	4.15	4.36
1.5	<i>The board refers to the institutional mission, its strategic priorities, and risks to inform effective decision-making.</i>	3.33	3.29	4.23	4.20
3.4	<i>The board holds the administration accountable for identifying, monitoring, and informing the board of enterprise risks and developing plans for mitigating risks as appropriate.</i>	3.38	3.72	4.15	4.32
5.1	<i>Board meetings encourage constructive, high-quality, respectful exchanges and active engagement with robust and probing discussions.</i>	3.38	3.52	3.92	4.28
2.5	<i>The board seeks out and respects the ideas and perspectives of the faculty and staff (and students when appropriate) on major institutional issues, valuing their contributions to institutional governance.</i>	3.46	3.20	3.92	4.08
4.1	<i>The board ensures the offering of a holistic, high-quality student experience, prioritizing academic excellence, personal development, student well-being, and services/facilities expected by today's students.</i>	3.50	3.33	4.00	4.04
5.8	<i>The board holds its members accountable for reviewing materials in advance and preparing thoroughly for committee and full board meetings.</i>	3.92	3.72		
6.1	<i>The board conducts itself in ways that inspire confidence and trust of the university community, serving as a role model for integrity and ethical leadership. [In contrast, this item is also rated among the highest by the BOV. See section on highest-rated items. The discrepancy between BOV and Overall perspectives may warrant exploration.]</i>	4.46	3.84	4.62	4.80
6.10	<i>The board retains its independence from external and internal stakeholders and acts in the best interests of the institution. [In contrast, this item is also rated among the highest by the BOV. See next section on highest-rated items. The discrepancy between BOV and Overall perspectives may warrant exploration.]</i>	4.54	3.52	4.85	4.68

Board of Visitors Self-Assessment Summary

May 2025

Highest-rated Items: (descending order) (poor/disagree=1; excellent/agree=5) Item No.		2025		2024	
		BOV Score	Overall Score	BOV Score	Overall Score
6.2	The board respects the confidentiality of board and committee materials and discussions.	4.69	4.48	4.92	4.96
6.9	The board takes reasonable care to ensure the institution is legally and ethically compliant with its mission, the law (e.g., freedom of information and conflict of interest statutes, etc.), and all institutional policies.	4.62	4.58	4.92	4.96
6.4	The board understands and respects who may speak on behalf of the board or the institution.	4.54	4.24	4.92	4.96
6.10	The board retains its independence from external and internal stakeholders and acts in the best interests of the institution. <i>[Special Note: 2025 Overall Score is more than one point lower than the 2025 BOV Score and the 2024 Overall Score.]</i>	4.54	3.52	4.85	4.68
6.1	The board conducts itself in ways that inspire the confidence and trust of the university community, serving as a role model for integrity and ethical leadership. <i>[2025 Overall Score is nearly one point lower than 2024.]</i>	4.46	3.84	4.62	4.80
6.8	The board acts in good faith with appropriate diligence, care, and skill.	4.46	4.16	4.92	4.96
6.12	My time, energy, and expertise are put to good use.	4.31	4.22	4.77	4.80
6.5	Board members speak openly during board meetings but after a vote is taken support the decision of the board.	4.23	4.00	4.62	4.76
6.6	The board adheres to and appropriately addresses violations of the board's Code of Ethics.	4.23	4.12	5.00	4.87
3.5	The board stays abreast of legal and other issues affecting the national landscape for intercollegiate athletics and exercises appropriate oversight of VT's intercollegiate athletics program.	4.08	4.12	4.46	4.46
6.3	The board promotes trust among board members through a culture based on openness and respect. <i>[2025 Overall Score is more than one point lower than 2024.]</i>	4.08	3.72	4.62	4.76
5.2	The committees are properly structured and perform their delegated roles, reporting back clearly and fully to the board.	4.00	4.36	4.38	4.56

Board of Visitors Self-Assessment Summary

May 2025

Top Challenges Facing the University (predominant themes)

Public Perception of Higher Education

- Need to demonstrate the value proposition in terms of education and research
- Need to reverse the skepticism about the ROI for a college degree and growing public distrust in higher education
- Need to demonstrate ROI for college degree – focus on career paths, ensuring graduates have necessary skills for the work place.

Enrollment Management – Plan for Strategic Growth

- Affordability
- Aligning growth with regional demand
- Aligning on-campus undergraduate student housing with strategic growth
- Achieving the appropriate in-state/out-of-state undergraduate student ratio recognizing revenue impacts and price elasticity for out-of-state students.

Financial Stability – Impact on University Overall and Research Mission in Particular

- Research federal funding – grants being terminated; F&A rates cut to 15% or lower
- Need for revenue diversification
- Balancing cost-cutting with ability to continue to attract quality faculty, student, and staff talent.
- Potential for long-term U.S. economic decline and concomitant reductions in discretionary spending, which would severely impact the research mission.

Shifting Priorities and Regulatory Changes at the Federal and State level - Politicization of the University from Both Political Poles

- Compliance with ongoing series of federal/state regulatory changes, anticipating future policy changes.
- Can the university adapt with sufficient speed to this dynamic environment?
- Impact on revenues and culture and creation of an environment of uncertainty
- Impact on university's priorities: VT Advantage and Global Distinction
- Impact on ability to maintain a cohesive culture at Virginia Tech amid tensions created by conflicting views on DEI initiatives, freedom of expression, academic freedom.
- Impact on ability to maintain a diverse and inclusive community for all
- Culminating in the impact on the university's continuing ability to attract quality faculty, student, and staff talent and to preserve the university's core missions of teaching, research, and service.

Athletics - Funding, Competitiveness, Governance